Linguistic Creativity in (Re)translation: A Corpus-Based Study of Thomas Mann's *Der Tod in Venedig* and Its English Versions

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I, Marlies Gabriele Prinzl, confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.

Signature: _____

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Abstract

The concept of creativity is something that is valued highly in literary writing. It is, however, a hazy term that defies easy definition as it can be realised in different ways such as the manipulation of plot, structure, language or even the physicality of the text itself. The type of creativity that this thesis is interested in is creativity in the use of language. It forms one of three cornerstones of this research project as linguistic creativity is explored, first, in a single original text – Thomas Mann's 1912 novella *Der Tod in Venedig* – and, then, in translation, or rather, multifold retranslation, through all of its eleven English versions. Retranslation is thus the second cornerstone. The third is the methodology: the project utilises a computer-assisted approach relying on a combined manual and corpus-based method in terms of the view of the language it applies via John Sinclair's open choice principle and idiom principle, the digital texts it analyses and the corpus resources it uses.

The thesis engages with the concept of linguistic creativity by investigating three rhetorical devices that can be used innovatively: neologisms, similes and metaphors. It demonstrates how these devices and their creativity operate on distinct levels and argues that while neologisms, whose inherent creativity is realised at word level, are predominantly eliminated in translation, novel similes and metaphors, at phrase and text level, are significantly more likely to be preserved. It also proposes that some types of linguistic creativity can arise that involve conventional language and explores the new and still tentative idea of countertranslation as a form of retranslational creativity.

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List of Abbreviations

A	Appelbaum
A-TIVC	Aligned MS Word Corpus
B1	Burke 1
B2	Burke 2
BA	Buchausgabe
CH	Chase
D	Doege
DADJ	Double Adjectives
ED	Erstdruck
H	Heim
HD	Hundertdruck
HH	Hansen & Hansen
K	Koelb
L	Luke
LP	Lowe-Porter
N	Neugroschel
NOM	Nominalisations
SPA	Spelling Alternatives
ST	Source Text
TIVC	*Tod in Venedig* Corpus
TT	Target Text
WST	WordSmith Tools
WST-TIVC	WordSmith Tools Corpus

Notes

Data retrieval dates

Data was retrieved from several types of resource (including corpora, online dictionaries and web search engines) at different stages of the project, with retrieval generally being spread over several days, weeks or even months. It is not practical to indicate the exact date for each item mentioned in the thesis, but date ranges for most queries are January to March 2013 for neologisms, June to August 2014 for similes and April to August 2015 for metaphors.

Referencing

The referencing (MLA Style, 7th Edition) in this thesis was done through referencing software (Mendeley). Bibliographic materials included a number of different types of digital resources for which referencing formats are still being developed. Please note the following:

(1) When deemed essential for clarity, information has at times been added to a reference even when it is generally not customary to include it.
(2) If a page reference is missing, the resource used was either web-based or digital.
(3) Although no longer required for web-based resources, URLs are given.

Marking system

Please note that only exact quotes from the text are marked with double quotation marks. Single quotation marks are used to indicate citations from *Der Tod in Venedig* that have been changed to the base form for reasons of grammaticalness. Single quotation marks furthermore also indicate backtranslations and generic examples.

Chapter 1   Introduction

> `Twas brillig, and the slithy toves
> Did gyre and gimble in the wabe:
> All mimsy were the borogoves,
> And the mome raths outgrabe. ("Jabberwocky", Carroll)

The concept of creativity is something that is valued greatly in literary writing, particularly in literary writing that is classified – however problematic the term might be – as high literature. Creativity is a way for writers to distinguish themselves from others that have come before them or from those that will follow. By itself, creativity is a rather hazy term and is not easily defined. It invokes labels such as 'originality', 'uniqueness', 'imaginativeness' and/or 'innovation'; however, these descriptions, and others that have been used, are insufficient to delineate creativity as they can be applied in different ways and to different degrees to written texts. To begin with, creativity can be realised through the manipulation of a number of features, including plot events, structure, language or even the physicality of the text itself – take Jonathan Safran Foer's *Tree of Codes* (2010), for example. The novel uses an English translation of Bruno Schulz's *Sklepy cynamonowe* (*Street of Crocodiles*, originally published in Polish in 1934) as its textual basis, with Foer then physically removing words (with a die-cutting machine) to create both a new work of fiction as well as a sculptural object. Creativity may mean that only one feature is used innovatively, but more often, several tactics will be exploited by a writer in an unconventional manner, either simultaneously or combinatorially, in a part of or across the whole text. The most experimental and innovative kind of literature will usually employ an assortment of elements and in a more radical manner than the 'average' literary work (if such a thing exists).

The type of creativity that this thesis is interested in is creativity in the use of language, or, *linguistic creativity*. It forms one of three cornerstones of this research project as linguistic creativity is explored, first, in a single original text – Thomas Mann's 1912 novella *Der Tod in Venedig* – and, then, in translation, or rather,

multifold retranslation, through all the existing English versions. Retranslation thus is the second cornerstone. The third is the methodology: the project utilises a computer-assisted approach, relying on combined manual and corpus-based methods in terms of the view of language it applies, the digital corpus it analyses and the corpus software and resources it uses.

The thesis engages with the concept of linguistic creativity by investigating three distinct rhetorical devices – neologisms, similes and metaphors – that can be used innovatively. It discusses in what manner linguistic creativity thus features in *Der Tod in Venedig* through these devices and how and to what degree it is rendered in the English translations, both as derived from the source text (for all three rhetorical devices) and independent of the source text (for similes). Furthermore, it considers linguistic creativity between the different target texts. The following questions are explored:

> How does linguistic creativity manifest itself in Mann's *Der Tod in Venedig* through the rhetorical devices of neologisms, similes and metaphors? In what manner are these devices rendered in translation? What kind of choices do the individual translators make in reference to the ST only? What kind of choices do they make in reference to the other TT versions that precede each translation in the corpus? What sort of patterns, if any, are there in relation to all English translations, preceding or following, when it comes to linguistic creativity?

Before we can begin to consider these questions, linguistic creativity must be defined further.

1.1 The concept of linguistic creativity

1.1.1 Introducing linguistic creativity

As one particular form of creativity, linguistic creativity involves language that is *less conventional* than some imagined norm. Rather, the speaker's or writer's use of language is in some way *unexpected*, possibly even fundamentally *deviant* from normal usage. The differences in the language use are usually carefully considered and thus intentional, or *counterconventional*. To provide an example we can

consider Paul Celan's "*schwarze Milch* der Frühe" ("*black milk* of the morning", my translation and emphasis) from the poem "Todesfuge" (1948), which consists of an original, oxymoronic metaphor that unexpectedly combines the word "black" with "milk", an item widely known to be and normally described as white or perhaps pale yellow, but certainly never black. Linguistic creativity can also involve the coinage of new words, whether as composites of existing ones, such as in Sophie Stephenson-Wright's poem "Whalesong" (2010) with compounds like "boom-mumble", "sky-swim" and "moon-map", or through completely new inventions such as in Lewis Carroll's "Jabberwocky" (1872) quoted at the beginning of this introduction: "Twas *brillig*, and the *slithy toves* / Did *gyre* and *gimble* in the *wabe*: All *mimsy* were / the *borogoves*, And the *mome raths* / *outgrabe*" (all my emphasis). e.e. cummings "anyone lived in a pretty how town" (1940) illustrates another form of linguistic creativity through the author's use of unconventional lexicogrammar and punctuation, with the opening verses reading as follows:

> anyone lived in a pretty how town
> (with up so floating many bells down)
> spring summer autumn winter
> he sang his didn't he danced his did.
>
> Women and men (both little and small)
> cared for anyone not at all
> they sowed their isn't they reaped their same
> sun moon stars rain

These examples vary in the type of linguistic creativity they exhibit, but also in the degree of innovativeness present. Although all are quite striking, some are more so than others – compare "sky-swim" with "brillig" for instance. As these examples show, the language that is used in poems, featuring novel metaphors, coinages or other rhetorical devices, is often a good example of linguistic creativity, but such creativity is not limited to poetry, indeed, it is not limited to literary writing at all. While we often associate creativity with literature and may also be disposed to recognise it more easily in literary works simply as we expect it to be there (especially within certain text genres), in reality it can appear in any kind of written or spoken discourse. The issue of linguistic creativity in literary versus non-literary texts is not a concern here as *Der Tod in Venedig* falls into the former category.

However, it is still worth drawing attention to, not only because the issue resurfaces on occasion throughout the thesis via several of the theories of language discussed, but on account of the ideas proposed that are applicable beyond the novella analysed here.

How can linguistic creativity be determined and assessed? Intuition – the immediate judgement made by a native speaker when decoding language – provides a starting point and is part of the approach used to identify creative language in *Der Tod in Venedig*, but is insufficient by itself due to subjectivity-related factors on part of the language user (e.g. individual linguistic experience or regionality of language) as well as further complicated by characteristics inherent to linguistic creativity itself (e.g. degree of innovation). Nevertheless, the corpus linguistic view of language can serve as a basis for developing a workable model, with corpus tools providing additional assistance in measuring linguistic creativity in a more objective manner. While the exact methodology for each one of the three rhetorical devices studied in this thesis is explained within the respective chapters, an introduction to the corpus linguistic view of language, its usefulness in determining both linguistic conventionality and creativity, as well as corpus-based approaches to neologisms, similes and metaphors follows.

1.1.2   Corpus linguistics: From methodology to view of language

1.1.2.1   Early history of corpus linguistics

Corpus linguistics, which is considered a subfield of linguistics, is a relatively young area of study.[1] The term *corpus linguistics* first appeared in the early 1980s (cf. Leech 107), but its beginnings date back much earlier. As McEnery, Xiao, and Tono write, basic corpus methodology was in a sense used by "field linguists such as Boas (1940) and linguists of the structuralist tradition, including Sapir, Newman, Bloomfield and Pike" (3), who compiled what is nowadays often called *shoebox*

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[1] Other than the literature mentioned in this section, readers interested in a more detailed account of the history of corpus linguistics may wish to consult volume 1 of *Corpus Linguistics. An International Handbook*, which dedicates an extended section (pp. 1-153) to the topic.

corpora: they collected empirical language data and recorded it on paper slips stored in (shoe)boxes. The starting point of the field of corpus linguistics as we know it today only came in the 1950s. In an essay on "The History of Corpus Linguistics" (in the *Oxford Handbook on the History of Linguistics*) McEnery and Hardie observe – with a particular focus on English Corpus Linguistics – that for modern-day corpus linguistics to emerge, "computer technology had to develop to a point where it could manage and manipulate large amounts of machine-readable text" (728).[2] The advances in technology offered new possibilities in data processing, which language researchers were keen to explore. However, the path of corpus linguistics was not quite so straightforward. Rather than steadily progressing with the continuous improvements in technology, the field saw a retreat from corpus data (McEnery and Hardie 729) – a retreat that was motivated by one factor in particular: the emergence and, over several decades, subsequent dominance of Chomskyan linguistics, i.e. the ideas of the North American academic Noam Chomksy, in particular his proposal of generative grammar, that significantly shaped twentieth century linguistics.

Chomsky's interest lay in the mental reality of the human language, in *competence*, rather than its actual use in real life, that is *performance*. While there is no space to go into the details of Chomsky's views on language, his position can be summarised with the following, often quoted statement from his 1965 book *Aspects of the Theory of Syntax*:

> Linguistic theory is concerned primarily with an ideal speaker-listener, in a completely homogenous speech-community, who knows its language perfectly and is unaffected by such grammatically irrelevant conditions as memory limitations, distractions, shifts of attention and interest, and errors (random or characteristic) in applying his knowledge of that language in actual performance. (3)

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[2] No separate account of German Corpus Linguistics is needed here. As McEnery and Hardie note, "English Corpus Linguistics (ECL) was the crucible in which the field of modern corpus linguistics was formed" (732).

Purposefully deviant language like linguistically creative forms also do not fit comfortably into this view.

Competence, for Chomksy, was not only the focus of his own research. It was, in his opinion, what linguistics in general should concern itself with. At the same time Chomsky was – and remains also more recently according to a 2004 interview with József Andor – highly critical of corpus data and corpus studies. He questioned, among other things, the inability of performance to reveal anything meaningful about language competence, the "degenerate quality" (Chomsky 58) of naturally occurring language (due to factors such as hesitations, errors, interruptions and repetitions), and the impossibility of a corpus, no matter how large in size, to represent all of language – challenges that had to be addressed by proponents of corpus linguistics. The impact of Chomsky's opposition was so great that it resulted in a reorientation of the field "away from language performance and towards language competence" (McEnery and Hardie 729), relegating corpus linguistics and other subfields working with empirical data to the periphery of linguistic study.

Despite the unfavourable conditions, corpus studies persisted and corpora were compiled. The first modern day corpus was the *Survey of English Usage*, which was founded by Randolph Quirk in 1959 and has been held at UCL since 1960. The corpus was originally paper-based and digitised only later. The earliest computer-readable corpus, the *Brown Corpus* (compiled by W. Nelson Francis and Henry Kučera at Brown University, USA), became available two years later. Not only are these corpora early attempts at recording contemporary British and American English respectively, but they laid important foundations for corpus linguistics in terms of methodology, with the *Survey of English Usage* providing extensive parsing (grammatical annotations) and the *Brown Corpus* using rigorous sampling techniques for collecting and organising data.

The advances in early corpus linguistics were primarily the result of research done at institutions in Europe, in particular in the UK. McEnery and Hardie (734) suggest that this geographical concentration was due to linguists at British universities being less influenced by the dominant ideas of Chomsky. Other than at UCL, notable

advances were made at Lancaster (by Leech, in terms of automating annotations) and also Birmingham, where John Sinclair headed the COBUILD database. COBUILD prepared the way for general corpora that were considerably larger than the first-generation ones. It also led to a corpus-based dictionary, the *Collins COBUILD English Learner's Dictionary*, in 1987, which pioneered the use of real language examples. The research at the University of Birmingham, however, is important – and especially so for this thesis – for another reason: it saw corpus linguistics not only or primarily as a methodology that could be applied to other theoretical approaches but as a particular view of language. This perspective is sometimes referred to as the Firthian or Neo-Firthian school of corpus linguistics, due to its links to the ideas of the linguist John Rupert Firth. In a collection of his most important papers (including "Modes of Meaning", pp. 190–215), Firth, who worked, in contrast to Chomsky, with real texts, wrote "you shall judge a word by the company it keeps" (11). This often-quoted phrase is considered the first modern definition for *collocation*, a key term in corpus linguistics that describes "the phenomenon surrounding the fact that certain words are more likely to occur in combination with other words in certain contexts" (Baker, Hardie, and McEnery 36). The statement reveals Firth's preoccupation with meaning, specifically the idea that the meaning of an utterance is governed by its context – the words that surround it. Firth's notion of contextual meaning was developed further by a number of linguists, including Halliday (lexicogrammar, 1985), Louw (semantic prosody, 1993), Stubbs (1996), Hunston and Francis (pattern grammar, 2000) and Hoey (lexical priming, 2005), but perhaps most significantly by Sinclair's proposal of two principles.

1.1.2.2 The open choice principle and the idiom principle

In the 1991 publication *Corpus Concordance Collocation*, Sinclair describes two models of interpretation for language, the open choice principle and the idiom principle. He proposes that both principles are needed for encoding and decoding language. The open choice principle essentially represents the often so-called 'slot-and-filler' models predominant in twentieth century linguistics – Chomsky's generative grammar being the most influential example. In these models, language text is visualised as consisting of numerous series of open slots to be filled by

individual words. Each slot represents a single choice and "virtually any word" (Sinclair 109) can be inserted, with grammaticalness being the only constraint. For Sinclair, however, this model does not sufficiently explain how we use language and he contends that a second principle is needed to provide "substantial enough restraints on consecutive choices" (110) in order to produce "normal text" (110). This is the idiom principle. The main premise of this principle is that rather than selecting single words to fill open slots, language users rely on preconstructed or semi-preconstructed phrases such as idioms, collocations, speech formulae or lexical items with a specific semantic prosody. These prefabrications (or, short, prefabs) are stored in each person's linguistic memory and increase over their lifetime. They are retrieved as needed by the speaker when constructing or deconstructing an utterance.

The importance that Sinclair ascribes to the idiom principle represents a fundamental departure from the Chomskyan view of language. Sinclair arrived at this position through working with corpora over many years, which provided him with overwhelming evidence that recurring patterns in language usage are pervasive, or in other words, that the language which is used most of the time is formulaic rather than creative. The interest of corpus linguistic scholars and of Sinclair thus specifically lies in what is lexically speaking conventional – the opposite of what this thesis aims to explore. Sinclair's view of language nonetheless serves this project, since the open choice principle and the idiom principle distinguish between what is unexpected und what is conventional, with the degree of representation of the former essentially providing an indicator of how creative the use of language in a given text is.

Sinclair never directly comments on linguistic creativity himself, but hints at it. Both principles are used by speakers, who switch between them. Generally, the idiom principle will be in operation; however, "[w]henever there is good reason, the interpretative process switches to the open choice principle, and quickly back again. Lexical choices which are *unexpected* in their environment will presumably occasion a switch" (Sinclair 114, my emphasis). Another indicative comment is made with respect to the predominance of the idiom principle, a predominance to which Sinclair concedes one exception. Thus he notes,

> [s]ome texts may be composed in a tradition which makes greater
> than normal use of the open choice principle; legal statements for
> example. Some poems may contrast the two principles of
> interpretation. But these are specialized genres that require additional
> practice in understanding. (114)

No further explanation is given. However, it is not surprising that poetry is mentioned, given that unexpected, creative choices in the use of language may be especially common there, even if creative language can and does occur in any type of text.

Sinclair's open choice principle and idiom principle can of course be contested at various levels, but offer a starting point for the purposes of this study. The definition of linguistic creativity in written discourse that is formulated here on the basis of these principles is thus not meant as the final word on the subject, but provides a workable basis for this project:

> *Linguistic creativity* refers to language use that is in some manner
> and to differing degrees unconventional and requires language users
> to switch, during the process of either textual encoding or decoding,
> from the idiom principle to the open choice principle when
> encountering non-prefabricated language.

The question that arises at this point is how to apply such a definition in practice, within the framework of this particular project as well as more generally. Before any answers can be given, however, it is essential to make a number of additional observations. As has been noted (section 1.1.1), linguistic creativity can be achieved in different ways and will therefore also be innovative to a different degree – something that, however, cannot be measured easily as it involves subjective judgement. Linguistic creativity also varies cross-linguistically, that is to say, what is extremely innovative in one language may not be so at all in another, or might be considered only somewhat unexpected. Such variation can be the result of a language's grammar, which may offer distinct possibilities for certain types of linguistic creativity. It may also result from differing conventions of language usage. A writer playing with diminutives in English would, for example, be more creative than one in Spanish where their usage is standardised and notably more common. Even adding diminutive suffixes to foreign words (e.g. proper names) would not

constitute a creative practice in the way it would in other languages where such forms are rare. A second example can be taken from German, where wordplay – such as transforming a noun into a verb or combining existing words to create new ones – is often seen not only in literary writing but also in other text types. Thus coinages like 'schwülsteln' (from 'Schwulst', 'pompousness') 'Neiddebatte' (literally 'envy debate') or 'Schmutzkübelkampagne' ('dirty bucket campaign') can easily be found in daily newspapers, in magazines or even in a speech.[3] Although creative in themselves, the practice of coining them is not and will go relatively unnoticed by German speakers – in other words, at a certain point creativity is subjective. These considerations place some challenges on the model of creativity. Degree of creativity, however, is not a primary concern of this investigation and the model presented does not attempt to assess it, although the discussion will on occasion comment on the issue when it is deemed relevant. The central question here is in what manner the ST and the translations demonstrate creativity and, at a more secondary level, whether linguistically creative choices are overall more or less prevalent in specific translations – but not whether a particular choice of one translator is more or less creative than another's. As for variation across languages, this aspect will have to be taken into consideration when comparing the language of the German source text and its English translation.

1.1.3   Determining linguistic creativity: Intuition and Sinclair's principles

To explore linguistic creativity the research for this thesis proceeded in two manners. In the first instance it involved a manual reading of the complete digitised texts composing the research corpus in order to note any striking tendencies, either in the original or in one of the translations, without defining these tendencies in advance in any way. In this more traditional manner of reading no attempt was made to directly apply Sinclair's principles to the texts as this would have been futile. Identifying the exact distribution of the open choice principle and the idiom principle in every single sentence of a text is a difficult as well as impractical task. Done manually, the task relies on a researcher's subjective judgement and is also immensely time-

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[3] See *Die Wortwarte* (<http://www.wortwarte.de>) for more examples.

consuming.[4] No reliable automated methods exist and developing a programme that would allow an automated comparison of a select corpus against a large, general corpus to determine prefabs as well as atypical, possibly creative formulations in texts would have been an interesting proposal but was impossible to implement, for a number of reasons, including the lack of technical knowledge on my part and the fact that access to such a reference corpus in the manner that would have been required for running such a programme is normally not available and difficult to acquire. Furthermore, even if designing such an application had been feasible, it would have required extensive testing to assure its viability, a task most likely beyond the scope and time frame of a single PhD project. With the open approach of manually reading the ST to note specific tendencies, results were of course unpredictable and the method itself subjective rather than objective. However, this did not matter as long as the tendencies identified and selected for further study were interesting and insightful in terms of some aspect of linguistic creativity.

Secondly, largely on the basis of the manual reading, I decided on specific units of analysis in order to be actually able to apply Sinclair's principles in practice. Different options for these units of analysis were given: they could be specific phrases, sentences, paragraphs or even small sections of the text. The only condition was that at least some of them needed to be longer than single item words so as to be able to apply the idiom principle, which is tied to multiple-item word units. Anything shorter would have defeated the purpose of using a model based on Sinclair's principles, while significantly longer units, such as paragraphs or whole text sections, were deemed not feasible within the scope of the project. Rhetorical devices[5] such as metaphors, oxymorons or alliteration, were all good choices as they are often used by writers to be creative and original. The rhetorical devices

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[4] Having previously analysed the distribution of Sinclair's principles in Cilla McQueen's short poem "Otherwise" (for MA course work) as well as in a single-page chapter of Julio Cortázar's *Rayuela* (for my MA thesis), I was well aware of these limitations.

[5] Rhetorical devices are sometimes also referred to as 'literary features' or 'literary devices', but I have here opted to use a more inclusive term that is not immediately associated with literature so as to keep in line with the position that linguistic creativity is not just part of literary discourse but can occur in any type of text.

ultimately selected were neologisms, similes and metaphors. The rationale behind this choice follows in section 1.1.4.

This still leaves the question of how to assess any rhetorical units that are detected in terms of their linguistic creativity. As there are different ways of being innovative and varying degrees of creativity even when only considering linguistic aspects in the text, there is no one way to go about such an assessment. As mentioned on page 16, one good place to start would seem to be intuition. In this case I was using my own intuition as an individual having grown up with both languages involved in the study to judge whether selected units are fully innovative, contain familiar parts or are even prefabricated in their entirety. Such judgement is inevitably subjective to a degree, but it was not used on its own as, with all three units of analysis, it was complemented by further evaluations. For each item, the specific features of the open choice and idiom principles were taken into account and a check against a range of corpus resources at various stages of the process was also done, the former offering some concrete and consistent points for the assessment and the latter, although not definitive proof, providing more objective data to support the observations made.

1.1.3.1   Features of open choice principle and idiom principle

As noted earlier, the idiom principle indicates conventional language usage, with users switching to the open choice principle only when encountering unexpected and creative language choices. In fact, even prefabricated language as described by the idiom principle is often not completely fixed, indeed, with the exception of proverbs and a few other established expressions, it probably rarely is. Sinclair characterises the idiom principle as having a number of important features – further illustrated by Erman and Warren (2000) and Erman (2007) – including restricted exchangeability, restricted lexical and syntactic variability, open slots, recursivity and extendability.

The manner in which speakers manipulate some of these features can also signal creativity.[6]

1.1.3.1.1 Restricted exchangeability

The first feature, restricted exchangeability, is a defining property of any prefab and stipulates that at least one of its constituents must not be exchangeable if the unit's meaning, function and idiomaticity are to be maintained. For example, in 'I haven't got a clue', an informal way to express that one knows "nothing about something or about how to do something" (*Dictionary*), the word 'clue' is fixed. It cannot simply be substituted by any of its many synonyms, which include "hint, indication, sign, signal, pointer, trace, indicator, lead, tip, tipoff, evidence, information, question, problem, puzzle, riddle, poser, conundrum" (*Dictionary*)[7]. The insertion of some of these alternates ('signal', 'question', 'problem') is in fact possible, but changes the meaning of the prefab, e.g. with 'I haven't got a signal' possibly expressing a mobile phone user's observation in an area without network coverage. Such changes in meaning as well as changes in function do not concern us here, as the resulting language can often still qualify as prefabricated or semi-prefabricated. However, when encountering language in which the substitution of a non-exchangeable element of a prefab has been made and results in the loss of idiomaticity, we will find unexpected, creative language usage. Inserting 'hint', 'tipoff' or 'poser' (whether to mean 'I haven't got a clue', 'I haven't got a signal' or something else entirely) produces such unconventional language.

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[6] The examples given to illustrate the features of the two principles are all from English. However, all features equally apply to German.

[7] *Dictionary* gives two meanings for 'clue': 1) "piece of evidence or information used in the detection of a crime or solving of a mystery" and 2) "a verbal formula giving an indication as to what is to be inserted in a particular space in a crossword or other puzzle". The last six synonyms are for the second meaning.

1.1.3.1.2 Restricted lexical variability and restricted syntactic variability

The example 'I haven't got a clue' also illustrates another feature of the idiom principle: restricted lexical variability. Although all prefabs have at least one unalterable constituent, the majority do allow for at least some variation on a lexical level. In 'I haven't got a clue', the lexical item 'I' can be replaced by any subjective pronoun or noun phrase. Related to this kind of variability is restricted syntactic variability, which operates in terms of the grammatical construction of phrases and the variations that are permitted or restricted for specific prefabs. Erman and Warren (2000: 32) provide several examples of this feature, including 'I guess' which cannot be negated (*'I don't guess') when it operates as a pragmatic epistemological prefab, or 'It will do', which must keep the auxiliary (*'It does') – restrictions that normally do not apply. The precise degree of lexical and syntactic variability is dependent on the specific prefab and can vary from highly limited (e.g. with only one or two lexical alternatives being allowed) to quite extensive (as with the wide subject variation allowed with 'I haven't got a clue'). Creativity is demonstrated when these specific lexical and syntactical restrictions are broken by language users, with the previously referenced "a pretty how town" poem being an exemplary illustration of this. In the poem ee cummings constantly challenges restrictions. He uses "little by little" in the antepenultimate stanza, a prefab that allows for only limited lexical variation. 'Bit by bit' is one possible alternative, but ee cummings opts to insert entirely different lexical items and follows with "was by was", "all by all", "deep by deep" and "more by more".

1.1.3.1.3 Open slots

Strictly speaking open slots are not a feature of the idiom principle, but of both principles as they describe any opening within a text that must be filled with lexical material. In the case of the idiom principle, open slots occur at those points of a prefab where variation is possible. Both for openings within prefabs as well as outside them specific constraints usually apply, which, in addition to the restrictions already detailed, will involve the lexical items immediately surrounding the slot as well as the wider context of the text. Open slots are not necessarily indicative of

creativity, but, depending on the material inserted into the slots, are points where creativity may occur.

1.1.3.1.4 Recursivity

The final two features associated with Sinclair's model are recursivity and extendability. The former points to the fact that open slots within prefabs can be filled by other prefabs, while the latter refers to optional openings within prefabs. Recursivity need not concern us separately as the other features explained here will already account for any creativity that may arise in recursive constructions. However, it is worth saying a few words about extendability.

1.1.3.1.5 Extendability

Extensions operate in a manner similar to open slots within prefabs as they may involve single or multiple items [e.g. 'a (long) sigh of despair' and 'to give a (low and obnoxious) moan' respectively], or even whole prefabs [e.g. 'happy as a clam (at high tide)']. Again, constraints will apply for any material inserted. Depending on specific material placed into slots or if insertions are made in places where extensions are normally not possible, linguistic creativity may be demonstrated. Possible factors to consider are the length and form of extensions as, in English at least, insertions will typically be limited to two or three lexical items and will often follow specific patterns. For example, adjective complements often come in pairs (as 'low and obnoxious' above) or, if three words are used in a construction, the format of 'adjective 1' + 'adjective 2' + and + 'adjective 3' + 'noun phrase' is used, with a comma inserted between adjective 1 and 2. Extensions that are significantly longer or deviate from typical patterns are therefore likely to signal unconventional language usage.

Some points have to be made about the limitations of using a model of creativity based on Sinclair's open choice principle and idiom principle. It is not a model that can or intends to capture every kind of linguistic creativity. Sinclair's principles describe conventional and unexpected language usage at word level, but do not cover, for example, creativity operating below word level, such as alliteration or

assonance. Although such creativity may be captured by the model at times, as a language user can exploit, for example, alliteration in such a manner that it will also affect an utterance at word level, there is no guarantee for this. The rhetorical devices assessed in this study were therefore chosen with these limitations in mind.

1.1.4   Units of analysis

1.1.4.1   Rhetorical units: Neologisms, similes and metaphors

The three rhetorical devices selected for this study – neologisms, similes and metaphors – provided concrete units of analysis since a full text analysis of *Der Tod in Venedig* via Sinclair's open choice principle and idiom principle was not possible. In the case of neologisms, there were relatively clear lexical borders as in both languages concerned coinages are generally composed of single or concise unit items (i.e. not extending more than a couple of words and with no extraneous material inserted). Lexical borders for similes and metaphors, which generally operate at phrase rather than word level, were not quite as concrete as both may contain lexical material not directly related to the rhetorical device, something that is particularly true if extended metaphors are involved. This factor was, however, not insurmountable, but merely required a different approach to identifying and analysing linguistic creativity in similes and metaphors compared to neologisms.

The devices were chosen for distinct reasons. All of them can be used to realise linguistic creativity. In the case of neologisms, linguistic creativity is an intrinsic characteristic although the degree of innovation may vary. Similes and metaphors, meanwhile, may be used creatively but can also be conventional. The issue of inherent versus potential linguistic creativity is expanded on in the respective chapters.

Neologisms were appealing because of their habitual frequency and different usage in German compared to English, which promised potentially rewarding data for analysis. Similes and metaphors, on the other hand, were two rhetorical devices that are often linked as both are said, by some theorists at least, to involve comparison. Their exact relationship is much debated by scholars, some arguing that similes are a

type of metaphor, others that metaphors are similes by ellipsis and yet others considering them entirely separate. The fact that similes and metaphors have distinct linguistic realisations (similes rely on an explicit linguistic marker to signal a comparison, while metaphors exploit a conceptual connection via a linguistically varied tenor and vehicle) yet are potentially related, makes them interesting units for analysis, as does the fact that extensive research has and continues to be done on metaphors. Similes, meanwhile, have been largely neglected and are frequently considered only alongside metaphors, with few studies being exclusively dedicated to them.

The distinctive linguistic form of not only similes and metaphors but also neologisms signified that each of the three rhetorical devices required different corpus-based methods for their retrieval as well as individualised approaches in terms of the manner and degree that Sinclair's principles could be applied and cross-checks with corpus resources could be done. These challenges were welcomed as they would enable the study to highlight the ways in which and the extent to which corpus linguistic methods may be utilised in literary and translation studies. Some of the devices are more easily detected with the help of corpus tools, while others require a combined or possibly even primarily manual method with only limited assistance from corpus resources. Similes are the most straightforward in this respect. As noted, they contain linguistically distinct markers, which greatly facilitate their detection in a digital corpus through the query functions available in the software. Finding metaphors is, on the other hand, not quite so simple. There are no markers for them as a metaphor's two basic elements, the tenor and the vehicle, with the former indicating the subject talked about and the latter what that subject is compared to, have no characteristic linguistic realisations but can essentially be expressed through (almost) any word in any form. While a range of corpus-based procedures for detecting metaphors does exist, most were not suited to the project, which eventually opted for a method that involved identifying the device primarily on a manual basis. However, this identification process was greatly aided by the semi-automatically aligned digital format of the texts, as well as including a cross-check in corpus databases and an application of the different features of the open choice principle and idiom principle to the units of analysis on a case by case basis.

Like metaphors, neologisms take no generalisable linguistic form, but are much easier to determine. As words newly coined by the individuals using them, they are rare and will normally occur infrequently, often even only once in a given text. This characteristic facilitates their identification through corpus-based means as tools such as WordSmith offer programmes – *WordList* in this case – that itemise all distinct word forms in a corpus by frequency. The resulting list can then be examined, on the basis of intuition, for potential neologisms, with further checks again involving corpus resources.

Finally, what also made the three rhetorical devices chosen interesting was that they offered distinct levels of analysis for linguistic creativity. As the most concise unit, the focus with neologisms is at word level. Similes are explored at phrase level as, both in German and in English, they typically consist – due to the number of components a simile must contain as well as grammaticalness – of minimally three words (e.g. 'Blätter wie Hände')*,* although probably more often of at least four ('Wellen hüpfen wie Ziegen', 'Art is like life'). Metaphors, meanwhile, operate at various levels as even a single word may be used figuratively. Those that are considered in this study function at phrase as well as at cross-textual level, whereas several examples throughout the novella are connected to form a special kind of extended metaphor.

1.2 Motivations for a corpus-based study on linguistic creativity

1.2.1 Interdisciplinarity: The gap between literary studies and corpus linguistics

The motivation to do a corpus-based project derives from the aim to bridge the significant gap that continues to exist between literary studies, including the field of comparative literature, and corpus linguistics as researchers from one discipline still only sometimes engage with the other one. While literature has been studied in some form probably since the beginnings of literary text production – and possibly even before, with oral literature –, corpus linguistics is, as we know, a much younger area of research. After its slow beginnings in the 1960s, modern corpus linguistics managed to create more interest and, although Chomsky's view on it may not have changed much, the field has seen a boom in recent decades: the number and size of

corpora have grown exponentially, as has the quantity and diversity of corpus-based research, in particular from the 1980s onwards. Figures (from 1991, provided by Johansson, 312) for English corpus studies distributed through ICAME[8] reflect this development:

Table 1.1 Number of ICAME-distributed publications of research on English text corpora

Year	No. of publications
-1965	10
1966-1970	20
1971-1975	30
1976-1980	80
1981-1985	160
1986-1990	320

More recent data is not available, however, any query of scholarly databases will reveal a diverse range of research into topics such as idioms in academic speech, corpus-assisted creative writing and *Twitter* corpora.

Corpus linguistics has also increased in relevance in translation studies, including with literary translation, with Mona Baker's 1996 article "Corpus-based Translation Studies: The Challenges that Lie Ahead" and special journal issues dedicated to corpus-based or corpus-driven research (like *Meta's* special volume on *The Corpus-based Approach* from December 1998) providing a further impetus. Yet even with the increase in corpus studies, there is much that remains to be explored, including when it comes to retranslation as well as with the specific rhetorical devices that are the focus of this thesis – as is revealed by the overviews of corpus-based research involving retranslation and/or neologisms, similes and metaphors given in the respective chapters.

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[8] ICAME (*International Computer Archive of Modern and Medieval English*) is an international organisation for researchers working with machine-readable texts in English.

1.2.2   Reasons behind the choice of ST

The reasons for choosing Thomas Mann's *Der Tod in Venedig* as the ST in this study are varied and include the genre and length of the text, the availability of language-specific corpus linguistic resources that are low-cost or cost-free as well as the total number of translations.

1.2.2.1   Text genre

The project did not commence with a specific text in mind, but came only with a couple of general preferences: one, to use a literary rather than non-literary work, and two, to select a piece of prose rather than poetry. The former was connected to the aim to explore linguistic creativity in translation. Although the study does not subscribe to the view that such creativity is limited to or even exclusively prevalent in certain text types but rather supposes that language speakers utilise creative language in literature as well as in other genres, it opted for a literary text nonetheless as non-literary works are not normally translated into the same language more than once or perhaps twice, let alone in numbers adequate to allow for the kind of retranslation study envisioned for this thesis. Indeed, even literary retranslation tends to be fairly restricted, including typically no more than two or three alternate versions for longer works such as novellas or novels. The second preference, meanwhile, was due to the decision to work with a text not characterised by especially poetic forms (rhyme, metre or marked use of rhetorical devices), which would have likely required additional considerations. For the same reason, it was decided to select an example of prose with 'more ordinary' rather than noticeably lyrical language – a choice that contrasts with Kenny's study (2001) on linguistic creativity in a corpus of German novels, which specifically sought out experimental fiction known for its innovative language (see also page 89). The choice of prose was furthermore motivated by text length and comparability. The selected text could neither be too short, as it had to provide an amount of data requisite for the depth of analysis required for a PhD thesis, nor could the text be too long – the project had to be realistically feasible given practical limitations such as time and numbers of researchers involved (only one). A single short story would have been insufficient,

while multiple sets would have complicated finding suitable texts as well as added several factors to consider in the creation of the retranslation corpus and the comparability of the texts in terms of ST authors (the same author for all short stories versus multiple authors, one for each ST), the number of translations for the ST within each set (large enough for a retranslation study and ideally roughly similar for the different STs) and the translators (mostly the same? all different ones?). Therefore, it was decided to search for a single novella or a novel of not too excessive length (less than two-hundred pages) for the project.

1.2.2.2 Number of existing and available translations

The choice of text was also informed by the number of translations in existence. The intention was to study an extended set of retranslations – i.e. consisting of at least five but preferably eight or more TTs in the same language – rather than an ST with only two or three alternate versions, as that would not have sufficiently differed from the usual kind of translation study involving only a single ST/TT pair. An extended set, meanwhile, offered the opportunity to explore a distinct territory, with the possibility to uncover patterns unique to particular translations in comparison with a large set of other versions, or shared tendencies among all TTs. An important condition for the text to be selected was that the complete set of retranslations had to be available: it had to be possible to obtain all English versions of the ST, whether newly purchased or second-hand, in print or digital format, as a gap in the set, particularly if it were to occur in the middle of the retranslation corpus, would have affected the analysis and conclusions to be drawn from the study. The stipulations for text genre, minimum number of retranslations and availability, significantly narrowed down the STs suitable for the project as longer, modern prose texts are not normally translated repeatedly – typically, there are no more than one or two alternative versions unless perhaps a text is from an especially popular author or some other unusual circumstance exists.

With no one centralised database listing translations, a combination of resources, both in print form as well as online and covering multiple languages according to the author's linguistic abilities, was used to find the appropriate core text for the

research project. These included the *Encyclopedia of Literary Translation into English* (2000, edited by Olive Classe) and *Literaturen der Welt in deutscher Übersetzung: eine chronologische Biographie* (1997, by Wolfgang Rössig) as starting points to identify potential source texts with multiple same-language translations as well as several library catalogues and multi-library databases (specifically WorldCat, COPAC and MASC25), online shops with particularly large inventories (Amazon's various regional sites, e.g. <amazon.de> and <amazon.co.uk>) and/or specialising in either old or rare books (*Abebooks*), the UNESCO's specialised translation database (the "Index Translationum – World Bibliography Database"), web search engines and *Wikipedia* in order to determine as fully as possible all TTs in existence. Additionally, once a number of potential STs had been shortlisted, secondary literature on these texts in translation was also consulted. The thorough investigation proved to be crucial as none of the resources provided a full listing – indeed, many had quite significant omissions and, for the text ultimately chosen, one revised translation as well as two versions by yet other translators were only discovered at separate, later stages of the research despite the fact that they already had been published at the time of the original query (see 2.5.1.2 for more details). Some resources also contained erroneous information, for example, listing translations that did not in fact exist.[9]

Three texts were shortlisted: The 1910 novel *Die Aufzeichnungen des Malte Laurids Brigge* (*The Notebooks of Malte Laurids Brigge*, with six English translations), the 1912 prose poem *Die Weise von Liebe und Tod des Cornets Christoph Rilke* (*The Lay of the Love and Death of Cornet Christopher Rilke*, with eight), both by Rainer

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[9] For example, for *Der Tod in Venedig*, the text that was ultimately selected for the study, one of the resources, the "Index Translationum", provided details of only five of the eleven translations actually in existence (those by Lowe-Porter, Koelb, Heim, Appelbaum and Ritter – the last of which is in fact incorrect).

Maria Rilke, and the 1912 novella *Der Tod in Venedig* (*Death in Venice,* with eleven including one revision) by Thomas Mann.[10]

1.2.2.3 Availability of corpus linguistic resources

Another factor that influenced text choice was the availability of corpus resources, in particular general corpora offering comparative data for specific stages of the study. The search for corpora was guided by language and cost factors. Combinations of source language/target language between German, English, Dutch and Spanish were all options for the author. German/English soon proved to be the most appropriate pairing as several large, general corpora were available for both languages. Crucially, these databases contained both historical and contemporary data, something that was important given the publication date of all the source texts considered but also some of their earlier translations. Several were accessible free of charge, although registration and university affiliation were required in some instances. Detailed information on the corpus linguistic resources used for the project is given in the relevant chapters.

1.2.2.4 Final text choice

Mann's *Der Tod in Venedig* met all the criteria stipulated: it was a single, longer text written in prose with a significant number of English versions, all of which were, with some effort, obtainable. Although the larger number of translations of Mann's novella compared to either of Rilke's texts was appealing, this aspect was not decisive in the final choice. Rather, it was the fact that of all the works initially considered for the study, it was the one less obviously creative in its use of language. While both of Rilke's prose texts almost read like poems with an unrestrained use of neologisms, imagery and other rhetorical devices, Mann's style in *Der Tod in Venedig* is much more subtle. It is characterised by lengthy and complex sentences, usually containing several subordinate clauses. Mann's writing is carefully and

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[10] The number of translations for Rilke's works are the ones identified at the time, but it is very possible that further versions exist. As the project showed, identifying all translations is not always an easy task.

purposefully crafted and does contain plenty of rhetorical devices, although the text does not strike readers as being as immediately innovative as Rilke's – yet this is precisely what makes it more interesting. There was also a personal aspect in the decision to use Mann's novella: it was the text that appealed most to the researcher. This factor that should not be discounted given that a PhD research project extends over several years and, in this case, involved working with a single literary work only (albeit in multiple versions), so committed interest in the text was highly desirable. That said, it should be noted at this point that while the thesis hopes to make some contribution to Thomas Mann scholarship with this text choice, its centre of gravity lies within corpus-based translation studies.

A summary of the chapters of the novella is provided in Appendix (A) for those not familiar with the story.

1.3 Argument

In the *Der Tod in Venedig* corpus, linguistic creativity is handled differently in translation depending on the rhetorical device that is used to realise it. When it comes to neologisms, which generally are concise, single-item units processed through the open choice principle, linguistic creativity is predominantly eliminated across all TTs, while innovative similes and metaphors, as multi-word units involving both of Sinclair's principles, are significantly more likely to be preserved even when shifts in translation are seen. The dissertation also puts forward the concept of *countertranslation* or *countering* and proposes that in a large set of translations as within the corpus studied here, this countertranslation, which may involve conventional forms of language, could be considered as a particular form of retranslational creativity.

1.4 Statement of aims

The thesis comes with three main aims, closely linked to cornerstones identified on page 13. It intends, first, to explore the use of linguistic creativity in language, second, to study an extended as well as complete set of retranslations and, third, to

overcome the gap between corpus linguistics and literary studies by working with a methodology that is corpus-based.

1.5 Overview of chapters

The thesis is structured in seven chapters, including the introduction and the conclusion. The introduction (Chapter 1) is followed by Chapter 2 (*Der Tod in Venedig and Its Kometenschweif*), which presents the ST at the heart of this study, Thomas Mann's *Der Tod in Venedig*, and the eleven English versions currently in existence. Information on the origins of the novella is provided through its publication and translation history, with the latter specifically focusing on all the English versions available. Factors motivating the unusually high number of retranslations of *Der Tod in Venedig* and each TT's relationship with preceding versions are explored on the basis of extratextual material. The phenomenon of retranslation is discussed within the realm of literary texts as a brief overview of the Retranslation Hypothesis (RH) and its criticisms is provided, followed by a review of existing literature on retranslation. Comparative studies on select retranslated texts as well as extended and complete retranslation sets are considered, the latter specifically in view of the shift seen through the Göttinger *Kometenschweifstudien.* Retranslation research involving corpus-based methodology is also explicitly noted. The chapter then proceeds to describe the two corpora used for the study, WST-TIVC and A-TIVC, giving details on their digital compilation in terms of the software and the technical as well as legal issues encountered in the process. Finally, some basic statistical data is provided, as the differences between the ST versions, the STs and the TTs as well as between the TTs are highlighted.

Chapter 3 (*Neologisms*) explores linguistic creativity at the word level. It attempts to define what constitutes a neologism, distinguishing between newness in form, meaning and function in lexical items before exclusively focusing on neologisms that manifest newness in form. Different word formation processes (*compounding, synthetic compounding, derivation, conversion, abbreviation* and *terminologisation*), which can be used in the creation of lexical items, are described and those that are of interest to the study – i.e. those that qualify as linguistically creative – are identified.

Given that word formation processes do not necessarily result in creative forms, the productivity in the formation of a word, its individual level of innovation, historical origin as well as the spread and frequency of usage over time are discussed as factors that can assist in determining whether a specific item is in fact a neologism. The chapter then surveys research into neologisms that is corpus-based and/or involves translations. It proceeds to detail the combined methodology used in retrieving and confirming novel lexical items in the *Der Tod in Venedig* retranslation corpus, involving automated wordlists, native speaker intuition and a cross-check based on multiple types of corpus databases. The ST data obtained is classified into distinct neologism types, with the chapter further examining the lexical creativity exhibited in the translation of these items, normalisation strategies and translator-specific tendencies. Neologisms added independently by translators are not studied separately. The chapter concludes that, with respect to neologisms coined by Mann, significantly less linguistic creativity is seen in all TTs as ST neologisms are not only frequently eliminated but that even when they are preserved, less innovation is demonstrated. The uniform treatment of neologisms by the translators supports Venuti's argument for domesticating strategies in Anglo-American translation and raises questions about the Retranslation Hypothesis.

Chapter 4 (*Similes*) examines linguistic creativity at phrase level. It begins by providing an overview of the different definitions for similes in both German and English literature and considering their various limitations. It offers a working definition for how similes are understood within the scope of this study, supplying a list of both obligatory and optional features (simile markers, added insight, register, extent, complexity, REAL+/REAL- and concreteness versus abstraction) that can assist with identifying similes in practice. Similes are further discussed as multi-item units that, in contrasts to neologisms, are not inherently creative but may also become conventionalised. The corpus-based method to retrieve and confirm similes from the *Der Tod in Venedig* retranslation corpus is described and two lists of potential similes markers – one for German, one for English – are provided. The data section of the chapter observes that the similes used by Mann, although virtually always novel, vary in creativity. The novella features simple creative similes that rely on the most basic simile structure but generally increase in

innovation with added complexity and extent. A particular note is made of Mann's use of similes that rely on allusions or contain abstract elements. The data section then proceeds to examine what happens to the ST similes in translation. Preservation rates and specific changes manifested in the TT similes and/or by particular translators are analysed, including patterns in the removal of the device, the addition as well as the omission of linguistic material from individual similes, explicitation with some allusive similes and examples of so-called countertranslations. Furthermore, the chapter considers similes that have been added in the English *Death in Venice* independent of the source text, noting the basic form they take in comparison to Mann's own similes, the kind of situations in which such additions typically occur and the translators who favour them. The chapter argues that, unlike with neologisms, similes are generally preserved as creative rhetorical devices, likely facilitated by the fact that they operate at phrase level and can and are rendered in a linguistically more fluent manner while still exhibiting creativity.

Chapter 5 explores linguistic creativity on the extended phrase level and cross-textual level by focusing on *metaphors*. It summarises five of the most important theories on metaphor within literary studies, i.e. the comparison view, the interaction view, the pragmatic view, the conceptual view and the categorisation view, and notes the shift from perceiving the device as something decorative to something pervasive in all of language within these approaches. The chapter offers a basic working definition for metaphors and then proceeds to discuss creative metaphors specifically. Degrees of conventionality (both on a conceptual and on a linguistic level) are addressed and Turner's, Goatly's and Deignan's models of metaphoricity are each outlined and assessed in terms of their usefulness for the study. An exclusive focus on linguistic metaphors is established. The chapter then provides an overview of corpus-based research into metaphor, describing the existing methods for retrieving metaphors from digital databases, including the use of pre-defined lexical items and annotations. The limitations of these methods and their suitability for this specific research project are considered. With no satisfactory corpus linguistic method to detect metaphors, a primarily manual procedure of determining and selecting creative metaphorical items is used in the end, assisted, however, by the digital format of the texts in the *Der Tod in Venedig* corpus and corpus-based

resources to confirm the creativity of individual metaphors. The study acknowledges that, in contrast with neologisms and similes, the list of metaphors analysed is by no means comprehensive but a sampling. It then explores single metaphors and metaphor multiples and considers how different types of metaphors display linguistic creativity in the ST in different ways. Common characteristics seen within single metaphors are described, such as detailed metaphor grounds and the use of personification. With metaphor multiples, a distinction is made between metaphor clusters that consist of two or more individual metaphors in the same location and megametaphors that extend over the entire discourse. Particular attention is also given to Mann's use of allusive metaphors, which, like allusive similes, predominantly make reference to Greek mythology.

The chapter observes that the select list of metaphors studied are frequently preserved in terms of the rhetorical device itself but that translation shifts may be seen that can alter but do not necessarily eliminate their creativity. It also notes that, at cross-textual level, metaphor clusters and megametaphors realise linguistic creativity both through novel and conventional components, something that Sinclair's principles cannot account for.

The final chapter, *Creativity in Retranslation*, returns to the phenomenon of countertranslation, which is mentioned in the data analysis sections of each of the three units of analysis. It briefly reiterates the definition for countertranslation before noting its particular features as a form of linguistic creativity that is unique to extended sets of retranslations (i.e. *Kometenschweife*) and describing how it differs from the linguistic creativity that is the focus of the study otherwise. The chapter considers the three translations that deviate most noticeably within the *Der Tod in Venedig* corpus (Doege, Chase and Lowe-Porter), arguing that one of them (Chase's version) exhibits a pattern of countertranslation. Furthermore, Chapter 6 discusses statistical data obtained through corpus tools, in particular the detailed consistency scores, as an aid to identifying the translations that diverge most significantly while keeping the limitations of such instruments in mind. It observes that countertranslation specifically and creativity in retranslation more generally are

areas that need to be studied further, although few corpora suitable for such investigations are likely to exist.

The conclusion provides an overview of the aims of the thesis as well as a summary of its findings in terms of linguistic creativity in the ST and its preservation and realisation in the eleven English translations. It considers the unexpected forms of linguistic creativity that became apparent during the course of the study, manifested both through conventional language as something innovative (within metaphor clusters and megametaphors) and the notion of countertranslation in a retranslational corpus, neither of which can be captured by the model of creativity based on Sinclair's principles that was applied to the selected units of analysis. A reflection on the application of corpus resources for studying retranslation and linguistic creativity follows, including the use of digital corpora and corpus tools for retrieving and assessing neologisms, similes and metaphors. The chapter concludes with suggestions for areas of further research on the basis of gaps that exist within the project presented as well as questions that ensue from the research process and its findings.

Chapter 2   *Der Tod in Venedig* and Its *Kometenschweif*

2.1   Thomas Mann's *Der Tod in Venedig*: Origins and text status

Thomas Mann commenced writing *Der Tod in Venedig* some time after a holiday in Venice in May 1911 and completed the novella by July 1912. While still in progress, parts of the work were published by Hans von Weber, with a print of the finished work following, in two installments, in the German literary magazine *Die neue Rundschau* in October (chapters 1–3) and November 1912 (chapters 4–5). This full, original version, also known as *Erstdruck* (ED), was revised by Mann twice, with the so-called *Buchausgabe* (BA) being published in February 1913 by S. Fischer and the *Hundertdruck* (HD) in the spring of 1913[11] by Hyperionverlag München Hans von Weber. While the HD version was printed last, it is in fact the second version of *Der Tod in Venedig* as its publication was delayed and followed that of the third version, the BA. The differences between the ED and the BA are, according to Reed, "geringfügig", but between the BA and HD "vielfältig und mitunter gravierend" (both 272). Reed considers the third version as the definitive one. Both the BA and HD remain in circulation, in print form as well as online – although the latter seems to be available only second-hand. With the copyright of Mann's novella having lapsed in several countries,[12] the text is, however, easily available on the internet, e.g. *Project Gutenberg* (<www.gutenberg.org>) using the HD version and *The Internet Archive* (<https://archive.org>) the BA one. The ED, meanwhile, seems to be largely

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[11] No month is specified. Indeed, the imprint of the HD version indicates summer 1912 as the publication date, but it was published "mit ziemlicher Wahrscheinlichkeit erst später im Frühjahr 1913" (Reed 374).

[12] The copyright status of the text varies. It is in the public domain according to the *Berne Convention for the Protection of Literary and Artistic Works*, which stipulates that copyright ceases fifty years after the death of the author (Mann died in 1955), and US law, where works published prior to 1923 have public domain status. However, the novella generally remains protected in the European Union, where post-mortem copyright lasts seventy years.

out of circulation, although a full scan of the October and November 1912 issues of *Die neue Rundschau* can again be found at *The Internet Archive*.[13]

That multiple versions of *Der Tod in Venedig* exist is in part due to Mann's initial concerns about how his subject choice would be received. According to Reed, even just writing about homosexuality and/or pederasty in the 1910s was risky to the point of bordering on illegal, noting that "[e]s nimmt also nicht wunder, dass auch Thomas Mann für alle Fälle an eine Privatpublikation in kleiner Auflage dachte". Mann received permission surprisingly quickly from S. Fischer, his usual publisher, for a limited print run of the novella as part of Hans von Weber's bibliophile series *Hundertdrucke*. With Mann's previous novel *Königliche Hoheit* (*Royal Highness*, 1909) having been deemed a failure by many critics, the success of *Der Tod in Venedig* was going to be crucial for restoring his reputation as a writer. Fortunately, the reception of the ED in the German-speaking world was generally positive. Mann himself was pleased with most of the reactions he received,[14] although Shookman later notes that initial reviews were mixed, writing that "roughly sixty percent … were favourable on the whole, that about twenty percent were mainly negative, and that a further twenty were ambivalent" (*A Novella and Its Critics* 43). Over time, the novella became one of Mann's best known and most lauded, something also confirmed by its print run. Fischer's initial printing of 8,000 copies sold out immediately. Shookman reports that "by the end of 1914, this figure had reached 18,000; that during the First World War, it reached 33,000; and that by 1930, it was 80,000" (135). *Der Tod in Venedig* always remained in print, and, decades later, it had average annual sales of 24,000 copies between 1960 and 1970, which at times

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[13] Unlike the BA file, the ED consists of non-machine readable image scans of the original journal, which uses an old font style that is neither easily legible for contemporary readers nor recognised by software used to convert such files into machine-readable format. This factor may explain why the BA version is available more widely online.

[14] In a letter to Philipp Witkop in March 1914 he writes as follows: "Über meine Novelle höre ich andauernd von allen Ecken und Enden Beifälliges, ja Bewunderndes. Noch nie war die unmittelbare Teilnahme so lebhaft – und es sind zu meiner Freude die Stimmen dabei, auf die es ankommt. Es scheint, daß mir hier einmal etwas vollkommen geglückt ist, – ein glücklicher Zufall, wie es sich versteht. Es stimmt einmal Alles, es schießt zusammen, und der Kristall ist rein." (qtd. in Reed's *Große kommentierte Frankfurter Ausgabe*, 382).

increased (Wolfgang Mertz, qtd. in Shookman 135-136) when the novella was adapted to other media – most importantly Luchino Visconti's film *Morte a Venezia* in 1971, Benjamin *Britten*'s opera *Death in Venice* in 1973 and John Neumeier's ballet *Der Tod in Venedig. Ein Totentanz* in 2003. Scholarly interest in *Der Tod in Venedig* also grew, with multiple book-length studies becoming available in the 1980s and 1990s.[15] In 1983 Terence Reed edited an important new German edition of the novella published by Hanser and, nearly twenty years later, was also in charge of the *Der Tod in Venedig* section in the *Frühe Erzählungen 1893-1912* volume of the *Große kommentierte Frankfurter Ausgabe,* Fischer's annotated publication of Mann's oeuvre.

The novella's success is also measurable in its translation history. It remains one of Mann's most translated works and is available in more than twenty-three languages, in some cases in multiple versions.[16] The first translation, into English, was done by Kenneth Burke in 1924 and was soon followed by a French version by Félix Bertaux and Charles Sigwalt in 1925 and another English one by Helen Tracy Lowe-Porter in 1928.

Burke's and Lowe-Porter's translations commenced an interesting and particularly lengthy translation trail for *Der Tod in Venedig* in English. Burke's was revised in 1970, with new versions following in 1988 (David Luke), 1994 (Clayton Koelb), 1995 (Stanley Appelbaum), 1998 (Joachim Neugroschel), 1999 (Jefferson S. Chase), 2004 (Michael Henry Heim), 2007 (Martin C. Doege) and 2012 (Thomas S. Hansen and Abby J. Hansen). There are some indications that additional translations, one done by Herman George Scheffauer in the 1920s and another by Erich J. Heller in 1970, may be available, the former being mentioned by Lowe-Porter in her essay "On Translating Thomas Mann" (Horton, *Thomas Mann in English: A Study in Literary Translation* 187) and the latter by Appelbaum in his translation (Mann,

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[15] See Shookman (137-218) for details.

[16] Translations into the following languages are available: Albanian, Catalan, Croatian, Czech, Danish, Dutch, English, French, Galician, Hungarian, Italian, Japanese, Macedonian, Norwegian, Polish, Portuguese, Serbo-Croatian, Serbian, Slovak, Slovenian, Spanish, Swedish and Turkish. See Barter (6-7) for full details.

Death in Venice 63) as well as by Naomi Ritter in her 1998 critical edition *Thomas Mann. Death in Venice* (vii). However, I have been unable to trace either of these translations and am doubtful that they in fact exist.

2.2   Retranslation

As a study that includes all the English translations of a single work, this project falls under the phenomenon of *retranslation,* which describes "the act of translating a work that has previously been translated into the same language, or the result of such an act, i.e. the retranslated text itself" (Gürçağlar 233). Literary retranslation is common and, with certain text genres such as plays, even prevalent. Early research in the 1990s viewed retranslation as something positive, starting with Paul Bensimon and Antoine Berman, who both proposed in separate pieces in the same volume of the journal *Palimpsestes* specific ideas that were later referred to as the *Retranslation Hypothesis* (RH). Bensimon sees distinct differences between first translations and later retranslations, while Berman describes translating as "an 'incomplete' act" that "can only strive for completion through retranslation" (Gürçağlar 233) as each subsequent version not only increases the number of interpretations of the ST but gets closer to it. This view of a "unidirectional move towards 'better' target texts" (Gürçağlar 233) was criticised a decade on, with multiple studies (Pym 1998 and 2005; Chesterman 2000; Koskinen and Paloposki 2003; Paloposki and Koskinen 2004; S. Susam-Sarajeva 2003 and 2006*;* Milton and Torres 2003; Brisset 2004; Brownlie 2006; Hanna 2006; Jenn 2006; Deane 2011 and Deane-Cox 2014) arguing that retranslation is a much more complex phenomenon and that "historical context, norms, ideology, the translator's agency and intertextuality" (Gürçağlar 233) must all be considered. The studies challenge the traditional views about retranslation to different degrees, including that early versions are always domesticating, while later ones increasingly foreignise; that translations always age; that the need for retranslation is directly driven by the passage of time and that a single factor can account for the decision to retranslate. Within German-language academia, a significant amount of research on retranslation has been done as part of the Göttinger Beiträge zur Internationalen Übersetzungsforschung (short: GÖB) by scholars at the Georg-August-Universität Göttingen, Germany, since 1985 within the specialist research scheme

Sonderforschungsbereich 309: Die literarische Übersetzung, which has been developing new frameworks for studying retranslated literature. The aim of the long-term project of what was termed *Kometenschweifstudien* (literally 'comet's tails studies') was to determine "Grundlagen einer Kulturgeschichte der literarischen Übersetzung ins Deutsche" (Kittel XII) through both inquiries of an individual (e.g. single work, single author) and wider (e.g. literary translation over a time period, analysis of historic-descriptive translation studies) nature from a range of source languages. Although there has long been an interest in new translations of literary works, the GÖB studies signalled a shift towards complete translation sets rather than looking at only a few select translations.[17]

Corpus-based research on retranslation is still scarce. All of the above-named studies and the eighteen volumes worth of research conducted by GÖB were done manually, although a former Göttingen student, Maczewksi, separately published findings on a computer-assisted project on Shakespearean sonnets in 2001. I am only aware of one other retranslation study that uses corpora otherwise: Bosseaux's *How Does It Feel. Point of View in Translation: The Case of Virginia Woolf* (2007). However, whilst Bosseaux considers all the French translations existing for two Woolf novels at the time, her corpus is small in terms of the number of texts contained, comprising of only two and three translations respectively. In this sense, her research involves what may be emergent retranslation sets but is too limited in extent to be called a true *Kometenschweifstudie* yet as the real value of such inquiries comes in the length of the translation trail investigated: the longer and denser the trail, the more insight can be gained in terms of the original work and each translation, the increasingly intricate network between all texts and the translators' specific choices.

2.3   The English translations of *Der Tod in Venedig*

2.3.1   First translations: Kenneth Burke and Helen Tracy Lowe-Porter

The first translation of Mann's novella was done by Kenneth Burke in 1924, published originally in three parts in the March to May 1924 editions of *The Dial,* a

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[17] See p. 28 of Paloposki and Koskinen (2004) for further studies on retranslation and p. 90ff of Frank and Schultze (2004) for *Kometenschweifstudien* specifically.

leading North American journal dedicated to literature of early modernism, and then in book-form by Alfred A. Knopf, an American publisher promoting quality contemporary literature regardless of its sale potential, in 1925. Burke (1897-1995) was an American literary theorist and philosopher who wrote on a wide range of topics (aesthetics, rhetorical theory, music) and authors (Flaubert, Keats, Shakespeare, Goethe) – a comprehensive list of his ouevre is available at the 'KB Journal' website (<http://kbjournal.org/content/works-kenneth-burke>). Burke also produced a number of translations of German-language writers such as Arthur Schnitzler, Hermann Hesse and Stefan Zweig, with the bulk of his translational output – including *Death in Venice* – appearing between 1917 and 1929 during the very early stages of his career.

Burke's *Death in Venice*, which was considered as too "American" (Lowe-Porter 189) in the UK, was soon followed by a new translation done by Helen Tracy Lowe-Porter in 1928. This second translation was also commissioned by Knopf, who by then had negotiated a special agreement with Mann's German publisher S. Fischer Verlag that gave him, from 1925[18] onward, exclusive access to the writer's work for several decades. Lowe-Porter was not immediately attached to Mann's *Der Tod in Venedig*. Although she had previously translated his novels *Buddenbrooks* (*Buddenbrooks,* in 1924) and *Der Zauberberg* (*The Magic Mountain*, in 1927), Mann had initially requested Herman George Scheffauer, who had already worked on several of his short stories, for the latter, informing Lowe-Porter in a letter that he believed it required "a male rather than a female temperament" (Lowe-Porter 187). She was assigned the task nonetheless, but after the novel's publication told Knopf that she "was withdrawing from the work of translating T.M. [Thomas Mann], and he [Knopf] agreed that this was probably wise" (187). Scheffauer, her replacement, however, soon died in an unexpected fall from a window, leading Lowe-Porter not only to become the translator for *Der Tod in Venedig* but for all except two of Mann's works over the next forty years, even retranslating stories that previously

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[18] This year is given by Horton (*Thomas Mann in English* 25), although Gledhill claims Knopf obtained exclusive rights for publishing Mann's work in English already in 1921 (12). Given that Burke's translation appeared first in *The Dial* but was published in book form by Knopf only in 1925, Horton seems more likely to be correct.

had been done by Scheffauer and Burke.[19] Notably, Lowe-Porter was the only one of Mann's English translators that consulted directly with him on *Der Tod in Venedig*, indeed developing a close relationship with the author over several decades of working and socialising together.[20]

The Lowe-Porter translation of *Der Tod in Venedig* became the standard version: it was sold in bookshops, reviewed by critics and included in anthologies that were taught as part of university courses. Burke's translation, meanwhile, all but disappeared until 1965, when, as part of the fifty-year anniversary celebrations for the founding of the Knopf publishing company, it was reprinted in a special, illustrated hardcover edition and, five years later, it was revised[21] and republished. Both the 1965 special edition and the revised 1970 edition are now out of print and only available second-hand.

2.3.2 The retranslation surge: Challenging Lowe-Porter

Due to the exclusive agreement between Knopf and S. Fischer, no new translations of any of Mann's works appeared in English until 1970, when a collection of short prose texts translated by David Luke was published by Bantam Books in the USA. A new version of *Der Tod in Venedig* was added to this collection (again from Bantam Books) only almost two decades later, in 1988. Luke (1921-2005) was a German scholar at the University of Manchester and later Oxford University as well as a translator (e.g. of Goethe, Kleist and the Brothers Grimm). He was known for his

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[19] *Die Betrogene: Erzählung* (first published in the journal *Merkur*, volume 7, issues 63-65, available at <https://volltext.merkur-zeitschrift.de>) and *Bekenntnisse des Hochstaplers Felix Krull* (first published in complete in 1954 by S. Fischer) were translated by others. For further details on how Lowe-Porter became Mann's translator and their relationship over the years see Knopf (1975), Lowe-Porter (in Thirlwall 1966) and Mann's letters – *Briefe I (1889-1936)*; *Briefe II (1937-1947)* and *Briefe III (1948-1955)* .

[20] With the exception of Burke, all other English translators were of course unable to confer directly with Mann as he died in 1955 – long before the retranslation surge. However, Bertaux, one of Mann's French translators, also exchanged letters with the author about the text (Zuschlag 233).

[21] It is not entirely certain the revision was done by Burke himself, who was still alive in 1970 but already seventy-three years of age.

"fluent and sensitive English translations" (Vilain n.pag.). He also received praise for the commentaries on his own work which, in Vilain's words, are "masterpieces of criticism" but were also often rather polemic. Luke's introductory words to the *Death in Venice and Other Stories* collection are a prime example, as the final section of this introduction contained what was essentially a scathing critique of Lowe-Porter's work as a translator. He writes that "[i]t is now increasingly recognized that Mrs Lowe-Porter's grasp of German was rather less than adequate" (Mann, "Death in Venice" xlvii) and commenting that her work contains "unwitting mispresentations of ... meaning, due to obvious incomprehension of German vocabulary or syntax" (Mann, "Death in Venice" xlvii). He also discusses errors from several Lowe-Porter translations, including a lengthy list of examples from her *Death in Venice* as proof (see pp. xlvii-lii of the *Introduction*). Luke considered a retranslation as long overdue, intending to do full justice to Mann's writing by conveying the novella's "complexity of … the enhanced, ceremonious prose" (Mann, "Death in Venice" li) in his own English version.

Luke was not the first to note failures in Lowe-Porter's translations – Koch-Emmery provided a "sustained (academic) discussion of the problematic nature of Lowe-Porter's work … in 1952-3" (Horton, *Thomas Mann in English: A Study in Literary Translation* 26) – but his highly critical introduction brought the issue of Thomas Mann in translation back into the spotlight and, with respect to *Der Tod in Venedig*, launched a surge of retranslations that still has not ceased today.

This new *Death in Venice* was soon followed by multiple translations. A 1994 Norton version by Clayton Koelb (b. 1942) was part of a critical edition that also contained background materials (maps, letters and Mann's working notes) and several scholarly essays on subjects ranging from style analysis to homoeroticism. Koelb, a distinguished professor of German as well as a professor of English and Comparative Literature at the University of North Carolina at Chapel Hill, was also the editor of the volume and furthermore published a book and several essays on Mann. Although he has written extensively on German and comparative literature generally, *Death in Venice* is Koelb's only translation. The next *Venice* (1995, Dover) came as a stand-alone story plus commentary and was done by Stanley

Appelbaum, who worked not only with German but also Spanish, French, Italian and Russian texts. Acting as Dover's editor-in-chief for several decades before his retirement in 1996, Appelbaum translated several other short stories of Mann's, as well as Hermann Hesse, Franz Kafka, Arthur Schnitzler, Gustave Flaubert, Emile Zola and Miguel de Cervantes. A search on Dover's website (<www.doverpublications.com>) results in seventy-one works edited and/or translated by Appelbaum, including many dual language readers. Joachim Neugroschel's version (1998, Viking) appeared in a collection of twelve Thomas Mann short stories. Neugroschel (1938-2011) was Austrian-born, moved to Brazil in 1939 and then the US in 1941. After a degree in English and Comparative Literature from Columbia and six years in Europe, he returned to New York, where he worked as a literary translator, producing more than two-hundred texts over his long career. While Neugroschel was particularly known for his Yiddish translations, he worked with multiple languages, including German, French, Italian and Russian, and both older (Chekhov, Kafka, Proust) and contemporary authors (Elfried Jelinek, Tahar Ben Jelloum). Versions from Jefferson S. Chase and Michael Henry Heim followed in 1999 and 2004 respectively, the former published by Signet Classics as part of another collection of Thomas Mann short stories and the latter by Harper Collins as an individual text. As for the translators, Chase, an American who holds a doctorate in German literature, is a freelance writer, translator and journalist. Other than a number of Mann's short stories, he has mostly rendered non-fictional, historical writing into English. Heim (1943-2012) was both an academic – he taught at UCLA for forty years as a professor of Slavic languages – and translator. He worked with Russian, Czech, French and Hungarian and played a seminal role in introducing Central European literature to English speakers, translating writers such as Milan Kundera, Danilo Kis, Berthold Brecht, Günter Grass and Magnus Enzensberger. His *Death in Venice* won the Helen and Kurt Wolff Translation Prize. Heim's interests extended to translational pedagogy, with Sean Cotter describing him as a "leader in the development of the graduate seminar on literary translation" (n.pag.). Not surprisingly, he is, other than Lowe-Porter, the only *Venice* translator to have a book written on him: *The Mann Between: Michael Henry Heim & a Life in Translation* (2014) contains a series of scholarly interviews about his life, a transcription of a 2011 talk, portraits taken from his memorial service as well as essays on the impact

of his work. Somewhat more unusual was the version by Martin Doege, which was completed in 2007 and first was available in November of that year – online (Doege, e-mail from 17 Oct. 2013). It was a self-published translation from a then-graduate student, "a purely personal project" that Doege wanted to offer for free on the internet, aiming it in particular at other students wishing to read the novella on mobile devices (Doege, e-mail from 14 Oct. 2013). The Doege translation has seen several, slight revisions and has moved server a number of times to avoid copyright claims.[22] It remains available for free download, but can also be purchased via print-on-demand. Finally, to celebrate the hundredth anniversary of Mann's *Der Tod in Venedig* Thomas S. Hansen and Abby J. Hansen, a husband-wife translator team specialising in German and Austrian literature, produced a new translation in 2012. Their other collaborations range from children's books (Wilhelm Hauff's *Little Mook: And, Dwarf Longnose*) to more serious non-fiction (Katrin Himmler's *The Private Heinrich Himmler,* 2016). Thomas Hansen is also a professor of German at Wellesley College, Massachusetts. Published by Lido Editions, the centennial *Death in Venice* had a print run of only 140 signed hardcover copies and is no longer in stock. An electronic version is listed in eNotated Classics' online catalogue (<www.enotatedclassics.com/content/death-venice>) and dates from 2013. It includes some minor corrections and currently has limited availability.

2.3.3   Observations on all English translations

2.3.3.1   Factors in retranslation

The *Kometenschweif* of *Der Tod in Venedig* is rather particular. It is defined by two early translations made within four years of each other and – disregarding the 1970 revision – an extended gap of sixty years before eight completely new versions appeared between 1988 and 2012, some no more than a year apart. The density of retranslation since Luke is striking; the motivating factors behind the new versions, however, are not always clear. Luke, as already mentioned, wanted to rectify the flaws he had identified in the preceding version. Moreover, the 'aging translation' factor could also be argued in his case, but it cannot be convincingly applied for the

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[22] As noted previously, Mann's novella is in the public domain only in some countries.

translations that follow shortly after and within a time period of only twenty-four years. From the beginning, nearly all translations were from North American publishers. Although some also had overseas distribution, either through multiple-location printing or via rights sold to other publishers, most were explicitly intended for American audiences. Burke's translation was published by Knopf in the US. Lowe-Porter's was also commissioned by the same publisher, but in fact first released in the UK by Warburg & Secker in 1928 as Martin Secker deemed Burke's version "too American" (Boes 438) for the British market. Knopf's Lowe-Porter only followed in North America in 1930, most likely postponed due to the still rather recent Burke version (Boes 443). The UK and the US editions of the translation differed only slightly, with each using region-specific spelling but otherwise featuring both British and American words and idioms as Lowe-Porter, an American living in Oxford, understood that her *Venice* was "primarily intended for the more lucrative American market" yet simultaneously had to be "profitable in England" (both Boes 438). Her translation thus assumed a dual audience, with Lowe-Porter later explaining that she used "both definitely English and definitely American words and idioms; but they had to be understandable to both sides and good literature as well" (Lowe-Porter qtd. in Boes 438). Luke stands out as the only English translator, although his translation was first published through the American Bantam Books (in 1988) and only subsequently through Secker and Warburg (in 1990). No readership is specified in his case. Koelb's intended readers were "North American students" (Koelb vii), Appelbaum hoped to be "scrupulously complete" and "as literal as possible while still preserving proper English (modern American)" (Mann, *Death in Venice* 64). Neugroschel addresses "current American readers" (Mann, "Death in Venice" xv), while Chase renders Mann's complex style into "contemporary American English" (Mann, "Death in Venice" xv). Heim's version is published by the New York-based Harper Collins, but, like Luke, does not explicitly identify whom it is intended for. Doege, as mentioned, has students (although not only) as readers in mind, while Hansen & Hansen, as revealed on the official website of the centennial *Venice*, translate for "a contemporary readership" ("Death in Venice. About This Edition.") more generally.

Little detail is given on the translators' particular approaches. Most provide rather vague statements on their intention to translate either more literally (Appelbaum) or with the aim to preserve the style (again Appelbaum, but also Luke, Koelb, Neugroschel, Chase, Doege, Hansen & Hansen), and in some cases – Lowe-Porter, both Burke versions – no indications, whether from the translator or otherwise, are given at all. The statements in prefaces and notes do little to help clarify the motivations for retranslation, at least on the basis of what translators and publishers reveal themselves. The lack of transparency is not entirely unexpected, however, as retranslations are not likely to happen for a single, clearly identifiable or openly communicated reason but may be motivated by multiple, combined factors of varying importance (e.g. new target audience, aged existing translations and publisher's personal preference), some of which may also be random rather than carefully considered. While it is thus not entirely certain why there are so many retranslations, the predominance of English *Venices* in the North American market is not surprising, but likely connected to Knopf's continuous effort and success in popularising Mann's work in general over several decades. Furthermore, Mann's close relationship with the US through his long-time exile there (from 1939 to 1952), his American citizenship (which he acquired in 1944) and stints as a visiting professor at Princeton University are contributing factors both to how well known he became and how his work was received by critics and readers, particularly in comparison to the British market as well as in the rest of the English-speaking world.

2.3.3.2   Relationships with prior translations

Lowe-Porter, the first retranslator, knew of Burke's translation. It is not apparent, however, whether she ever read it herself as she expressed surprise at Knopf's plan to commission a new version by writing that she had "frequently heard from various people that the translation which appeared in *The Dial* was especially good and poetical" (Lowe-Porter qtd. in Thirlwall 13).[23] Luke of course read the *Death in Venice* that Lowe-Porter eventually produced and criticised it openly; most other translators remained rather more vague if and to what extent they were familiar with prior translations. Koelb was aware that other versions existed, but only identifies

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[23] Lowe-Porter also falsely believed that Scheffauer had translated *Der Tod in Venedig*.

Luke's explicitly, praising it for its "high standard of excellence" (*Death in Venice* vii) and also thanking Luke for his support in the preface.[24] Appelbaum readily admits knowledge of "the existence of five prior English versions: those by Kenneth Burke (1924; the very first), H.T. Lowe-Porter (1930), Erich Heller (1970), David Luke (1988) and Clayton Kolb [sic] (1993)", noting that "[t]he Heller and Kolb [sic] translations were not readily available, and have not been consulted" (both quotes from Mann, *Death in Venice* 63) – although there is actually no Heller translation. In contrast, neither Neugroschel nor Chase make any mention of other versions, while Heim's – in a foreword written by Michael Cunningham, not Heim himself – vaguely refers to the text having been "translated not once but again, and … again and again" (*Death in Venice* vii), yet specifies only Lowe-Porter. Doege is aware that many English versions exist. He never names them directly, although Lowe-Porter seems to be among them as he mentions a "women [sic] translator" (Doege, e-mail from 14 Oct. 2013).[25] Hansen & Hansen add plenty of extra material, including an extended bibliography of relevant texts, but make no explicit acknowledgment of any other translation, although Koelb's is listed as part of a citation for one of the essays featured in it.

The partial or non-acknowledgment of preceding *Venices* is not necessarily surprising. Presumably most translators aim for their version to become the standard text in the target language, i.e. the translation that is most commonly read by people, and may prefer to obscure the existence of alternative versions – particularly contemporary ones – to improve chances for their own commercial success and

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[24] Luke "encouraged and cooperated with" (Koelb viii) the Norton critical edition.

[25] Doege also states in this e-mail that he looked for other versions only after completing his translation.

critical reception.[26] On a larger scale, the lack of acknowledgment may also simply reflect the discourse of the translator's invisibility.[27]

While it is likely that all translators since Luke at least knew of Lowe-Porter's *Venice* due to the debate surrounding it, they may not all in fact have read her version. However, whether and to what measure translators were aware of earlier translations is not a decisive factor in this study, as my interest primarily lies not in what each translator may claim to know and admit to have consulted, but in what each one *does* and how these choices relate to the ST as well as to what other translators – before and after – *have done*.

2.4   *Death in Venice* retranslations in literature

For a work that has been translated remarkably often, there is relatively little literature exploring the different English *Venices*. No single study has yet encompassed all translations and many do not exclusively focus on the novella but consider it alongside other texts by Mann. One of the first to write about Mann in translation was the previously mentioned Koch-Emmery in 1953, who looked at sentence structure in several works, including *Der Tod in Venedig*. Koch-Emmery, however, only analyses Lowe-Porter's *Venice*, noting "major discrepancies" (283) with the ST, and never even acknowledges the existence of Burke's translation. Hayes (1974), in an unpublished doctoral dissertation which remains to this day the only book-length study solely dedicated to the novella in translation, compares both Burke (specific version unspecified) and Lowe-Porter in terms of their success "in reproducing the word-sense and in suggesting the unique literary qualities of the

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[26] Of course, various factors are likely to come into play as to why other translations are barely or not at all mentioned. Similarly, readers may purchase a specific translation for different reasons (including availability, price and critical reviews).

[27] This statement may seem contradictory. However, each new version highlights the fact that a text is a translation as differences in interpretation, linguistic challenges and errors become more readily apparent. Such revelations make it harder to maintain the illusion of the translated text having been as if written in the target language (i.e. not translated), a characteristic that Venuti ascribes to "the translator's situation and activity in contemporary Anglo-American culture" (*The Translator's Invisibility* 1).

original work" (qtd. in Horton, *Thomas Mann in English* 6) to determine the reliability of each *Venice* translation and concludes that the latter alters stylistic features more freely. In a *Times Literary Supplement* (*TLS*) commentary, Buck (1995) raises the issue of Mann in English translation in general, noting serious flaws in Lowe-Porter's versions and including specific examples from *Der Tod in Venedig*. Neither Burke's, Koelb's or Appelbaum's *Venice* are ever mentioned, although Buck is familiar with Luke's, writing that "Lowe-Porter's version is unsound, erratic; Luke's is a model translation, faithful to the original, yet fluent" ("Neither the Letter Nor the Spirit" 17). Buck's piece is brief, yet managed to inspire a heated debate in the pages of the TLS, with Venuti, Luke and even Lowe-Porter's daughters all getting involved.[28] A much more detailed paper, "Loyalty and License. Thomas Mann's Fiction in English Translation" (1996), followed, with a shortened version retitled "Mann in English" published in 2002 in Robertson's *Cambridge Companion* for the German writer. The focus is on Lowe-Porter – her relationship with Mann, her successes and failures as his exclusive translator and her translations. While Buck initially provides information mostly already known from Thirlwall's *In Another Language: A Record of the Thirty-year Relationship between Thomas Mann and His English Translator, Helen Tracy Lowe-Porter* (1966), his analysis of several Lowe-Porter translations, including a section containing comparative examples from her and Luke's *Death in Venice*, is new and more insightful. Buck generally praises Luke, although he is less positive about retranslations of other Thomas Mann works. He concludes that with most people still reading only Lowe-Porter's versions the situation of Mann in English is "deplorable" and has "no remedy … in sight" ("Mann in English" 247). Curiously enough, with regard to *Der Tod in Venedig*, Burke is no more than referenced in a single footnote, while other translators, which, by 1996, also included Koelb and Appelbaum, and, by 2002, Neugroschel and Chase, are not acknowledged at all. Much more recent is another unpublished dissertation – for a master's degree but extending over a substantial 170 pages – *Übersetzung und Rezeption Thomas Mann in Amerika,* written by Angela Lackner in 2006. After providing a roughly fifty-page overview of Mann's biography, his reception in the

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[28] For details and further literature on this debate see Gledhill (22–25) and Horton (*Thomas Mann in English* 7).

USA and a general introduction to the field of translation studies, Lackner compares two of the English *Venices.* While she is aware of translations by Burke, Lowe-Porter, Luke, Koelb, Appelbaum, Neugroschel and Chase, she too opts to study only on Lowe-Porter's much criticised text as well as Luke's, as he is "der erste Übersetzer, der 1988 die Novelle neu in Angriff nahm" (Lackner 54).[29]

Other, article-length explorations are from Whiton (1975), Greenberg (1999), Freudenberg (2001, in German) and Simon (2009), but again never centre on *Der Tod in Venedig* translations alone, even if examples from the novella usually feature prominently. Shookman's *Thomas Mann's Death in Venice: A Reference Guide* (2004) only considers *Der Tod in Venedig,* dedicating thirteen pages in the "Texts" chapter to all translations (including both Burke's original and revised one) existing up to that point.[30] A single sentence from chapter 2 is compared, with Shookman contemplating which translation is best. He admits that it is challenging to answer such a question as it "depends on what one needs and wants" (*Reference Guide* 61), and his approach remains fairly subjective and prescriptive.

Several book-length studies on Mann in translation appear a few years later, although none uniquely on *Der Tod in Venedig* or its English versions. Barter (2007) analyses seven English translations (all that exist up to that time but the original Burke and Koelb)[31], as well as three Italian and two French ones on the basis of passages from different stages of the plot (the opening sentence of chapter 1, the Apollonian idyll of chapter 4, the Dionysian dream and Aschenbach's death in chapter 5). Barter uses O'Neill's macrotextual model of reading that views translations as extensions of an original, not as copies (good or bad) or metatexts. Gledhill (also 2007) subscribes to what he terms "*the strategic approach*" (1, emphasis in the text cited) to literary translation. Basing himself on Wittgenstein's

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[29] Lackner's knowledge of the other translations appears to be indirect. She provides no bibliographical information but only a citation for Kinkel (2001) and misspells one translator's name as "Kolb" (Lackner 54).

[30] Heim's translation dates from 2004, the same year that Shookman's book was published, meaning it either post-dates the *Reference Guide* or was available too late for it to be included.

[31] The exclusion of Koelb is explained as being due to a lack of availability.

notion of language games, he argues that "the translator needs to first identify the nature of the 'game', and then use the translation strategy most appropriate" (1), i.e. a humorous text should be rendered in a humorous manner. *Der Tod in Venedig* is one of three works considered, as Gledhill analyses a sentence from the novella's second chapter that was previously studied by Seidlin (1947), the poetry and poetic prose of the fourth chapter's opening line and, finally, the problems of dialect – but all only via the Lowe-Porter and Luke renditions. The choice of the former is justified as being the most widely read translation, no reason is given for the latter. Other versions are mentioned only very briefly: Burke (a 1971 edition of the revised text), Koelb and Chase are listed in the bibliography and two short excerpts from all of these five versions plus two from Gledhill's own suggested translations are included in the appendices, although, curiously, Burke, Koelb and Chase are no more than introduced in the main text ("Introduction" 7) and their appended materials are referred to only in passing (see pages 82 and 150), never directly discussed. Appelbaum, Neugroschel and Heim are not noted at any point. Horton also explores Mann in translation, first in an article in 2010, through a syntax- and style-oriented investigation of the opening sentence in the source and two target texts (again Lowe-Porter and Luke), then, in 2013, in a book-length study which extends to other writings. This study provides an overview of Mann in translation and his reception in the English-speaking world, with a dedicated chapter on Lowe-Porter. It also analyses paratextual titles, discourse forms, syntactic form and literary meaning in translation. While Horton is aware of all *Venices* except the centennial translation, Mann's novella is secondary in most chapters, only the final one devotes itself to it – to the Lowe-Porter and Luke versions. Indeed, this chapter is in fact an updated version of his 2010 paper. Most recently, in an article titled "Aschenbach Crosses the Waters: Reading *Death in Venice* in America", Boes (2014) considers how Lowe-Porter's version contributed to Mann's "transatlantic reinvention" (443). He argues that the changes in her translational choices, although much criticised, are "far more than simply products of poetic and linguistic incompetence" but rather form "part of a deliberate cultural strategy that helped introduce Mann to an American audience" (both 430). Boes discusses the socio-historical contexts of the source text and Lowe-Porter's translation and also analyses specific changes made. Other English *Venices* are no more than mentioned, with Boes acknowledging

Burke's translation and occasionally also quoting from Heim's. Additional versions (Luke, Koelb, Appelbaum, Neugroschel, Chase and Doege, although not Burke's revision or Hansen & Hansen) are listed only in a footnote.[32]

The writing on Mann and specifically *Der Tod in Venedig* in translation is, on the whole, still rather limited, both in its scope and approach. Horton is not wide off the mark when he comments that much of the literature until now has been an "extended diatribe against the 'established', organized versions of Lowe-Porter" ("Linguistic Structure, Stylistic Value, and Translation Strategy" 48). This discussion has been predominantly evaluative and prescriptive, identifying "errors, omissions, and additions" and showing "a marked tendency towards catalogization" (both Horton, "Linguistic Structure, Stylistic Value, and Translation Strategy: Introducing Thomas Mann's Aschenbach in English" 48) rather than giving real insight into her translation. Many scholars just consider Mann's long-time translator, with other translations (usually Burke and Luke) being analysed occasionally. Only Shookman and Barter are notably more comprehensive. Many critics barely even acknowledge the existence of alternative translations. While Horton provides a complete list minus Hansen & Hansen (which postdates Horton's book), others fail to mention anything from one up to six versions existing at the time that their pieces were written. Studies are also rarely dedicated to *Der Tod in Venedig* exclusively as other works of Mann are explored alongside, meaning that observations generally are reduced to a handful of examples. Much thus remains to be discovered about *Der Tod in Venedig* in translation and, especially, retranslation, with Horton, for example, noting a gap in the analysis of syntactical structures as opposed to lexical composition ("Linguistic Structure, Stylistic Value, and Translation Strategy: Introducing Thomas Mann's Aschenbach in English" 60–61) – a gap that he himself does not quite manage to fill with his corpus of multiple works of Mann. Finally, none of the studies so far is corpus-based although Horton provides some limited quantitative data (the word count and mean sentence length for individual

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[32] Boes's article is from April 2012, the same year as the Hansen & Hansen translation, which likely explains the lack of mention – either due to the translation being published only after "Aschenbach Crosses the Waters" or Boes's inability to access it.

paragraphs analysed are given, see *Thomas Mann in English: A Study in Literary Translation* 202), suggesting some use of linguistic software.

2.5   The *Der Tod in Venedig* retranslation corpora (TIVC)

This project relies on an entirely digital corpus, containing two subcorpora: the ST corpus (two texts: both the *Buchausgabe* and the *Hundertdruck*) and the TT corpus (eleven texts: all currently available translations, including Burke's original and revised versions). Both the BA and the HD are part of the corpus as one translation (Doege's) uses the latter as its source.[33] The *Erstausgabe*, meanwhile, has not been added. The specific TT editions are given in the bibliography.[34] In most instances paper copies – often obtained second-hand as many translations are no longer in print – were used, meaning that digitisation was necessary. This process involved scanning the books page by page as .pdf files, which were then combined into a single .pdf document (one per text) and converted into a machine-readable version with the help of the Optical Character Recognition (OCR) software *OmniPage Pro* (Version 17). Each document was manually proofread to eliminate conversion errors and then saved as a number of different file types for the analysis stage of the process. These files types included .txt (with Unicode UTF-8 encoding) and .doc (MS Word) as well as *OmniPage Pro* specific formats. Some basic tagging was added to the .txt files for paragraphs, orthographic markings (italicisation) and foreign language words as well as metadata including (as applicable) text name, author, translator, year of translation, language and/or regional variety (German, British or American English), and source text. If not already eliminated during the scanning stage, any paratextual material was removed – usually footnotes and, in the case of e-book versions, also hyperlinked annotations.

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[33] The BA is generally considered as the 'definitive' version of the text. It is not clear why Doege uses the HD instead, but it could have been due to ease of access or purely coincidental, i.e. he may have found the HD version online first. No *Der Tod in Venedig* translator indicates awareness of the complicated text status of the original. The imprint for Luke specifies the 'standard version' as his source, but without any further clarifications. Doege states he used the 1912 German edition (again, no further details are given); Hansen & Hansen mention both the HD and BA, but neither note that these differ nor the version their text is based on.

[34] The specific editions were used for no reason other than availability.

The corpus itself existed in two main forms, as a WordSmith Tools corpus (WST-TIVC, as described in section 2.5.2) and as an aligned corpus (A-TIVC) in MS Word (see 2.5.3). The creation of the TIVC Retranslation Corpora came with some issues.

2.5.1 Issues in corpus creation

2.5.1.1 Digitisation permissions

As a form of digital copying, the digitisation of a text requires, strictly speaking, permission from the copyright owner(s) when the item in question amounts to more than a chapter or, alternatively, 5% of a book (whichever is greater). Both British and international copyright laws have several exceptions which fall under either *fair dealing* and/or *fair use* and allow copying "parts of a literary, dramatic, musical or artistic work" ("P-27: Using the Copyright Work of Others" n.pag.) under specific conditions, including when concerning research and private study, as long as the following stipulations are met:

- The copy is made for the purposes of research or private study.
- The copy is made for non-commercial purposes.
- The source of the material is acknowledged.
- The person making the copy does not make copies of the material available for a number of people. ("P-27: Using the Copyright Work of Others" n.pag.)

Counsel was sought from the Law Librarian and Library Services Copyright Advisor, Martin Reid, who advised that a PhD thesis may also be considered as an examination, for which similar allowances exist. Websites providing information about copyright law (including the one for the UK Copyright Service) as well as the copyright librarian, however, recommend obtaining permissions from copyright owners if in doubt about usage.

Identifying copyright holders was not straightforward as no centralised database exists that lists the necessary information. In some cases extensive research was

required and various individuals and/or institutions had to be contacted, including the Thomas Mann Archive in Zürich[35], original and/or subsequent publishers of specific translations, the translators themselves and/or contact persons for literary estates. Not all attempts at contact were successful. Despite diligent effort expended, it was not possible to determine the copyright holder for Burke's original and revised translations. Permission for digitisation, for the purposes of doctoral research and with the stipulation that the digital copy would not be uploaded online or be disseminated in full to others, was explicitly granted for translations by Luke (by Clerkenwell House), Koelb (by Norton), Appelbaum (by Dover Publications), Heim (by the late translator himself) and Doege (by the translator himself). Permission was also given for Chase's version by the translator himself, although he was not certain whether or not translational copyright was held by him and further inquiries with the publisher, Signet Classics, went unanswered. Penguin Books, the copyright holder for Neugroschel, denied permissions "due to contractual obligations" (Moore). No permission was sought directly for Hansen & Hansen, whose translation was added to the corpus at only a very late stage and which already existed – like Luke's, Heim's and Doege's – in digital form. This electronic version still required conversion into a machine-readable format and was uploaded into TIVC corpus for further processing, both procedures which could arguably be considered forms of copying.

It was decided to go ahead with the digitisation of all English *Venices* even without having obtained usage permissions for all translations in the corpus, for a number of reasons. To begin with, the digitisation of texts is a relatively recent phenomenon and currently reflected in copyright law only to a certain degree. However, it is highly likely that within the next decade or two all texts – certainly newly published ones – will become available in digital formats (some perhaps even exclusively so) and that consequently copyright law will have to address new situations arising due to digitisation. Furthermore, in connection with this change, it seems reasonable to predict that text-based research, including on literary works, will increasingly shift

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[35] See <www.tma.ethz.ch/welcome-to-the-thomas-mann-archiv/> for more information on the archive.

towards methods involving digital materials and software and that allowances will be made for such usage within academia.

While an alternative would have been to use a retranslation corpus containing other source and target texts, it was deemed that the outcome in terms of acquiring usage permissions from copyright holders would in all probability not have differed. Unlike with other corpus-based research such as Kenny's (2001), where texts for which permissions were not obtained, were simply not included in her parallel corpus of German experimental novels and their English translations, research on retranslation, specifically if relying on a *Kometenschweif*, cannot simply eliminate a text if it wishes to be complete. Indeed, the longer a text's *Kometenschweif* and the more complex its translation history (e.g. how far the ST and TTs date back or how often copyright ownership of a specific version has changed hands) are, the more likely it is that acquiring permission for every single component of the retranslation set will not be possible. Another reason to proceed with digitisation was that this project also hopes to highlight that research into retranslation sets in their entirety rather than a few, singular retranslations can be valuable – meaning that the inclusion of every English *Venice* was essential. Although comparative analyses of multiple translations can and have been done manually (e.g. the Göttinger Kometenschweifstudien), the benefits of using digital texts and corpus software are undeniable. Not only do they allow for statistical data mining that would otherwise be impossible, the study of specific text sections side by side is substantially facilitated when handling electronic files rather than physical books, particularly when as many versions as in this case are involved.

This is not to say that the author of this thesis was not aware of the fact that there was some risk that came with the choice to digitise the complete set *Death in Venice* translations without explicit permission from all copyright holders. Fortunately, amendments have recently been made to the Copyright, Designs and Patents Act 1988 with regards to exceptions to copyright for non-commercial text and data mining (defined as "the use of automated analytical techniques to analyse text and data for patterns, trends and other useful information", n.pag.). Signed into law on 29 July 2014 and effective as of 1 October 2014, researchers may now

make copies of any copyright material for the purpose of computational analysis if they already have the right to read the work (that is, they have 'lawful access' to the work). This exception only permits the making of copies for the purpose of text and data mining for non-commercial research. Researchers will still have to buy subscriptions to access material; this could be from many sources including academic publishers. ("Copyright, Designs and Patents Act 1988" n.pag.)

The timely amendment signifies that the issue of digitisation permissions present during the earlier stages of the research now no longer needs to be a concern.

2.5.1.2   Late additions to the corpus

Not all texts were part of the corpus from the outset. The BA was added after a pilot project – analysing the neologisms in the novella's first two chapters – more than one year into the research as the translators' use of this version was not apparent initially. Burke's original *Death in Venice* was also first included at this stage, whereas two new translations (Doege and Hansen & Hansen) were discovered only much later and at different times. The former, although published several years before the research project began in 2009, was not listed in any of the combination of resources initially consulted for identifying *Der Tod in Venedig* translations (see 1.2.2.2) but eventually discovered thanks to a mention in Horton's *Thomas Mann in English: A Study in Literary Translation* from 2013. The latter, meanwhile, only became available in 2012 and was named in the *Wikipedia* entry on *Death in Venice*[36] – a resource type generally not considered as appropriate for academic research, but in this instance filling a gap as a cross-check confirmed that the translation indeed existed but remained, at least at that moment, unlisted in all other resources. Other than the labour involved in adding these texts to the corpus, reprocessing as well as reanalysing of some of the data was required.

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[36] The entry currently (January 2016) only specifies Burke's and Heim's translations. However, the revision history reveals that the Hansen & Hansen version was listed previously but removed due to being considered an advert. (See 27 Dec. 2014 revision for details: <en.wikipedia.org/w/index.php?title=Death_in_Venice&diff=639832233&oldid=633623678>.)

2.5.1.3 Errors in the corpus

Finally it has to be said that the *Der Tod in Venedig* corpus is not 100% error-free. Even with careful and repeated proofreading and checking of the texts in the corpus – regardless of whether digitised by myself or if already available in digital form – it is still possible that a few words may be missing or that an undiscovered typo means that a particular item is counted as a distinct type of its own. It is not possible to entirely eliminate such inaccuracies given the various limitations of a PhD project, indeed any research, but none should be so grave as to affect the overall outcome of the analysis.

2.5.2 WordSmith Tools Corpus (WST-TIVC)

The WordSmith Tools (WST) corpus was created through Mike Scott's *WordSmith Tools* (currently at version 6.0), a widely used corpus linguistics software programme. Each text was uploaded separately into WST and tests were conducted for basic statistical data, including the type and token counts, the type/token ratio, the number of sentences in each ST and TT and a detailed consistency analysis. Hyphenated items were set to be counted as single words in the software's *Preferences* options.

In addition to basic statistical data, software options for compiling wordlists (*WordList*) and concordancing (*Concord*) were used – details about the application of these tools are given in the relevant chapters.

2.5.3 Aligned MS Word Corpus (A-TIVC)

An alternative corpus was compiled with MS Word. Although not specifically intended for corpus research, MS Word and other word processing programmes can be used for linguistic analysis with some of the options available including the *Find* command, tables and alphabetical sorting. In this case, a corpus consisting of the

ST[37] and all TTs, aligned sentence by sentence, was created with the help of both WordSmith Tools and the *Tables* function within MS Word. The choice of an MS Word corpus was due to the fact that WST was unable to handle aligning the translations, despite having a dedicated *Aligner* function for both sentence and paragraph levels. While the WST *Aligner* may work perfectly when dealing with few or very short texts, it proved both problematic and unfeasible with thirteen files totalling 312,734 tokens. Test runs with the *Aligner* resulted in errors and repeated crashing of the programme, likely due to file size, when simply loading texts as well as when using correction functions for splitting or merging sentences. The latter function was also impractically time-consuming due to the somewhat inflexible *View* default setting, which displays a single line of each sentence or paragraph only, regardless of their actual length. As the default setting cannot be automatically altered, the only way to see the full text – essential for any analysis – was to manually expand each line by pulling it down with the mouse cursor. This option was unsuitable for a corpus the size for TIVC.[38] The solution devised was to open each text file individually in WST, align by sentence, select and copy all text and then paste it (as plain text, without any encoding) into a MS Word file.[39] Next, within MS Word, the *Convert Text to Table* function (under the *Table* tab) was used to create a single-column table with one row per sentence. A new file was created for each chapter of *Der Tod in Venedig* – the chapter division reduced file size and minimised the chance of the programme crashing[40] –, in which each version's single-column table was placed alongside the other versions in chronological order. The font (Trebuchet MS) was set to size 8, sufficiently large to still be legible but small enough so that the entire table fit onto the fifteen inch screen of the computer

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[37] Only the BA was used for the aligned corpus since most TTs were based on it. A separate file was created containing the aligned STs only (BA and HD, although not ED) to consult on an as-needed basis.

[38] Indeed, even when manually adjusting sentences or paragraphs, text often reverted back to the single-line view as the adjustment is not permanent.

[39] The whole text is copied automatically even when partially hidden through the single-line view.

[40] Although MS Word was less susceptible to crashing than WST, it also struggled to handle the full corpus containing all texts in a single file. The chapter-split files, which ranged from 20 to 98 pages, also had the advantage of being more navigable.

used with a horizontal page orientation and a page display of 140%. Each column (i.e. each translation) was assigned a specific colour to improve readability, as seen in a screenshot in Figure 2.1 on the page following.

Figure 2.1 Screenshot of a page of the Aligned MS Word Corpus (A-TIVC)

Frankfurter Ausgabe	Burke (1925)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen & Hansen (2012)
Erstes Kapitel	I	GUSTAVE ASCHENBACH — or von Aschenbach,		(1)	Chapter 1	First Chapter	CHAPTER ONE	CHAPTER ONE	(One)	CHAPTER I	First Chapter
Gustav Aschenbach oder von Aschenbach, wie es seit seinem fünfzigsten Geburtstag amtlich sein Name lautete, hatte an einem Frühlingsnachmittag des Jahres 19.., das unserem Kontinent monatelang eine so gefahrdrohende Miene zeigte, von seiner Wohnung in der Prinzregentenstraße zu München aus allein einen weiteren Spaziergang unternommen.	On a spring afternoon of the year 19.., when our continent lay under such threatening weather for whole months, Gustav Aschenbach, or von Aschenbach as his name read officially after his fiftieth birthday, had left his apartment on the Prinzregentenstrasse in Munich and had gone for a long walk.	as he had been known officially since his fiftieth birthday - had set out alone from his house in Prince Regent Street, Munich, for an afternoon in that year of grace 19.., when Europe sat upon the anxious seat beneath a menace that hung over its head for months.	On a spring afternoon of the year 19.., when for months on end so grave a threat seemed to hang over the peace of Europe, Gustav Aschenbach, or von Aschenbach as he had been known since his fiftieth birthday, had left his residence on the Prinzregentenstrasse in Munich to take a walk of some length by himself.	On a spring afternoon in 19.., the year that for months glowered threateningly over our continent, Gustav Aschenbach, or von Aschenbach as he had been officially known since his fiftieth birthday - set off alone from his dwelling in the Prinzregentenstrasse in Munich on a rather long walk.	GUSTAV ASCHENBACH (or von Aschenbach, as his name read officially since his fiftieth birthday) had, on a spring afternoon of that year 19 - which for months posed such a threat to our continent, had left his apartment in the Prinzregentenstrasse in Munich on a rather long walk all alone.	GUSTAV ASCHENBACH (or von Aschenbach, as his name read officially since his fiftieth birthday), on a spring afternoon of that year 19 - which had been so ominously at our continent for months, had left his residence in the Prinzregentenstrasse in Munich and had gone for a walk all alone.	ON A SPRING AFTERNOON IN 19.. a year that had been his legal name since he had officially begun a long solitary walk from his apartment on von Aschenbach's Munich's Prinzregentenstrasse on a spring afternoon in 19.., fiftieth birthday) left his home on Prince Regent Street in Munich in order to take a rather long walk by himself.	Gustav Aschenbach, or von Aschenbach, as had been his as his official surname had been known since his fiftieth birthday, had begun a long solitary walk from his residence in Munich's Prinzregentenstr asse on a spring afternoon in 19.. — a year that for months had shown so menacingly at our European continent.	Gustav Aschenbach or von Aschenbach, as his official surname had been since his fiftieth birthday, had taken another solitary walk from his apartment in Munich's Prinzregentenst rasse on a spring afternoon of the year 19.., which had shown the menacing grimace for a few months.	Gustav Aschenbach, or von Aschenbach, as he had been officially known since his fiftieth birthday, left his apartment on Prinzregentenstra sse in Munich on a spring afternoon in 19.. — a year which for months had turned such a menacing face toward our continent - for a long, solitary walk.
Überreizt von der schwierigen und gefährlichen, eben jetzt eine höchste Behutsamkeit, Umsicht, Eindringlichkeit und Genauigkeit des Willens erfordernden Arbeit der Vormittagsstunden, hatte der Schriftsteller dem Fortschwingen des produzierenden	Overwrought by the trying and precarious work of the forenoon - which had demanded a maximum wariness, prudence, penetration, and rigor of the will - the writer had not been able even after the noon meal to break the impetus of the productive mechanism within	Aschenbach had sought the open soon after tea. He was overwrought by a morning of hard, nerve-taxing work, work which had not ceased to exact his uttermost in the way of sustained concentration, conscientiousness, and tact; and	Overwrought by the writing had overstimulated him: his work had now reached a difficult and dangerous point which demanded the utmost care and circumspection, the penetration, and precision of will: even after his	The morning's overstrained by the difficult and dangerous morning's work, which just now required particular discretion, caution, penetration, and precision of will: most insistent and precise effort of	He had been overstrained by the difficult and dangerous labod of the morning hours, which precisely at this moment called for extreme discretion, circumspection, penetration, and forcefulness and exactitude of the will, even after the	Overstrained by the difficult and dangerous labod of the morning hours, which precisely at this moment called for extreme discretion, circumspection, penetration, and utmost caution and prudence.	During this period in particular, the difficult and debilitating work that he did every morning demanded the greatest caution, judiciousness, probing insistence urgency and exactitude of will, even after the noon meal the writer had been unable to restrain his willpower; but even after	Even after lunch, overstimulated by many morning hours of difficult work, full of pitfalls and especially now demanding the utmost caution, greatest caution, judiciousness, tenacity, and precision from will, the writer had been unable to put a halt to	Overwrought from the difficult and dangerous labod of the late morning hours, labod demanding the utmost caution, prudence, exactitude of precision of will, the writer had been unable, even after lunch, to stop the midday	Overexcited by the dangerous and difficult work of that morning that demanded a maximum of caution, discretion, of highest degree of forcefulness and exactitude of deliberation, precision of will, had been unable, even after lunch, to stop the continued	Agitated by the difficult, dangerous work of the morning hours, which had just begun to demand the highest degree of care, deliberation, intensity, and precision of will, the writer had not been able to slow the

Corrections were required for the sentence alignment as translations often deviated from the ST syntax, with translators frequently splitting or merging sentences at different points, adding or removing material and, somewhat more rarely, shifting sentences or even paragraphs elsewhere in the text. The ST syntax was used as the baseline for alignment.

The primary aligned files for each chapter were used for a comparative, manual reading of the entire text as well as the starting point to create separate files for the analysis of the various literary elements studied (e.g. a neologism file containing the aligned sentences of confirmed ST coinages only, supplemented by the relevant data from specific corpus resources).

2.5.4   Statistical data

2.5.4.1   Basic statistical data: Type/token and sentence data

Basic statistical data, seen in Table 2.1, was calculated for all texts in the corpus, including the number of types/tokens, the type/token ratio, mean word length, the number of sentences and the mean number of words per sentence.

Table 2.1 Basic statistical data for the *Der Tod in Venedig* STs and TTs

Text file	HD	BA	Burke 1	Lowe-Porter	Burke 2	Luke	Koelb	Appel-baum	Neu-groschel	Chase	Heim	Doege	Hansen & Hansen
	(vers. 2)	(vers. 3)											
Year of publication	1913	1913	1924	1928	1970	1988	1994	1995	1998	1999	2004	2007	2012
Tokens	25,045	24,912	28,370	27,643	28,451	30,328	30,156	29,918	27,463	28,646	27,385	25,755	28,619
Types	7,605	7,572	5,648	5,803	5,659	6,032	5,907	5,928	6,117	6,268	6,136	5,238	6,549
Type/token ratio (TTR)	30.37	30.4	19.91	20.99	19.89	19.89	19.59	19.81	22.27	21.88	22.41	20.34	23.37
Mean word length	5.59	5.59	4.63	4.55	4.62	4.68	4.63	4.64	4.72	4.78	4.67	4.65	4.63
Number of sentences	1,033	1,031	1,158	1,146	1,154	1,052	1,220	1,026	1,085	1,224	1,011	1,011	1,227
Words per sentence	24.24	24.16	24.5	24.12	24.65	28.82	24.71	29.16	25.31	23.4	27.09	25.47	22.84

2.5.4.1.1 Differences between STs

The difference between the *Hundertdruck* (HD) and the *Buchausgabe* (BA) is minimal. The statistical data shows that the latter is 113 words and two sentences shorter, confirmed further when looking at the actual texts. A comparative reading reveals that, in contrast to what Reed claims (see page 42), the revisions made are relatively minor. They include changes in punctuation (e.g. semi-colons replaced with full stops and vice versa, resulting in some split and some merged sentences; em-dashes instead of » « to mark speech) and spelling (a few compounds become hyphenated, e.g. "Reiseschreibmappe" → "Reise-schreibmappe"; multi-unit words are joined, e.g. "wieder zu sehen" → "wiederzusehen"). There are also some word substitutions (e.g. "Ein" → "Das"; "nicht im mindestens" → "keineswegs"; "aufstand" → "sich endlich erhob") and omissions ("politisch-geschichtliche Folie" → "Folie"), typically involving no more than two lexical items. Some corrections of typographical and similar orthographical errors are also evident (e.g. "Verwirrten" → "Verirrten"; "knieend" → "kniend"). The alterations have little impact on the text as a whole although they may demonstrate some stylistic polishing by the author. The only truly significant change occurs about half-way through the first chapter, in a section beginning with "Er sah nähmlich" (HD) and "Seine Begierde ward sehend" (BA) – see Appendix (B). Counting 207 tokens and three sentences in the HD and 150 tokens and one sentence in the BA, the latter has the syntax altered as words are shifted around and whole phrases omitted.

2.5.4.1.2 Differences between STs and TTs

The token count for all TTs is higher than that of the two ST versions (25,045 for HD, 24,912 for BA). At 25,755 tokens, Doege comes closest, while Luke (30,328) exceeds its ST by more than 5400 tokens. There is also a noticeable difference in the type/token ratio (TTR) for the STs (30.37 HD; 30.4 BA) and the TTs, which range from 19.59 (Koelb) to 23.36 (Hansen & Hansen). In terms of sentences, most translations have a higher count than the STs (which stand at 1,033 for HD and 1,031 for BA). At the top end, Hansen & Hansen exceed the original by almost two-

hundred sentences, while Appelbaum at 1,026 is similar to the STs and Doege and Heim (both at 1,011) also have a comparable number. In general, the data indicates that the STs contain fewer and slightly shorter sentences compared to most translations. While there are more tokens in the TTs, the type count (and thus lexical density) remains higher in German.

The numbers, however, only paint a partial picture as token and sentence count must be considered together, on a text by text basis, and by looking at the actual material rather than only statistical summaries. Appelbaum, for example, has essentially the same sentence count as the BA, but the translation still exceeds the ST by more than 5000 words, meaning that the words per sentence mean is higher and the profile of the text must in fact be quite distinct. The statistical data also does not reveal where exactly and in what manner changes occur. It is possible that a translator splits a lengthy ST sentence, but merges two others, changes that would leave the sentence count total unaffected but could imply significant differences between the original and the translation. Such discrepancies are revealed by close textual analysis, as seen in the later chapters of this thesis.

While differences may be due to stylistic choices (motivated by a range of factors), it is also important to remember that language-specific aspects such as grammar or orthography will play a role as well. Statistical differences (e.g. the TTR in the ST versus in the TTs) may thus seem starker than they in fact are. Indeed, it is more meaningful to compare the TTs, which involve the same language and will largely follow the same linguistic rules and conventions, even when there is a large time gap between the texts.[41]

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[41] While language evolves over time, many changes, particularly grammatical ones, are slow. The translations since Luke are not likely to differ notably in terms of grammar and orthography, although some changes in the lexical preferences are possible.

2.5.4.1.3   Differences between TTs

Burke's revised translation differs, statistically speaking, relatively little from his first version, the former being eighty-one words longer and four sentences shorter. A side-by-side reading of the texts reveals that changes include corrections of unintentional errors such as typographical inaccuracies ("most" → "almost"), missing words (forgotten prepositions or articles), mistranslations ("kindliche Wolken" → "childish clouds" → "tiny clouds"; "grübelnd" → "investigating" → "brooding") and additions of several single words or short phrases that were, for reasons unknown, left untranslated in the 1924 version. The 1970 edition also frequently replaces words or short phrases, e.g. to use more modern and/or not quite so elevated language ("domestic press" → "papers from home"; "bathing houses" → "cabins"; "redeem" → "take back") or to clarify obscure wording in the original translation ("Sonntagskind" → "child of destiny" in B1 → "turned out more luckily" in B2). Occasionally Burke's revisions seem to draw on Lowe-Porter, with "Psychagog" first having been rendered as "lure" (B1) but as "Summoner" later (LP and B2) and "vollkommen schön" as "absolutely beautiful" (B1) but now "perfect beauty" (LP and B2). In contrast to revisions seen in the ST versions, changes are minor but significantly more frequent. There is no comparable major editing as with the "Er sah nämlich" sentence in the ST.

Differences between the other TTs are, of course, much greater. At the most extreme ends, Luke exceeds Doege by 4,573 tokens (totals of 30,328 versus 25,755 tokens), while Hansen & Hansen use 216 more sentences than either Heim or Doege (totals of 1,227 versus 1,011 sentences). These differences are large, but context is important. Doege's token count is most similar to the STs', but given linguistic differences between German and English this numerical closeness does not necessarily imply that Doege's version is closest to Mann's *Der Tod in Venedig*. Similarly, Doege and Heim may have an identical number of sentences, but with word counts of 25,755 and 27,385 respectively, the former's sentences are shorter, as the data also confirms: Doege averages 25.47 words per sentence, while Heim has 27.09. It is, however, interesting, both due to the fact that style preferences in

English tend towards shorter sentences as well as that Mann is a writer known for composing particularly long and intricately structured sentences – as Seidlin's paper already illustrated – , that the word mean per sentence is higher in all but three translations, with Appelbaum's sentences nearly exceeding the original by five words on average. Even the three exceptions – Lowe-Porter, Chase and Hansen & Hansen – remain, at 24.12, 23.4 and 22.84 respectively, close enough to the 24.16 mean of their specific ST to conclude that in fact all translators seem to have tried to maintain Mann's preference for sentences that often extend over multiple lines. Given that domestication is the dominant approach in Anglo-American translation cultures, this uniform choice is somewhat surprising, although only close textual analysis will reveal what sentences look like exactly and whether the TTs tend towards domesticating or foreignising translational choices overall.

2.5.4.2   Detailed consistency analysis

Detailed consistency analysis is another statistical feature of WST. It is used for the stylistic analysis of multiple texts – such as different versions of a story (retellings of a myth or a fairy tale) or various translations of the same source text – to reveal patterns. It can, for example, identify consistently recurring words within a text genre through examining a large corpus of text samples. With different versions of the same text, there is also the possibility to determine Keywords – "words whose frequency is unusually high in comparison with the norm" (Scott, "WordSmith Tools") – that are specific to one translator.[42] The programme computes the number of occurrences for every word in each version, displaying the individual counts alongside each other in an alphabetical word index. Detailed consistency also maps the complete wordlists of all texts onto each other to determine the number of words shared across different translations. Results are given in terms of the number of overlapping words as well as the percentage of overlap. Certain lexical items, such as grammatical words, are of course very likely to recur and will not provide insight

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[42] Keyword calculations are not included in this study as they require a suitable reference file – usually a large general corpus. No such reference file was easily available.

into possible, meaningful connections between texts. The mapping of wordlists also does not take into account where exactly in the text an overlap occurs, i.e. the programme does not distinguish whether two (or more) translators share a word when translating the same sentence of the original text, or whether a particular word is used for the translation of the opening sentence of Text A but in another sentence halfway through Text B. The use of identical words, particularly lexical words, from the same phrase or sentence, however, is likely more significant than when they pertain to different text portions. [43] For this reason the quantitative detailed consistency data should, again, not be evaluated without looking at specific examples from the actual texts.

The data for the number of word types shared between the different *Death in Venice* translations is available in Appendix (C). The scores for all possible combinations (55 in total) of the eleven TTs are listed in ascending order in terms of the percentage of words shared by each pairing. Target Text 1 chronologically precedes Target Text 2. The table in Appendix (C) shows that detailed consistency scores range – disregarding the 95.5% score for the original and revised Burke – from 50.3% (Lowe-Porter/Doege) to 64.5% (Neugroschel/Heim). The mean score is 58.5%, with a difference of 14.2% between the least and most shared types pairings. As far as I am aware no comparative data on detailed consistency relations is available from other studies (including of retranslation sets) to evaluate how typical these percentages and percentage ranges are for retranslations, both in terms of how much translations of the same ST generally overlap with words shared and how significant the 14.2% difference between the lowest and highest scores is. The 95.5% score for Burke's two versions is, interestingly, a little lower than the 97.4% for Mann's BA and HD, something that would seem to confirm observations made in sections 2.5.4.1.1 and 2.5.4.1.3, i.e. that Mann's revisions are less grave than Burke's.

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[43] There are exceptions to this. On occasion, shared words occurring in different text portions in different translations may indicate a translator establishing a purposeful intertextual link to another translation.

When comparing detailed consistency data the chronology of the different target texts must always be kept in mind as it determines the nature of the conclusions that can be drawn. The *Der Tod in Venedig* translations were compiled into the parallel corpus according to their year of publication. Each text indicated in the left column of the table in Appendix (C) precedes the text paired with it in the right column, visually facilitating the data analysis. One tendency that is easily noticeable with respect to two TTs is that both Lowe-Porter's and Doege's names cluster at the top of the list, with Lowe-Porter in the left and Doege in the right column as the former precedes all other translations but Burke 1's, while the latter follows all but Hansen & Hansen.

On the detailed consistency list, Lowe-Porter occupies positions number 1, 2, 4, 9, 10, 12, 13, 15, 18 and 22, of 55 positions possible, with position 1 indicating the lowest and 55 the highest percentage of shared types. Position 12 is the only pairing with an earlier translation (Burke 1). Not only do the text's detailed consistency relations congregate in the first half of the list, but a closer investigation of the data reveals that five texts (Koelb, Appelbaum, Chase, Doege, Hansen & Hansen) share the smallest and four (Burke 1, Burke 2, Neugroschel, Heim) the second-smallest number of words with Lowe-Porter. Furthermore, if text chronology is considered, all translations published after Lowe-Porter's uniformly overlap less with her version than with any other that precedes them. The only exception is Luke, whose *Venice* has fewer words in common with Burke 1's (57.4%) than with Lowe-Porter's (57.7%), but the difference is so small that it is likely negligible.

The mean detailed consistency scores (Table 2.2) for each translation provide further confirmation:[44]

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[44] With both the original Burke and its revision included, there is some distortion in the data. Recalculating detailed consistency scores with only one Burke translation results in the following scores: Lowe-Porter (0.5503), Doege (0.5512), Chase (0.576), Burke 1 (0.5791), Luke (0.587), Hansen & Hansen (0.5953), Neugroschel (0.5961), Heim (0.6028), Koelb (0.6044) and Appelbaum (0.6059); or Lowe-Porter (0.5506), Doege (0.5514), Chase (0.5764), Burke 2 (0.5837), Luke (0.5876),

Table 2.2 Mean detailed consistency scores by TTs

	Target Text	Detailed consistency mean for all texts that follow Target Text (1.00 = 100%)
1	Lowe-Porter (1928)	0.5512
2	Doege (2007)	0.5517
3	Chase (1999)	0.575
4	Luke (1988)	0.5862
5	Hansen & Hansen (2012)	0.5952
6	Neugroschel (1998)	0.5954
7	Heim (2004)	0.6016
8	Koelb (1994)	0.6049
9	Appelbaum (1995)	0.6063
10	Burke 1 (1924)	0.6167
11	Burke 2 (1970)	0.6208

The rankings confirm the individual wordlist mappings for Lowe-Porter, with her mean being the lowest at 0.5512 (55.12%). This status as the text with the least overlap is not entirely surprising. Due to the agreement between S. Fischer and Knopf in terms of exclusive publication rights for Mann's work in English (see page 46), an extended time gap of sixty years between Lowe-Porter's translations and the eight versions that followed it resulted, meaning that some of the differences may reflect changes in language and translation conventions since 1928.[45] Furthermore, although, as has been mentioned, Lowe-Porter's version became the standard translation, vocal criticism eventually arose, in particular from Luke, highlighting inaccuracies and errors present. The criticism was defining for the discussion of the English *Death in Venice*, but also likely influenced the subsequent translations on a

Hansen & Hansen (0.5959), Neugroschel (0.5967), Heim (0.6034), Koelb (0.6051) and Appelbaum (0.6065). The Burke versions place fourth in either set of calculations.

[45] While this is a possible factor explaining Lowe-Porter's position within the corpus, it is not likely to be the only one as the detailed consistency scores for the first Burke translation – predating Lowe-Porter's by three years – are spread throughout the table.

textual level. It may therefore be that Lowe-Porter's linguistic choices do not adhere as closely to the ST as other TTs (whether due to incomprehension or other reasons) but later *Venices* may also be distancing themselves, both consciously as well as unconsciously, from her version in an effort to correct the inaccuracies present. The textual analysis in the chapters that follow will reveal whether and to what extent these possible explanations for Lowe-Porter's status as the text with the least overlap apply.

The second translator whose name clusters on top of the detailed consistency relations table is Doege, in positions 1, 3, 5, 6, 7, 8, 11, 16, 20 and 21. Interestingly, his mean score has an infinitesimal difference of just 0.05%[46] with Lowe-Porter and both texts also share the least amount of lexical items with each other. In contrast to Lowe-Porter, Doege's translation is one of the most recent ones in the corpus. Only Hansen & Hansen (position 16) follows after. The text's status as the second most recent *Venice* signifies that Doege's detailed consistency relations need to be analysed from a different perspective than Lowe-Porter's. Being the penultimate translation in a set of eleven, Doege's version cannot have shaped the choices of other translators, but may instead have been influenced by the *Venices* that precede it. The text's detailed relation mean of 0.5517 (55.17%) must therefore be motivated by different factors than Lowe-Porter's as there is no significant time gap and no infamous reputation that could potentially influence later translators – of which there is, in any case, only one. Although it is not clear at this point what factor or factors may explain Doege's detailed consistency relations within the corpus, it is worth noting that there is one significant difference between his and the other translations: Doege's version is a fantranslation, i.e. a one-man project with no editor or publisher involved other than the translator himself.

Beyond Lowe-Porter and Doege, Chase is also worth mentioning. He appears third on the list of mean detailed consistency scores in Table 2.2, with individual pairings with other TTs placing at positions 2, 5, 14, 17, 23, 28, 29, 33, 36 and 38. His

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[46] More concretely, in a text of 25,000 tokens, 0.05% would amount to 12.5 items.

translation is, after Lowe-Porter's and Doege's, the one that most other versions overlap the least with – ranking second with Lowe-Porter and third with Burke 1, Burke 2, Koelb, Appelbaum, Neugroschel and Doege (as well as fourth with Heim, fifth with Luke and sixth with Hansen & Hansen).

Otherwise, the data for detailed consistency is much less clear. Koelb and Appelbaum somewhat tend towards higher scores (i.e. greater numbers of shared word types with most other TTs) – something that is also confirmed by their placement in the mean detailed consistency scores rankings (see Table 2.2 as well as footnote 44) – , but their spread is wider than that of Lowe-Porter, Doege and Chase. Burke 1, Burke 2, Luke, Neugroschel, Heim and Hansen & Hansen, meanwhile, show no obvious pattern of any sort. In contrast to Lowe-Porter's and Doege's dominance at the top end of the list, there is, meanwhile, no obvious tendency at the bottom: Burke 1 overlaps the most with Burke 2; Lowe-Porter with Luke; Burke 2 with Burke 1; Luke, Appelbaum and Neugroschel with Heim; Koelb and Doege with Appelbaum; Heim with Neugroschel and Hansen & Hansen; and Chase with Koelb.

It is curious to note that several of the most recent translations (again Doege, as well as Chase and Hansen & Hansen) occupy three of the top five positions on the detailed consistency means list, something that to some measure could challenge the claim that later TTs model themselves more closely on the ST as earlier ones as these translations (certainly Doege and Chase) display rather distinctive word choices. Meanwhile, Heim, the third most recent translation, appears only in the middle of the list, while two earlier versions in the corpus – the already mentioned Lowe-Porter as well as Luke – are also in the top-five.

Heim also has some of the highest individual overlap scores at positions 47, 49, 53 and 54, as does the newest *Venice* (Hansen & Hansen) at 44, 45, 48 and 50. While they cluster at the end of the table in relation to four versions each, their scores with other TTs are dispersed throughout, Heim's highest position being at 10 (with Lowe-Porter) and Hansen & Hansen's at 3 (also with Lowe-Porter).

Overall, the dominance of specific TTs (Lowe-Porter, Doege and, somewhat less, Chase) on one end of the detailed consistency table as well as the lack of obvious patterns with respect to the rest of the translations should be considered in the analysis of the three selected rhetorical devices, so as to determine how these observations may be explained and if they have any relation to the linguistic creativity in the texts.

2.6   Chapter summary

The chapter introduced the source text at the centre of the thesis, Thomas Mann's *Der Tod in Venedig*, and its extended set of translation into English, providing some information on the origins of the novella as well as its translation trajectory in the Anglo-American world. The digital *Der Tod in Venedig* retranslation corpora, WST-TIVC and A-TIVC, were described. Basic statistical data as well as detailed consistency analysis were provided and specific issues (legal, technical and otherwise) in the corpus creation were discussed. The thesis now proceeds to the issue of linguistic creativity by looking at distinct rhetorical devices over the next three chapters: neologisms (Chapter 3), similes (Chapter 4) and metaphors (Chapter 5).

Chapter 3   Neologisms in *Der Tod in Venedig*

3.1   Introduction to neologisms

3.1.1   Definition

The question that arises first in this chapter is *What are neologisms*? The answer is not straightforward. In simplest terms, neologisms are linguistic items that have been newly created by a language user. They have not been adopted into common language usage and occur infrequently. They may appear in a text only a single time, a phenomenon sometimes known as hapax legomenon, but may also be used by individuals other than the item's original creator. Such utilisation is, by necessity, restricted in terms of quantity of usages and users employing the item in discourse. Neologisms contain an element of newness either in form, meaning or function. The first may be more prevalent and can manifest itself in manifold ways. It may involve making a word from scratch by assembling characters of a language in an unfamiliar manner but more often may rely on taking existing lexical items, either in part (morphemes) or whole (complete words), and combining them with other lexical components in a novel fashion to create a coinage. Newness, however, can also establish itself through meaning. In such neologisms an already existing lexical item is appropriated and given a completely new or an additional meaning distinct from any others attached to the word. Unlike neologisms by form, which language users are able to notice at a glance, these kinds of coinages may be overlooked easily as they are likely to establish themselves only over time, i.e. through an item's original meaning potentials gradually transforming or a novel meaning developing through a word's usage in different contexts. Meanwhile, with neologisms in function, an existing item undergoes, either gradually or spontaneously, a grammatical change, transforming from one lexical category into another, for example, from a noun into a verb.[47] The meaning of such coinages will normally be closely linked to the source

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[47] The creation of neologisms, whether in form, meaning or function, virtually always involves *content words*. Content words (sometimes also known as *lexical words*), which include adjectives, adverbs, nouns, verbs and interjections, are characterised as open word classes, allowing for additions.

item and, in most instances, the original and the new word will co-exist. They can, however, be easily distinguished on the basis of their immediate textual context (i.e. the clause or sentence they are used in) as well as word-class specific inflections, which will reveal their grammatical function.

The neologisms considered in this study are primarily those manifesting newness in form. Neologisms in meaning, meanwhile, were not considered suitable as they evolve in a different manner that makes them more challenging to identify immediately, certainly within a single source text and on the basis of a methodology relying in part on a wordlist (see Methodology section on page 91). Meanwhile, items that feature newness in function can be identified more readily than neologisms in meaning as inflections specific to a word's grammatical category are often involved. Textual context may, however, still be required, which an alphabetically sorted word list does not provide. Furthermore, there is the question whether newness in function is sufficient for an item to qualify as a neologism given the much closer connection to existing words in comparison in particular to neologisms by form but arguably also neologisms by meaning. The issue that arises here is one of degree of novelty and is linked to productivity, a feature explored in more detail in section 3.1.3. In this study newness in function was generally not deemed a sufficient criterion by itself for an item to qualify as a neologism and such words were only included on occasion, i.e. when additional factors were present to justify the inclusion, such as a fixed phrase undergoing a grammatical change or an item exhibiting newness not only in function but also on another level. Such neologisms in function were thus anomalies and judged as they occurred.

3.1.2   Word formation: Creating neologisms

Processes of word formation are language specific. Although many are common across languages, some ways of word formation are conventional only in particular languages. In a study concerned with linguistic creativity this distinction between

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Function words, such as conjunctions, prepositions and pronouns, meanwhile belong to a closed word class, which contains many less lexical items and rarely sees expansion.

conventional and atypical word formation processes is important, as speakers may use the latter precisely to be creative. Conventional word formation processes, however, may also result in linguistic creativity.

The book *Grammatik der deutschen Sprache* (1999), published by Bertelsmann Lexicon Verlag and edited by Götze, Hess-Lüttich and Konitzer, lists six main – i.e. widely applied – processes of word formation in German, all of which are also used in the English language: *Zusammensetzung* (compounding)*, Zusammenbildung* (synthetic compounding)*, Ableitung* (derivation)*, Umbildung* (conversion)*, Kürzung* (abbreviation) and *Terminologisierung* (terminologisation). The examples provided are from *Grammatik der deutschen Sprache*. No separate examples are given for English as the descriptions should allow readers to identify illustrative examples on their own.

3.1.2.1   Compounding (*Zusammensetzung* or *Komposition*)

Examples: 'Dachfenster', 'Kaffeehaus', 'Sonnenblume'

In compounding two or more lexical items are joined to create a new word, the so-called *Kompositum* (compound). Individual components of newly created compounds are fully independent words with concrete meaning potentials, i.e. they must be free, not bound, morphemes. Compounds are further subdivided into *Kopulativkompositum* (components are equal and the meaning is derived from the sum of a compound's parts, e.g. 'nasskalt')*, Determinativkompositum* (components are not equal and the meaning is determined by one of its parts, e.g. 'Haustür')*, verdunkeltes Kompositum* (the compound contains a component no longer in use on its own, making the compound no longer recognisable, e.g. 'Lindwurm'*,* from 'lint' = 'Schlange') and *Verstärkungskompositum* (components are sequenced to accentuate the meaning, e.g. through doubling or alliteration, e.g. 'blitzblank' or 'miau-miau'). Of the four types, the verdunkeltes Kompositum is never creative, while others may or may not be.

3.1.2.2 Synthetic compounding (*Zusammenbildung*) [48]

Examples: 'Langschläfer' (= 'lang schlafen' + '-er'), 'Hinterbänkler' (= 'auf den hinteren Bänken' + '-er'), 'grünäugig' (= 'grüne Augen' + '-ig')

Synthetic compounding, which is closely connected to both compounding and derivation, creates a new word on the basis of at least three components. Unlike with compounds, the units have a syntactic connection and, when separated into independent items, "neither the combination of the first two nor the last two [exist] as free words" (Müller et al. 763).

3.1.2.3 Derivation (*Ableitung*)

Examples: 'fahren' → 'Fahrt'; 'singen' → 'Sänger', 'Gesang'; 'blau' → 'bläulich'; 'dienen' → 'bedienen', 'Freund' → 'Freundschaft', 'ziehen' → 'Zug'.

Derivation is a particularly common type of word formation and can be divided into *explizite Ableitung* (explicit derivation) and *implizite Ableitung* (implicit derivation). With the former, bound morphemes (prefixes and suffixes) are added to an existing word. The latter meanwhile involves an *Ablaut* (also known as apophony or stem modification), i.e. an internal vowel change, or a *Konsonantenveränderung* (consonant change). Derivation nearly always signifies a change in the word's lexical category. Bertelsmann's *Grammatik* additionally notes "Augenblicksbildungen mit teilweise modischen Präfixen: *brandneu, superschnell, todschick*" (352). Words formed in this manner are not necessarily neologisms as particularly with implicit derivation the use of some affixes can be highly conventionalised.

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[48] *Synthetic compounding* is the English term suggested for *Zusammenbildung* in *Word-Formation: An International Handbook of the Languages of Europe* (2015). The book acknowledges some debate around this type of word formation as "synthetic compounds are treated as compounds by some researchers and as derivatives by others, but again by others as a construction type of its own" (Müller et al. n.pag.).

3.1.2.4 Conversion (*Umbildung, Konverse* or *Wortartwechsel*)

Examples: 'das Aber', 'das Denken', 'schade' (from 'Schaden')

With this type of word formation, which is also known as zero derivation, a new word is created by changing the word class of an existing item, e.g. from noun to verb. The phonetic form of the word is hereby not altered and the meanings remain closely linked, unlike with derivation. Conversion involves the open word classes and can be further subdivided into *Substantivierung* (nominalisation), *Überführung in ein Verb* (verbification) or *Überführung in ein Adjektiv* (adjective conversion). A particularly common form of conversion in German is verb-to-noun nominalisation.

3.1.2.5 Abbreviation (*Kürzung*)

Examples: 'EU', 'Pkw', 'Azubi', 'Uni', 'Bollywood', 'Motel'

Word formation through abbreviation is achieved through different means, including blending (parts of several words are joined, e.g. 'Bombay' + 'Hollywood' = 'Bollywood'), acronyms (initials of multi-part words are used, e.g. 'Europäische Union' = 'EU') and clipping (parts of a word are clipped, e.g. 'Uni~~versität~~' → 'Uni', 'Auszubi~~ldender~~' → 'Azubi'). The process of abbreviation is typically connected to words that are well established in language usage and shortened for various reasons, including style conventions and colloquial speech. The resulting items are often accepted into the language fairly quickly, with the source word sometimes falling out of usage. With abbreviation being a very systematic procedure based on established lexical items, this type of word formation is not considered as creative within the scope of this study.

3.1.2.6 Terminologisation (*Terminologisierung*)

Examples: 'Kopf' (technology), 'Lösung' (chemistry)

The process of terminologisation relies on known lexical items from the general vocabulary that are appropriated into specialised fields often within the sciences or technology with a particular meaning. Such words are transformed for the purpose of introducing a new, permanent term into the vocabulary, not to be linguistically creative, and thus are not of interest here. They are, in any event, unlikely to appear in a piece of prose like Mann's *Der Tod in Venedig*.

3.1.3 Determining neologisms: Productivity, origin and level of innovation

While word formation processes create new words, these are not always neologisms as defined here. The decisive factor is whether the manner in which a word is formed is productive or not, and, if so, in what manner and degree. In the Hentschel grammar *Deutsche Grammatik* (2010), productivity, which is language-specific, is defined as "ein Wortbildungsmuster, wenn es noch aktiv ist und neue Wörter danach gebildet werden können" (282). Two words are key here: *Muster* (pattern) and *aktiv* (active). Productive word formation means that a pattern must be present. While 'pattern' can theoretically refer to the top-level word formation categories (i.e. compounding, conversion, et cetera), it can also describe a specific recurring process within these larger groupings, e.g. adjective-to-noun derivation through the addition of the suffix '–heit' ('schön' → 'Schönheit', 'dunkel' → 'Dunkelheit'). A pattern by itself, however, is not sufficient to speak of productivity: the pattern must also be in use, that is, it must be *active*. Productivity is not a permanent quality. Word formation patterns can, over time, fall out of usage, with *Deutsche Grammatik* listing verb-to-noun derivation with a '–t' suffix ('fahren' → 'Fahrt', 'wachen' → 'Wacht', 282) as an example. Language users who wish to be creative may take advantage of such patterns that are no longer customary.

Active is also a relative term as some word formation patterns are wide-spread and may, particularly in spoken language, lead to new words being coined impromptu every single day, while others may be comparatively rare. When word formation patterns are shared across languages, they can be more productive in one language than another, meaning that items formed by the same process may go unnoticed in

one instance, but will be regarded as creative coinages in the other. A good example here is the practice of conversion, which is used both in German and English (as well as other languages), but is highly productive in German, in particular in the form of nominalisation, with the pattern being common in all kinds of contexts, from oral speech to newspaper articles to poetry. Words formed by conversion in German are thus often not perceived as creative, while in (British) English they are somewhat more likely to be so.

Productivity is not an absolute factor. It constitutes a useful criterion in the consideration of creativity and for determining whether something is a neologism or not. The absence of productivity, however, does not necessarily signify creativity since a word, at least theoretically speaking, may have a unique formation, but may have been adopted into common language usage. Similarly, even the most productive processes do not mean an automatic exclusion, as exceptions are always possible, for example, when a fixed phrase undergoes a conversion, or, as happens frequently, when a neologism is the result of not one but several word formation processes in combination. In such instances native speaker intuition is crucial in deciding whether an item qualifies as a creative coinage or not. What matters thus is not just the degree of productivity present, but the exact context for each item concerned.

Furthermore, it may be helpful to consider a word's origin and history of usage as these may give insight into whether it is a neologism or not. Etymological and diachronic research is not always straightforward. While the term 'neologism' refers to something that has been newly coined and thus suggests a specific creator, it is more often than not difficult to attribute a coinage to the individual that first made and used it, as well as the context in which it first appeared, in written but particularly so in oral discourse, which for a long time did not leave any record. It may be possible to approximate the time period in which a lexical item had its earliest occurrences, but determining the exact moment of genesis and the historical trajectory of a word would require detailed study without any guarantee that a

word's origin will eventually be established.[49] Moreover, definite attribution is complicated by the fact that neologisms (particularly those in function, but also others) may have been used by different individuals in different instances at roughly the same time. However, as long as we accept that, with the exception of impromptu coinages, a neologism is not necessarily a word that is one hundred percent new, nor created and used only by one and the same individual this need not be disconcerting. Neologisms may indeed have some spread, although the frequency and range of usage have to be limited as they cannot be words that are clearly on the way to being adopted into a language.[50] They must also be carefully distinguished from items that are infrequently used for other reasons – e.g. specialist terms from specific fields, advanced level synonyms of core or general usage vocabulary or old-fashioned items that are slowly receding – as these, unlike neologisms, have been adopted into the language even if they are not used every day or known by most speakers. A word's status, whether as a neologism or as a lexicalised item, is therefore not permanent: coinages may spread and become part of the general language over time, or they may only be used a handful of times by their creator, to then disappear completely. Equally, long-established and once popular words can fall out of usage, something that is important to remember in a study involving a source text published more than one century ago and translations spanning as far back as 1924.

Finally, it needs to be noted that words differ in their individual level of innovation: although we may classify two items as neologisms, one may be more novel than the other, e.g. Lewis Carroll's nonce words "brillig", "toves" and "outgrabe" are more striking coinages than a relatively self-explanatory compound like Mann's

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[49] This is of course what etymological or other, specialised dictionaries with historical components, such as the *Oxford English Dictionary*, do. However, the words they list are not neologisms but items that have been adopted into the language and left a lengthy trail – although their exact origin may be indeterminate as well.

[50] Making such a judgement cannot be easy and will, on some level, also always be subjective.

'Einzelinspiration'.[51] This observation applies even if their creation follows the same general word formation pattern or when items may seem near-identical on the surface.

In order to classify a lexical item as a neologism thus multiple criteria are applied: the type of newness (form, meaning, function, or a combination of these) the word exhibits has to be established, the word's productivity in its formation and its individual level of innovation have be considered, as well as its origin (if identifiable) and its (relative) spread and frequency of usage, all of which must be judged on a case by case basis.

3.1.4 Corpora, neologisms and translation

Although there is a wide range of studies on many aspects of neologisms from word formation processes to cognitive processing of coinages, little of it is corpus-based. Those that are generally focus exclusively on a single language (like Breen's "Identification of Neologisms in Japanese by Corpus Analysis") or a specific subject field (neologisms in law) without concerning themselves with issues related to neology across different languages and/or translation. Similarly, any studies that do consider both neologisms and the challenges they pose in translation (e.g. Lehrer, "Problems in the Translation of Creative Neologisms"), typically do not involve corpora, meaning that they are pertinent for this investigation only to a degree. One study that is, however, of relevance here is Dorothy Kenny's *Lexis and Creativity in Translation* (2001), which explores lexical creativity in a German-English corpus. GEPCOLT (short for *German-English Parallel Corpus of Literary Texts*) contains fourteen contemporary novels[52] in their ST and TT forms, with a token count of approximately one million each for the German and the English section of the corpus. Kenny's choice is for literary texts as "they may contain more instances of

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[51] Nonce words are ad-hoc coinages, created and used for that particular occasion. In contrast to neologisms like 'Einzelinspiration', which other users may coin without ever having read Mann's novella, they are unlikely to reoccur.

[52] All but three were published in the 1980s and 1990s; the others date from the 1960s and 1970s.

lexical creativity than other texts" (*Lexis and Creativity* 112) and specifically experimental novels, which are yet more likely to do so, although she provides no further clarification on what is deemed 'experimental'.[53] The study investigates whether lexical normalisation is a translational feature and focuses on hapax legomena, writer-specific forms and creative collocations. Kenny's approach involves, for hapax legomena, using WordSmith Tools' *WordList* programme to sort tokens by frequency of occurrence and verifying the resulting items manually as it is of course not only neologisms that appear just once. A reference corpus (COSMAS II) was also used to confirm the unique status of some words. With writer-specific forms, the *Keywords* feature of *WordList* to compare different lists of words provided some assistance in identifying these kinds of neologisms. The application analyses the GEPCOLT corpus in reference to a larger word list from the *British National Corpus* (BNC) and calculates *keyness* (computed by using Dunning's log likelihood scores), which highlights those words that appear in either unusually high or low frequency in a text relative to the larger reference corpus. The feature can help to locate recurring neologisms as these should not appear in the reference corpus and should thus receive higher keyness scores. Kenny's third point of interest, unconventional collocations, meanwhile, were more problematic to detect by means of corpus tools. They are too diverse in form so that frequency lists and the keyness factor cannot be of assistance. Kenny therefore opted to select several specific linguistic items presumed to be nodes of collocations. The corpus was then queried for these nodes and the concordances retrieved were manually verified to identify any creative collocations among them. All these methods for neologism detection were only automated in part and additionally required manual checks and pruning on the part of the researcher. While the only partial automation constitutes a limitation, it is, as Kenny notes, possible to "uncover at least some instances of lexical creativity" ("Lexical Hide-and-Seek" 100) with corpus tools. These procedures were,

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[53] Kenny writes that "given the relatively small size of the corpus … and the rather specific question that was to be asked of the corpus, it was considered necessary to pursue in particular works that were deemed be *somehow 'experimental'*, and thus likely to yield interesting data for a study of lexical creativity" (*Lexis and Creativity* 115, my emphasis). She only indicates that the text selection was done with the help of a number of "experts" (*Lexis and Creativity* 115).

with some modifications, also suitable for identifying neologisms in *Der Tod in Venedig* translational corpus.

3.2   Methodology

Neologisms were determined through a three-fold method: to begin with, intuitive judgement was used to draw up an initial list (L1) of potential coinages, which were then subjected to a more objective cross-check through corpus resources and accordingly placed on a second list (L2), with selective items being checked more extensively once more with corpus resources, resulting in a final list (L3). (See Appendix (D) for L1, L2, and L3).

3.2.1   Intuitive judgement (L1)

The starting point for the initial list of neologisms was an ST wordlist drawn up with WordSmith Tools. On the basis of native speaker intuition (that is, my own) neologisms were identified and placed on a tentative list (List 1 or L1), with a general approach of inclusiveness guiding this pre-selection as all items that appeared like possible coinages were included. This original list contained 353 items, which required further confirmation both due to intuition being a subjective and thus potentially problematic criterion for identification as well as the expectation that the all-inclusive approach would result in at least some incorrectly selected items.

3.2.2   First corpus-based cross-check (L2)

Further confirmation was done through a cross-check of each L1 item through multiple independent corpus resources of different types and compositions (i.e. every item was verified in every corpus resource). This check (and later also a partial second corpus-based check) provided an alternative to the essentially subjective use of intuition of a single individual (i.e. the researcher), although it has to be noted that corpus resources are not entirely free of subjectivity either: they are merely more objective. Detailed profiles of the corpus resources follow for both German and English, as the cross-check was later – once the final list of ST coinages

had been established – also conducted for corresponding items deemed neologisms in translations.

The range of resources included 1) dictionaries, both of the monolingual and bilingual kind, 2) an encyclopedia, 3) general corpora and 4) web search engines, all containing contemporary but in several cases also historical data. The resource types were included for distinct reasons, with each type providing an indication about the status and usage (or lack thereof) of words in a language. With words being created and adopted into a language in different ways, the use of a combination of resource types was considered most suitable for determining which list items were neologisms and which not. The cross-check of items was resource-specific, as the resources serve distinct purposes. Dictionaries, for example, will generally have a single entry for each item and provide information on its meaning potential(s) and, usually, a few usage examples. Additionally, synonyms and antonyms may be given. Corpora, meanwhile, contain collections of spoken or written texts that are extensive both in overall quantity and individual size, so that usage patterns of queried items may be revealed. The distinctive purposes mean that with some resources (i.e. dictionaries and encyclopedias) it was primarily the occurrence of an item that mattered, while with others (corpora and web search engines) the quantity of occurrences was most important. However, as all resources used were digital, quantity of occurrence constituted an additional measurement applicable for the dictionaries and the encyclopedia consulted, as, unlike with traditional print resources, not only entries but also usages are retrieved. To illustrate: with many electronic resources, including all the ones used in this study, a query for a particular lexical item (e.g. 'house') will retrieve hits that are either *entries*, with entries being the specific, individual listing for the item, but also its *usages*, i.e. all the instances the item appears within entries. As results are often sorted by relevance, entries will normally take precedence over usages, making it fairly straightforward to distinguish between the two.

3.2.2.1 Resource profiles

3.2.2.1.1 Dictionaries

Multiple dictionaries were consulted for the cross-check: *Duden*, OWID*, Pons, Leo*, OED*, Merriam-Webster* and the Apple *Dictionary,* with the first two being monolingual German, the middle two bilingual (German-English) and the final two monolingual English resources. Although the *Duden*, *Pons,* the OED, *Merriam-Webster* and some sub-sections of Apple's *Dictionary* also exist in print form, either the web-based or digital versions were used in all instances.

Traditionally, dictionaries list lexical items in the base form specific to each item's word category (e.g. verbs as infinitives, nouns in singular and, for German, in nominative case) and virtually always sort them alphabetically. The word category is normally explicitly named and, in addition to the item definition(s), at least some further information – such as irregular word forms or special usage considerations – as well as sample sentences of the item in use are provided. With the primary function of dictionaries being to serve as a reference guide for the meaning potential of lexical items, each item is normally listed only once.[54] This characteristic also means that what matters in terms of neologisms is whether a word appears in a dictionary, not the quantity of occurrences – in contrast to some of the other resources used for the cross-check. However, as noted, online and/or digital dictionaries offer more versatility than traditional print ones as they are designed similar to a web search engine, retrieving both entries and usages. In digital dictionaries, the former will typically include the same kind of details as print dictionaries, although hyperlinks to further sources may be added. The latter may, dependent on the makeup of the specific dictionary, include appearances within the definitions provided, but possibly also in the acknowledgements, the prefaces, appendices, et cetera. Digital dictionaries are in this sense like a corpus, although

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[54] The listing format also depends on the dictionary design as some publishers separate lexical items that have the same form but carry different meanings (homonyms) or have a different grammatical function (e.g. 'walk' as a noun or verb) into distinct entries.

they are not devised for linguistic analysis in the same way as corpora are, providing only the total number of hits and a link to where each hit occurs but little else.

Any item that is listed in a dictionary is unlikely to be a new coinage as inclusion normally indicates that some sort of level of lexicalisation or even conventionalisation of the term has taken place, i.e. that the item has been adopted into wider language usage beyond that of its creator or original text. This characteristic applies for both entries as well as usages, which provide further clues about a word's manner of use (i.e. whether it is a core word of the language, a specialised term or an obsolete item). Items that have both entries and usages, particularly if these are high in number, are clearly not neologisms – indeed, exceptions to this observation are highly unlikely.

If occurrence corroborates that a lexical item has been adopted into the language more permanently, then non-occurrence must be indicative of a neologism. While this non-occurrence is an important criterion, it, however, does not automatically make a lexical item a neologism. No dictionary contains all the words of a language, for various reasons: there are restrictions in size (the number of items that can be included, particularly in print editions, is limited), but also content, as dictionaries may have a specialised focus or may exclude items that are specific to a region (British versus Australian English), a field (medicine, mathematics, literature), a usage group (youth jargon) or manner of usage (e.g. whether a word is primarily used in written or spoken contexts). Language is also dynamic and evolves continually as some lexical items become obsolete over time and are eventually removed from newer editions, while new lexical items will be created, and may undergo lexicalisation until, if successful, they are added to a language's vocabulary – a process that may last anything from a few months or years (usually for content words) to decades or even centuries (function words). In other words, non-occurrence merely indicates a lexical item's potential of being a neologism.

In the cross-check the factor of non-occurrence due to omission guided the choice of dictionaries, motivating the decision to use several rather than one dictionary as well

as consulting dictionaries with a large number of keywords. With the ST not belonging to a field with a specialised terminology, general dictionaries containing words from a wide context were deemed more appropriate than specialised ones (although a second cross-check did involve specialised dictionaries also – see page 123). Additional factors determining the selection were online availability and free access to each dictionary used. Other dictionaries might have been suitable, but the seven selected, in combination with the other cross-check resources, were considered sufficient for the purposes stated.

Duden

<www.duden.de>
Size: not available

The *Duden* is a large monolingual dictionary of the German language, which was first published by Konrad Duden (Verlag Bibliographisches Institut) in 1880 and is currently in its twenty-sixth print edition (2013), containing 135,000 entries and over 500,000 examples. It is the leading dictionary for the German language and an electronic version is available at <www.duden.de>.[55] This online version is not an exact replica of the print edition. It uses as its basis the Dudenkorpus, "eine digitale Volltextsammlung, die bereits mehr als zwei Milliarden Wortformen aus unterschiedlichen Textsorten (wie Romanen, Sachbüchern, Zeitungen, Zeitschriften u. a.) enthält und ständig erweitert wird" ("Wörterbuch-Hilfe"), but also relies on other methods, such as internet-based research to determine items to be included. The exact composition and size of the digital *Duden* are not given on the website, nor made available on request.[56]

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[55] A specific launch date is not given, although the free version has been available since 2009.

[56] A query sent to the publishers received the following response: "[Ü]ber die Zahl der Stichwörter, die in Duden online verzeichnet sind und die jährlich neu hinzukommen, geben wir leider keine Auskünfte. Ich bitte um Verständnis" (Rautmann, e-mail from 11 Jan. 2013).

Despite the lack of transparency regarding the *Duden's* composition, a few test queries readily reveal that it is a large-size corpus, sufficiently appropriate for the research conducted for this study.

Keyword queries in the *Duden* are lemma-sensitive but also retrieve longer items that the keyword is part of. Entries are listed first, but no distinction is made between entries that are partially composed of the keyword and hits that are simply usage occurrences, as illustrated in Table 3.1:

Table 3.1 First six hits for 'Kinder'.

Query item: 'Kinder'

Hits retrieved:

'Kind' (entry)

'Allons, enfants de la patrie!' (usage, item queried appears in the definition)

'Hyperaktiv' (usage)

'Hinterbleiben' (usage)

'Kids' (usage)

'Kinderschar' (entry, in part composed by the item queried)

There are no further filtering options either for the keyword query or the data retrieved. Totals are given.

OWID (*Online-Wortschatz-Informationssystem Deutsch des Instituts für Deutsche Sprache*)

<www.owid.de>
Size: 300,000 keywords (elexico)

OWID is managed by the Institut für Deutsche Sprache (IDS), a large institute dedicated to the research and documentation of the German language in contemporary usage, and consists of several monolingual dictionaries, including a general component called *elexico* (with 300,000 keywords) and several smaller, specialised ones. OWID is exclusively available online.

The dictionary does not recognise lemmas, but lists hits for either the item entered in its exact form or words that are in part composed of the keyword, e.g. a query for 'Häuser' finds the word in question, as well as 'Häuserbau' or 'Häuserdach', but not 'Haus'. Usages within entries are not retrieved. Totals are provided for all hits and are further broken down into entries and entries with the item queried as a prefix, suffix or infix. For each type of hit numbers are given for the specific dictionary component of OWID in which a particular entry appears, a useful division as only actual entries of the item queried and not compound constructions that it forms a part of are of relevance in this study.

Pons

<www.pons.de>

Size: exact size unknown, but at least 120,000 keywords[57]

Pons Verlag is a German publisher that has been specialised in dictionaries and language learning materials since 1948, offering both print and electronic resources. A bilingual database is available online, currently containing twelve million keywords for a dozen languages. The German-English subcomponent started with 120,000 keywords when it first became available online in 2001; details on its present-day size are not provided.

Keyword queries are lemma-sensitive and retrieve a list of hits. Hits are arranged by their different meaning potentials and, if a keyword exists in both German and English, listed in complete first for one language, then the other. Hits for different meanings are further subdivided into exact entries, phrases containing the keyword and compound constructions. Numerical data is not available. With a complex listing format and no additional filter options (e.g. for a unidirectional search to reduce noise in the data), some care must be taken when analysing hits retrieved as only actual entries and phrases with the keyword are required for the cross-check.

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[57] Other than German and English, *Pons* contains keywords in French, Spanish, Italian, Polish, Russian, Slovenian, Greek, Portuguese, Turkish and Latin.

Leo (*Link Everything Online*) – German-English component

<dict.leo.org>
Size: 788,991+ keywords

Leo is a bilingual online dictionary for German paired with multiple languages (including English, Spanish, Chinese and Polish). The German-English language component remains the largest with 788,991 entries (1 May 2013), with more keywords being added on a regular basis.

The query function for *Leo* processes lemma and retrieves entries, as well as phrases and compound constructs containing the lexical item in question. Like with *Pons*, no totals are provided, but the data is presented in a somewhat clearer way. Languages are separated (English on the left, German on the right) and a uni-directional search is possible. Hits are sorted into several categories, including exact entries, fixed phrases, nouns, adjectives, adverbs and verbs, examples, orthographically similar words and forum discussions that contain the keyword[58]. With actual entries thus appearing on top and the remaining results being usages, the data presentation facilitates the cross-check.

OED *Online* (*Oxford English Dictionary Online*)

<www.oed.com >
Size: 600,000+ keywords

The *Oxford English Dictionary* (OED) is probably the most comprehensive resource for the English language. Its first print edition was published in 1884, with a full dictionary of ten volumes being published in 1928. Although its 1989 edition remains available in print, the OED was fully digitalised in 2000, with the online version containing 600,000+ entries and more than three million quotations. The

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[58] The categories, however, are not identical to keyword functions. For 'Haus' (a noun), the *verb* category includes, for example, 'to have to stay at home'/'das Haus hüten müssen', in which 'Haus' is a noun that is part of a prefabricated verb phrase.

online version, published by Oxford University Press, is updated regularly as every three months existing entries are revised and new words are added. Keywords are from all English-speaking regions in the world. As a historical dictionary its entries include present-day as well as obsolete words and provides etymological information for all items, covering over one thousand years of English.

Access requires subscription, which, however, is offered by many academic institutions thanks to the OED's authoritative status as an English-language resource. Word queries in the OED *Online* are not lemma sensitive – 'giving' will retrieve only the exact word but not its other forms ('give', 'gives', 'gave' or 'given') – although wildcards are recognised. Advanced search functions for only entries, phrases, definitions, etymologies or the full text are available, as is a timeline view depicting a bar graph with an item's usage over time. There are also filters for date, subject, language of origin, region, usage, part of speech and "first cited in".

Merriam-Webster Online Dictionary

<www.merriam-webster.com>
Size: not separately indicated for online version, but presumably at least 165,000 keywords

Merriam-Webster, now a subsidiary of Encyclopædia Britannica, Inc., is an American publisher for language-reference works both in print and electronic formats. Its dictionary was first published in 1847, with online resources becoming available in 1996. The current online version is based on the print version of the *Merriam-Webster Collegiate Dictionary* (11th edition, 2004) and selected sections of the *Merriam-Webster Collegiate Thesaurus*, the former of which contains 165,000 entries drawn from American English and offers 225,000 distinct definitions. Limited etymological information is available.

Queries are lemma sensitive and retrieve definitions, brief information on word origin (including first known use) as well as synonyms. Only usages in entries are listed and no additional filters or advanced search options seem to be available.

Apple's *Dictionary*

Application included on Mac computers since OS X v10.4 (2005)
Size: not specified, varies depending on optional add-ons

The Apple *Dictionary* is a software application installed on all Mac computers since 2005. It is based on the *New Oxford American Dictionary* and the *Oxford American Writer's Thesaurus*, with optional add-ons including the *British Oxford Dictionary of English* and dictionaries (both monolingual and bilingual) for other languages being available. The application includes access to the *Duden* (as the optional German add-on) as well as *Wikipedia* (see Encyclopedias section). For the cross-check the basic application plus all British English and German add-ons were used.

All different subcomponents of the *Dictionary* are designed identically within the application. Queries are lemma sensitive but retrieve only entries. Wildcards are not recognised and advanced filtering options are unavailable.

3.2.2.1.2   Encyclopedias

Encyclopedias are not typically intended as a linguistic resource, but provide factual information about a wide range of subjects rather than ordinary lexical items. While there is likely to be some overlap between encyclopedias and dictionaries in the items included, with the former specialist terms are more prevalent. However, these conventions are changing with online encyclopedias. With virtually no limitations in size and the possibility to expand and update entries continually, web-based encyclopedias have significantly shifted in content focus, featuring anything and everything from current events to celebrity profiles. The encyclopedia consulted for this study also contains entries that are normally restricted to dictionaries, such as for personal pronouns or articles, narrowing the distinction between these different kind of resource types. Additionally, they may feature items that are normally found neither in general encyclopedia nor in dictionaries, such as '0' (the integer) or symbols ('Ø', disambiguation). This content shift is insignificant for this study, indeed, it may in fact increase the suitability of the resource type as the data for the

cross-check thus becomes more diverse. Additionally, like with online dictionaries, digital enyclopedias share features with electronic corpora that print editions do not.

The pioneer among online encyclopedias is *Wikipedia*, which is the resource used in the neologism cross-check for this project, both due to its immense (and continually increasing) number of entries as well as the fact that its query function retrieves not only entries but any usages of the queried item within each entry.

Wikipedia

<www.wikipedia.org> and

Size: 1,800,000+ entries (German component), 4,853,000+ entries (English component), number of tokens unknown.

Wikipedia is an exclusively web-based encyclopedia that was first launched in 2001 and is now available in 288 different dialects and languages. It is, both in terms of the number languages and entries available, one of the largest general reference works on the internet, with a German subcomponent of more than 1.8 million entries and an English one of more the 4.8 million entries (April 2015). The total number of tokens composing these entries is not known. The default query in *Wikipedia* is language specific. It is capable of recognising lemmas and retrieves both entries as well as any additional usages within entries, with the former being listed first.[59] While the standard query searches articles, filter options allow forum discussions, multimedia materials, help pages and other sections to be included. Other options are not available and exact word searches with Boolean operators are currently not possible.

For the cross-check, it is both occurrence as well as quantity of occurrence that matter. The former is most significant (and, indeed, in print encyclopedia, it is the only measurement available) as any item featured in an encyclopedias will have some sort of level of conventionalisation. That is, entries are included precisely

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[59] Only the web version of *Wikipedia* recognises lemma, while the subcomponent of Apple's *Dictionary* does not. For this reason, all *Wikipedia* queries were done online.

because they are in use, even if only rarely or exclusively within a specific field, so that individuals not familiar with them may look them up. In other words, any item that has an encyclopedic entry is highly unlikely to be a neologism. With the digital *Wikipedia* it is possible to apply quantity of occurrences as a second measurement that can further corroborate that a word's status and, in cases where there are usages but no entries, this measurement may be decisive. To obtain quantities, *Wikipedia* users must query the database either by following a particular path from the left-side column (*Werkzeuge/Spezialseiten/Suche* for the German *Wikipedia* section and *Toolbox/Special Pages/Redirecting Special Pages/Search* for the English one) or by clicking the magnifying glass symbol in the *Search*-box on the top right of the page as direct queries via the search boxes on the front portal for all of *Wikipedia* (<www.wikipedia.org>) and on the language-specific front pages currently do not provide any numbers. Results list exact entries first, but multi-word entries containing the keyword (e.g. 'Children's hospital'*)*, mentions and redirects (e.g. 'CBBC' as a redirect from 'Children's BBC') follow in no discernible order.[60]

3.2.2.1.3   General corpora

Corpora were the only resource used in the cross-check that was specifically designed for linguistic research. As with dictionaries and encyclopedias, the choice was for large corpora containing as many lexical items from general language usage as possible and general, monolingual corpora – two for the German language and three for English – were selected: the DWDS and COSMAS (for German) as well as COCA, the BNC-BYU and the *Survey of English Usage* (for English). The corpora are all profiled in more detail below. With this resource type, occurrence but especially quantity of occurrence were important when evaluating an item's neologism status as unlike with the previous two resources (dictionaries and encyclopedias), the purpose of corpora is not to provide single entries with definitions and explanations but to retrieve all examples of a lexical item from its

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[60] There may be a particular sorting mechanism, but it is not readily apparent. For example, a keyword query for 'children' lists 'Children' first, followed by 'Children's literature', but 'Adolescence' (a hit that contains usages) precedes 'Children's museum' (query date: 1 May 2013).

database of texts to provide insight into the word's language usage patterns. With general corpora containing texts of many different types and from a wide range of sources to be as representative of language in general as possible, a single occurrence of a lexical item does not automatically disqualify it from being a neologism nor make it highly unlikely for it to be a coinage, as applied for dictionaries and encyclopedias. A single or even a few individual hits may well be examples of a neologism in use, for example, in a literary text or in a newspaper article, both text types which in German will often feature newly coined words. Each occurrence therefore needs to be checked manually, with the total quantity also becoming a determining factor: the greater the number of hits and the wider the range of texts in which the hits occur, the less likely it is that the item in question is a neologism.

DWDS (*Digitales Wörterbuch der deutschen Sprache*)

<www.DWDS.de>

Corpus type: general, monolingual

Size: 126 million entries (core corpus, 2012), 1.8 billion entries total (publically accessible)

The DWDS is a general online resource owned by the Berlin-Brandenburgische Akademie der Wissenschaften, which is freely available to the public although specific sections of the database require registration. The DWDS is not only a corpus in the strictest sense of the word, but includes a general dictionary, an etymological dictionary, a thesaurus and a word profiler application in addition to a large corpus consisting of three different sections (the *Referenzkorpora,* the *Zeitungskorpora* and the *Spezialkorpora*) with multiple subcorpora each. Most texts date from the twentieth century. The Referenzkorpora are the largest and most diverse component and include the core corpus *Kernkorpus 20* (literature, scientific texts, newspaper articles, manuals, advertisements, et cetera), the *Kernkorpus des Deutschen Textarchivs*, the *Juilland-D Corpus*, the *C4-Korpus* and the *DDR-Korpus*. The Zeitungskorpora meanwhile are limited to texts from seven German newspapers (*Berliner Zeitung, Der Tagesspiegel, Potsdamer Neueste Nachrichten, Die Zeit, Bild,*

Welt, Süddeutsche Zeitung), while the Spezialkorpora section is composed of the *Korpus jüdischer Periodika*, the *Wendekorpus* and the *Korpus Gesprochene Sprache*, the latter two containing oral rather than written discourse.

After registration queries, which are lemma inclusive by default, simultaneously retrieve hits from the *DWDS Wörterbuch*, the *Etymologisches Wörterbuch*, the *Open Thesaurus*, the *Wortprofil*, the *Kernkorpus 20* and *Zeit & Zeit Online*, the data for each being displayed within separate panels but on a single page. For the corpus sections, the total number of hits is given, including for data that cannot be viewed online due to legal restrictions. Furthermore, users can obtain the immediate text surrounding each keyword as well as basic metadata for each hit (text source, subcorpus, author, year of publication).

In the cross-check the primary focus of evaluation was on data from the *Kernkorpus 20* and *Zeit & Zeit Online*, with the number of occurrences being the most important factor. If a query retrieved hits in one or several other subsections (the dictionaries, the thesaurus or the word profiler), such occurrence was likely to rule out an item's neologism status.

COSMAS II (*Corpus Search, Management and Analysis System*)

<www.ids-mannheim.de/cosmas2/web-app/>
Corpus type: general, monolingual
Size: 7.3 billion tokens in 108 subcorpora

COSMAS II is a project of the Institut für Deutsche Sprache (IDS), which is available as an application in three forms: web-based, Windows OS based and Solaris OS based, with this project using the online COSMAS (version 1.8). Free access is available after registration. As a corpus with a complex and highly sophisticated design that includes advanced filter options, a range of statistical data and a very detailed user manual, the database is primarily intended for academic research. Its data comes predominantly from the *Deutsches Referenzkorpus* (DeReKo, <www.sfs.uni-tuebingen.de/dereko/>), a government-funded joint

research project of several academic institutions, as well as from IDS project groups. The corpus currently contains 7.3 billion tokens within 108 subcorpora and includes a wide range of texts: newspapers, airline magazines, bibliographical literature, twentieth and twenty-first century literature, the works of Goethe, historical texts and encyclopedia entries (*Wikipedia*)[61]. Interestingly, one of its components is a Thomas Mann subcorpus with fourteen different texts (essays, lectures as well as novels). *Der Tod in Venedig* is not part of the special subcorpus.

By default, searches retrieve exact forms, however, it is possible to query for lemmas by using an & operator (e.g. &himmelblau). As COSMAS is a corpus only and contains no additional components unlike the DWDS, the quantity of occurrences is most significant here. Additionally, particularly for low numbers, the source text for each hit needed to be considered to determine a word's neologism status.

COCA (*Corpus of Contemporary American English*)

<corpus.byu.edu/coca/>
Corpus type: general, monolingual
Size: 450 million tokens

COCA is currently the largest, freely available corpus of English (although registration is required) as well as the only large and balanced corpus of American English. It is managed and maintained together with several other corpora at Brigham Young University (Utah, USA). It contains data from 1990 onwards, equally sourced from texts of fiction, popular magazines, newspapers, academic texts and spoken language from unscripted TV and radio programmes. It is updated regularly, with twenty million tokens being added each year. A separate *Corpus of Historical American English* (COHA) of 400 million tokens from 1810 to 2009 is also available.

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[61] *Wikipedia* was also independently used as a cross-check resource as it was not known if the *Wikipedia* subcorpus within COSMAS and the online version are in fact 100% identical.

COCA has an advanced interface that allows searching for exact words and phrases, lemmas, parts of speech or a combination of any of these. Wildcards are recognised and additional search functions for word frequencies, collocates and n-grams are available, as are comparative queries by genre or year.

BNC-BYU (*British National Corpus at Brigham Young University*)

<corpus.byu.edu/bnc/>
Size: 100 million tokens

The *British National Corpus* (BNC) was first compiled by Oxford University Press in the 1980s. Its original home is at <www.natcorp.ox.ac.uk>, which has restricted access only, but versions of it can be accessed freely at several websites, including at Brigham Young University (BYU). The BNC-BYU includes material from the 1970s - 1993. It is a 100 million word general corpus of British English that contains both samples of written and spoken language from a range of texts including newspapers (both regional and national), specialist periodicals, journals, academic books, popular fiction, letters and memoranda (both published and unpublished) as well as school and university essays. The majority of sources (90%) pertain to written language, while 10% are orthographic transcriptions of spoken British English (such as unscripted informal conversations, business and government meetings and radio shows).

The BNC-BYU uses the same interface as COCA and comparisons between the two corpora as well as others hosted by BYU are possible.

Survey of English Usage – ICE-GB and DCPSE

Accessed through an application on UCL computers
Size: 1 million tokens

The *Survey of English Usage* was, unlike the English language corpora mentioned so far, an early, pre-electronic corpus that initially existed in the form of index cards

and was digitised only later. It is a large, general corpus containing a diverse range of texts, but is unique in the sense that it is not only tagged (i.e. entries are annotated by categories, such as word class, pronunciation or semantic structure) but also parsed (annotated for syntactic structure) and therefore particularly suited for syntactic as well as lexico-grammatical research. The survey contains subcorpora of a wide range of Englishes from around the world. Only two components were used as part of this project – the ICE-GB (a subcorpus of British English, with most texts from 1990-1993) and the DCPSE (the *Diachronic Corpus of Present-Day Spoken English*, 1950s-1990s) – and queried only occasionally to confirm the neologism status of items, due to access restrictions and as well as the comparatively small size and scope in comparison with COCA and the BNC-BYU.

The interface of the *Survey of English Usage* is highly sophisticated. It recognises lemmas and has a wide range of filter options available, as well as specialised additional features such as syntactic tree diagrams and speech playback.

The combined use of several general corpora for each German and English provided a sufficiently large database for the cross-check. The somewhat different focus in each corpus's components extended the range, with the fact that several (DWDS, COSMAS, COCA, BNC-BYU) included historical subcorpora, even if sometimes only small-sized ones, with data from the time of publication of the ST and also before, being an added advantage, even more so since the dictionary and encyclopedia sources were contemporary. Occurrence in all or several corpora of the language in question was not deemed necessary to declare a queried item as a non-coinage, as quantity and range of occurrence within a single corpus was considered more important. Similarly, even if hits were retrieved from more than one corpus, this did not immediately disqualify an item from being a neologism, even if in most instances it provided stronger evidence. Similarly, despite the immense total size of the corpora together, non-occurrence was not enough to declare an item's neologism status; in this case confirmation from the other resource types was essential.

3.2.2.1.4 Web search engines: Web as corpus[62]

The final resource for the cross-check were web-based search engines. The utilisation of the web as a tool in corpus linguistic research is still relatively new. One of the first to see the web's importance was Kilgariff, who declared in a seminal talk at the 2001 Corpus Linguistics Conference (Lancaster University) that "[t]he corpus of the new millennium is the web" (344). The use of the web, however, also raised questions, requiring a reassessment of what constitutes a corpus as well as of other methodological issues such as authenticity, representativeness, size and composition that corpus linguists have had to confront at least since Chomsky's critical stance towards the field (see 1.1.2.1).

The application of the web comes in two forms: 'web as corpus' (the internet is treated as one large corpus and trawled with the help of commercial search engines to retrieve data for analysis) and 'web for corpus' (the internet becomes a source for texts to compile an offline corpus). It is the 'web as corpus' approach that is taken here. Although the web is not the only resource used in the cross-check that is not primarily intended for linguistic analysis, it is likely the most problematic. While it is standard for dictionaries and encyclopedias to include at least some information about their composition, the compilation process and the contributors involved as well as metadata about each document contained, there are no such conventions for online resources. The most widely used search engines are owned by multinational corporations, which closely guard details on how their tools operate, often resulting in a lack of transparency in terms of how they index, retrieve and sort data. The exact total size and content of indexed materials is unknown and, given the immensity and the ever-changing form of the internet, not just difficult but essentially impossible to ascertain. The constant and comparatively rapid change of online content also means that exact replication of queries is not an option due to the

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[62] Only a brief introduction to the web as a corpus linguistic resource is given here. For further reading, see e.g. Hans Lindquist's "Corpus linguistics in cyberspace" chapter in *Corpus Linguistics and the Description of English* (2010) and Maristella Gatto's *Web as Corpus: Theory and Practice* (2014).

impermanence of the data retrieved and factors such as cookies and individual browsing history which influence web searches.[63] Archives, such as the *Wayback Machine* (<www.archives.org>) for preserved webpages from the past, are incomplete and not directly linked to specific search engines. Additionally, any changes in a search engine's mechanisms (e.g. in the algorithms that sort results) may be less well documented or not made available to the public in comparison with resources specifically intended for linguistic research. While web search engines are thus at best an imperfect resource, they are not completely useless and, at least in combination with other resources as done here, provide information that can assist in determining a lexical item's neologism status.

Three search engines were used in the cross-check: *Google Search*, *Bing* and *Yahoo!*. As some of the most frequently (in terms of numbers of queries and users) as well as most widely (geographical reach) used search engines[64], country-specific sites and advanced setting to optimise results are available. However, none allows for lemma-based queries, meaning that at this stage of the cross-check base forms of the specific lexical items were used: infinitives in the case for verbs, singular forms in the nominative case for nouns and adjectives. The query language was specific for each web engine (details below), but consistently applied for each search with the particular engine to ensure the comparability of the data. As stated previously, with this resource, quantity of occurrence was the most important factor.

Google

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[63] Given its medium, data retrieved through web search engines changes more rapidly than print sources, but probably also than most other online resources.

[64] The Alexa rankings (<www.alexa.com>) – a company which provides statistical information for web traffic data and ranks websites on the basis of page views and visitors averaged over three months – for the search engines are, as follows: 1 (*Google*), 16 (*Bing*) and 4 (*Yahoo!*). This ranking (from April 2013) currently makes <google.com> the website with the most traffic. The only other two search engines that appear in the top 16 are <baidu.com> (5), <google.co.in> (12) and <yahoo.co.jp> (15), which are regional.

Query language: "[query]" (word/phrase match)

Google Search, owned by Google Inc., is the most used internet search engine ("Alexa"). It indexes billions of webpages, which the search engine then trawls to retrieve keyword hits and lists in abbreviated form with links to the respective source pages. Search results are sorted with the help of a patented algorithm-based mechanism called PageRank, although other factors may influence the ranking. The percentage of total webpages indexed by *Google* is unknown and, indeed, probably unknowable. Non-indexed or non-indexable data (the so-called Deep Web or Invisible Web), such as websites that require registration and login for access, unlinked content and non-html textual content, is normally excluded from search engine results.

Google Search offers *Advanced search* settings, including filters for region and language, which can be used to refine query results.[65] Even so, they are not without problems. The former setting is of little use as only one region at a time can be selected. Both German and English, however, are the main language in several countries. Additionally, as the region filter only considers the location of a website server, webpages that are in the region-associated language but hosted elsewhere in the world will be excluded from the query, while others based in the selected region but in a different language will unnecessarily be processed in a search. The second filter, meanwhile, returns results in the language specified by using an algorithm to determine a web document's language. If a document contains more than one language, only the one predominant in the text is decisive, meaning that actual, relevant hits could be missing from the results. While there is still good justification to use a language filter, it was not applied in this instance, for one reason only: when the language filter is set, no totals are given for the results retrieved. The only advanced option used in the cross-check with the *Google* search engine was exact word or phrase match, which returns results for any lexical items placed within two

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[65] *Advanced Search* settings are not directly available on the homepage, but can be accessed at the bottom of the page of results for a search string.

quotes ("") in the precise form and order as these words or phrases appear within the punctuation marks.

Bing

<www.bing.de> and <www.bing.com>
Query language: +"[query]", language filter

The second search engine used was the Microsoft-owned *Bing*, which was launched only in 2009 but previously existed in other forms (*Live Search, Windows Live Search, MSN Search*). Like with *Google Search*, a range of advanced options are available. In this case, the language filter for German was used as well as operators for exact word/phrase match ("") and for words that must be included in the hit retrieved (+).

Yahoo! Search

<www.yahoo.de> and <www.yahoo.com>
Query language: +"[query]", language filter

Yahoo! Search, owned by Yahoo! Inc., is the second largest web engine. Originally its search function was powered by other companies (*Inktomi* and *Google*) until it became independent in 2004. However, currently *Yahoo! Search* is partnered with *Bing*, which now operates the web engine. Results for the two search machines are similar, but not identical. The advanced options with *Yahoo! Search* were the same as with *Bing*, with a German language filter and additional operators ("", +) being used for the cross-check queries.

3.2.2.2   Notes on secondary list

3.2.2.2.1   Data

The original list of potential neologisms was pruned from 353 to 153 items on the basis of the cross-check. While in the first instance the reduction may seem

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surprisingly large, the significant drop in numbers can easily be explained. With the initial, intuition-based list having been made on the basis of inclusiveness, it was always expected that a number of pre-selected items would eventually be eliminated from L1. The reasons for removal were varied.

3.2.2.2.2 Reasons for removal of L1 items

3.2.2.2.2.1 Out of context words

The wordlist generated by WST lists items by frequency of occurrence and in alphabetical order. Words thus appear in isolation and out of context, which is not how language users normally encounter them. With many lexical items having no single, fixed definition, they usually require framing by an immediate textual environment (i.e. a phrase or sentence) to realise their meaning potential and allow recognition of a word. Out of context words, particularly if they do not compose a language's core vocabulary, can become abstract entities that appear unfamiliar and can thus easily be mistaken for neologisms when in fact they are not. Such misclassified items were quickly caught by the cross-check and included retrospectively rather obvious words such as "Banne" ('der Bann') and "Herden" ('die Herde') but also some less pronounced ones like "Kopfstimmen" ('die Kopfstimme').

3.2.2.2.2.2 Archaic or obsolete words

Some of the misidentified potential neologisms on L1 were in fact archaic or obsolete words. Although present-day language speakers may process them in a similar or even identical manner to a new coinage, they are not neologisms if applying the definition used here and were thus excluded.

Archaic or obsolete items can easily be missed by individual researchers, but, coming from an ST dating back one hundred years, still generally appeared in dictionaries with an indication that they had fallen out of use or were traceable to historical documents through the corpora or search engines. In a few cases outdated

words had no entries in the dictionaries consulted, and no or insufficiently insightful hits in the corpora, but were spotted through the data obtained from other resources (e.g. evidence of usage in historical documents retrieved through web search engine queries). In these instances the Brothers Grimms' dictionary (*Deutsches Wörterbuch von Jacob Grimm und Wilhelm Grimm*), which was published in multiple volumes between 1854 and 1961 and is digitally available at <dwb.uni-trier.de/de/> was consulted to confirm that the items were indeed once part of the German language.[66] One example is 'Fackelbrand', which can be found in the poem "Andere Ecloga oder Hirtengesang" by Friedrich Spee (1649) and also appears in volume 3 of the *Deutsches Wörterbuch*.[67]

3.2.2.2.2.3 Rare words

Rare words – i.e. lexical items that are used so infrequently that they are not part of either the core and, possibly, also not the extended vocabulary of the average native speaker – were another category of words that was eliminated from the list of potential neologisms. As with archaic and obsolete items, rare words generally were disqualified on the basis of dictionary entries, with corpus data and web search results lending further support. "Vorzugskind" and 'Verwaltungsfunktionär' were two examples. Both had very low numbers for corpus and web resources and appeared in only one dictionary each.

3.2.2.2.2.4 Regional words

Some words may not be recognised because they are commonly used in specific geographical regions only. "Hospitalgeruch" was one L1 word eliminated for this

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[66] Although some volumes were completed long after the publication of *Der Tod in Venedig*, this did not pose a problem thanks to the combination of resources used.

[67] No specific years appear to be attached to individual volumes, although it is likely that 'Fackelbrand' first appeared among the entries from 'ewig' to 'Feifalter', which date to 1861 (see chart for the *Entstehungszeit des Deutschen Wörterbuch von Jacob Grimm und Wilhelm Grimm* at <tinyurl.com/mrvwtz3>).

reason. Retrieving no hits in dictionaries, *Wikipedia* or the corpora consulted, numbers were also limited for web queries. However, as revealed by the *Duden*, the 'Hospital' component is a regional alternative for 'Krankenhaus' and is used primarily in parts of Austria and Switzerland, as well as being out-dated. Compared to "Hospitalgeruch", 'Krankenhausgeruch' appears in both German corpora and has significantly many more hits in search engines (approximately one hundred versus 11,200 results for *Google*), confirming that Mann's word is not so much a neologism as a merely a lesser used variant.

3.2.2.2.2.5 Specialist terminology

Specialist terminology was also pruned from L1, either identified in the cross-check via a dictionary and/or encyclopedia entry or, in some instances, through data and additional information obtained via the web searches. Examples here include "Schattentuch" (a sheet of fabric used in camping to shade off areas) and "Keuschbaumblüten" ('Keuschbaum' being the colloquial name for the 'Mönchspfeffer' or 'Vitex agnus-castus' plant).

3.2.2.2.2.6 Neologisms not coined by Mann

While out-dated, rare or simply too specialised items were incorrectly included on L1 due to the limitations of an individual's lexical knowledge, some words on the list were neologisms but disqualified as the cross-check provided evidence of usage that preceded *Der Tod in Venedig*, in some cases with indications that Mann was familiar with the source material. While such items may, again, functionally be the same from the point of view of language users, the decision was made that to restrict the analysis to items specifically coined by Mann for reasons of consistency as well as in an effort to keep the final list of neologisms at a manageable level for the project. Examples include "Bläulichgelockten" and "Fremdenfalle"*,* the former being either a reference to the naiad Liriope in Homer's *Odyssey* or to the sea god Poseidon, with the precise word in German appearing at least in Johann Heinrich

Voß's 1781 *Odyssee* translation and possibly others, while the latter is traceable to travel letters composed by Paul Johann Ludwig Heyse that date back to 1877.

3.2.2.2.2.7 Other reasons

A few items that were removed from the list of potential coinages in fact fell into more than one of these categories. Others were eliminated for reasons different from the ones mentioned above: some, such as the initially very intriguing "Augenwelt", were the result of low scanning quality during the digitisation process of the ST, the actual word in the text being "Außenwelt". This type of error is difficult to spot when words are out of context, nor can it be easily prevented as a few inaccuracies are always likely to go unnoticed, despite the careful proofreading of texts during the corpus preparation stage. In this case, "Augenwelt" grammatically fitted into the sentence it appeared in and was not entirely out of place semantically either, the typographical error being noted only when examining the item in the eleven TTs after the cross-check to confirm neologism statuses had been completed. Such is to be expected; indeed, it provides yet another argument for why cross-checking the data is necessary.

3.2.2.2.3 Issues with resources

The cross-checks also highlighted a number of issues with the resources used, some of which were challenges specific to the types of neologisms favoured by Mann, others revealing limitations of a particular resource or the resource type itself. Although using a range of sources proved useful as it meant that falsely identified items were (presumably) detected at some stage of the cross-check, some issues related to the limitations of resources were more significant and at times made it impossible to compare data from the different types of tools used. All resources for example struggled with coinages involving hyphens, retrieving either no hits (in dictionaries) or an excessive number (search engines, see below). COSMAS's automatic time-out function also briefly retrieved incorrect data, an error that was

correctable once discovered.[68] However, the biggest issues arose, without doubt, with web search engines, in multiple aspects:

3.2.2.2.3.1 Non-recognition of punctuation symbols, hyphens and spaces

Search engines were the most problematic resource used and revealed issues on a number of levels, highlighting the fact that they are indeed not geared towards linguistic analysis. Although search engines can work with scripts of different languages, they are, for example, with respect to the Roman alphabet used for both German and English, only able to recognise characters that are letters. They are insensitive to punctuation symbols, hyphens or even empty spaces, which, if part of the item queried, are simply disregarded even when exact search operators are used. Results retrieved may also feature punctuation marks or hyphens in cases when these are not present in the original query. With a search for "Bäder-Hotel" ('bath-hotel'), one exemplary L1 item, hits include 'Bäder-Hotel' but other results substitute the hyphen with any other punctuation symbol, retrieving thus 'Bäder', 'Hotel'; 'Bäder: Hotel' and 'Bäder & Hotel' to give some examples. 'Bäder Hotel', with a space replacing the hyphen, is a further option. With L1 featuring multiple hyphenated items, the non-recognition of non-letter items was a disadvantage. Many hits were simply irrelevant and numerical counts were thus skewed, in some cases significantly, particularly if the inaccurate variant hits had a high probability. Such was the case with 'Bäder-Hotel', as it exists as a compound word without a hyphen and space ('Bäderhotel'). Additionally, the item's components come from a related semantic context and are comparatively more likely to appear in adjacent positions, although this was not true for all hyphenated L1 examples. By comparison, the L1 item 'ängstlich-übermütig' ('fearful-audacious') is a more arbitrary creation as it has

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[68] Users are logged out without any notification after a certain period of inactivity. Due to a flaw in the corpus design, queries are however still possible even when not logged in and, instead of displaying an error message, simply indicate that a query item has zero hits. When working with potential neologisms such numbers are likely and may trick the researcher into recording incorrect data.

no established spelling variant ('ängstlichübermütig' does not exist), nor are the two adjectives words that commonly appear together.

Depending on the words involved, that data may thus be significantly skewed, to the point that correction – e.g. a manual count, excluding irrelevant hits – is not feasible, meaning that search engines are of no or limited use when cross-checking either hyphenated words or items consisting of multiple components with a space inserted in between.

3.2.2.2.3.2 Capitalisation

Search engines are unable to distinguish whether lexical items are written with small or capital characters and will simultaneously retrieve hits for both, with no filtering options being available at this point. This creates a problem for German search queries, as the language has particular rules in place with regards to the capitalisation of words. In addition to sentence-initial capitalisation, the first letters of nouns are generally capitalised, while verbs and adjectives in specific grammatical settings occasionally may be as well. Non-recognition of capitalisation or lack thereof becomes an issue when two different words exist that are identical in form except for the use of a non-capital versus a capital letter. This situation may especially occur when words are formed through derivation. Although inflectional markers will often be part of the derivation process, preventing an exact overlap, in some instances both the original and newly fashioned word will be formally indistighuishable, e.g. 'Leinen' (noun, a type of fabric, written with capital letter 'L') and 'leinen' (adjective, the quality of an item made from the fabric, non-capitalised). Unrelated words may overlap in this manner also, with 'leinen' also existing as a verb ('to put something on a leash', non-capitalised). The overlap will typically be partial due to case inflections, e.g. the noun 'Leinen' has only two forms ('Leinen', 'Leinens'), but the adjective 'leinen' has six ('leinen', 'leinenen', 'leinenes', 'leinenem', 'leinener', 'leinene'), with only the base form being the same. Misleading data was thus retrieved for items like 'blauleinen' and 'Berückte', but

also 'Einsam-Stumme', where neither the hyphen nor the capitalisation were recognised by search engines.

3.2.2.2.3.3 Lemma insensitive

As noted in the resource profile section, no search engine at this moment retrieves lemmas as tagging would be required for this to be possible. Because of this limitation only a single form (the base form) was used at this stage of the cross-check, meaning that the data obtained was in fact incomplete. With the secondary check involving 353 items, this knowingly incomplete data retrieval was the most practical option, but came with the realisation that the final, tertiary check with a hopefully much smaller list of potential neologisms would have to include manually conducted queries of each possible form of the item concerned.

3.2.2.2.3.4 Changing number of hits

Queries also revealed that search engines can be rather misleading about the number of hits retrieved, with quantities often changing mid-search. To explain: search engine queries specify the total number of hits, followed by providing links to each hit. The list is divided over several pages, with usually ten to twenty links per page. Such layout contrasts with *infinite scrolling* (also known as *endless* or *continuous scrolling*), which allows immediate access to all content on a single page and is used on websites such a *Tumblr* and *Twitter* and even *Google* – albeit only for image, not text, queries.

During the cross-check it became apparent that the number of hits sometimes changed on different pages, often significantly. For example, a *Google* query for "Weltbummelei" showed, on top of the front page of the search, 5440 hits for the item. The bottom of the page meanwhile revealed that the list extends over at least ten pages. These numbers remained consistent on the second and third page, but suddenly dropped sharply on the fourth: the total number of hits now is forty, with no further pages being accessible.

The change in numbers is not negligible: a query item with several thousand hits is unlikely to be a neologism, but one with a few dozen may well be, depending on the exact nature of the occurrences. The pressing question, however, is what causes the drop in numbers? And, which number is the correct one? A note at the bottom of query page 4 gives an indication, explaining that entries very similar to the ones already listed have been omitted to filter out irrelevant results. An option to access the complete listing of results is also given and, once selected, indeed reveals hits that are repeated or redundant for other reasons: Several of the originally omitted results for "Weltbummelei" all linked to a website which provides suggestions for rhyming words, demonstrating not only overlap but furthermore constituting hits that do not actually show the word *in use*, which is a crucial criterion when evaluating whether a word is a neologism or has spread more widely.

3.2.2.2.3.5 Empty hits

The use of search engines in the cross-check also revealed a lot of noise in the data in terms of hits that were not relevant. Some of this noise, such as hits linking to websites containing digitised versions of Mann's *Der Tod in Venedig* which were not indicative of any usage beyond the source text, was expected, but further instances of invalid data also soon became apparent. Some websites containing the queried item were listed more than once, including when the item itself only featured a single time on that site. More surprising, however, were hits retrieved for queries made with all three search engines that were in fact not hits at all but merely linked either to a dictionary (usually bilingual) or a synonym finder, or to a search page of one such reference resource, for the word queried, with an indication that no entry was available. To illustrate the issue: in one query two hits link to reference resources, but once accessed reveal no usage of the item, as an unsuccessful query ("Keine Bedeutung zu dem Begriff 'Promenadenquai' gefunden") within the dictionary is shown.

It is not clear why such distinctly misleading hits are retrieved through search engine queries, nor do the advanced options allow for the exclusion of such data.

Additionally, it has to be noted that not every query retrieves such empty hits, although no obvious pattern is discernible. Empty hits artificially inflate numbers and can give an incorrect picture about the usage spread of an item. While a close inspection of the data (scanning the list of results for the type of hits, and checking individual links) is advisable, it is time-consuming and, in some cases, may not be practical.

3.2.2.2.3.6 Missing hits

As a text that is the public domain in the US, Mann's *Der Tod in Venedig* is available in its entirety on the internet. While it is difficult to establish the exact number of full-text online copies of *Der Tod in Venedig*,[69] theoretically queries for any of its lexical items should always minimally retrieve hits from these same online versions of the novella, in addition to any other usages. This, however, was not the case: the cross-check of the list of potential neologisms revealed that in some searches online copies of *Der Tod in Venedig* that were known to exist were not consistently listed among the results. These versions were not buried in the Deep Web, as in some queries they did appear. The missing hits are thus problematic: while they do not have any impact on determining an item's neologism status as they do not count towards usage beyond the original text, their inconsistent listing raises questions about other relevant data that may be missing from web searches. Their absence is also unexplained, although in some instances the different source text versions, search engine indexing permissions from website owners, typographical errors and spelling variations may have contributed.[70]

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[69] There are no definite keywords to comprehensively search for online versions of the text. The title plus 'online text' may provide one good option; alternatively a combination of randomly selected sentences from the text in multiple queries to determine full-text versions may provide some numerical indication (a single sentence will not do, as this may often lead to hits that quote only sections of the novella).

[70] These factors are unlikely the only ones: all online versions of *Der Tod in Venedig* appear to be the *Hundertdruck* edition, but the ST used for the project was the *Buchausgabe*. However, with a 97.4%

3.2.2.2.3.7 Data variation across search engines

The data retrieved by the three search engines varied. Generally, the numerical results as well as the links listed *Bing* and *Yahoo!* were similar, even near-identical – unsurprisingly, given the cooperation between the two companies (refer to *Yahoo!* profile on page 111). In contrast, the data obtained through *Google* queries differed, often significantly, retrieving typically a much larger number of hits, as can be seen in a small sample of query items in Table 3.2:

Table 3.2 Data variation across search engines (data retrieved 29 Jan. 2013)

Query Item (base form)	Google	Bing	Yahoo!
Fieberdünste	102	10	10
Fremdenfalle	698	57	51
Fremdengewerbe	107	7	9
Fallkragen	29,300	161	78

Often ten times as many hits were identified by *Google*, with the "Fallkragen" query offering a particularly extreme (and atypical) example. The differences were not necessarily indicative of *Google* being a better, more thorough search engine than *Bing* and *Yahoo!*, indeed, closer inspection of the data seemed to suggest that numbers were artificially inflated, e.g. through double listing and/or empty hits. A separate study would be needed to determine the comparative accuracy of the various search engines involved, but is beyond the scope of the project.

3.2.2.2.3.8 Overall observations

There are, without doubt, a number of issues that arise with the resources consulted for the cross-check, web search engines in particular raising questions about the

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overlap between the two editions, it does not seem likely that all missing hits can be accounted for in this manner. Equally, typographical errors and American versus British spelling variations are likely insufficient to explain all the missing hits.

validity and consequently the usefulness of the data retrieved. Although both the quantity and quality of results were at times rather misleading, search engines as linguistic tools should not be dismissed entirely. Rather, they must be used with caution, with the list of retrieved hits being inspected closely and at least a selection of links being accessed for further examination. More generally search engines should not be used exclusively, but complement other resources as well as native speaker intuition.

Indeed, it is the combination of different resources that greatly facilitated the identification of ST neologisms. Items that featured in one dictionary nearly always had entries in the other dictionaries, in *Wikipedia* and at least in one, but often both German corpora consulted, making elimination very straightforward. On the other hand, items that remained on the potential neologism list at this stage of the cross-check virtually always did not appear with any of the resources except the search engine queries, suggesting that they had not yet reached essential milestones that determine a word's lexicalisation and adoption into wider or even general language usage but were, at best, still undergoing the process. The clearest neologisms had zero occurrences in all resource types except search engines, which retrieved in the range of six to ten hits, all linked to either online versions of *Der Tod in Venedig* or direct quotes from Mann's novella in another text.

Not all such neologisms were so clear-cut. Numbers from search engines were often higher, counting, for example, 107 hits (*Google*) for "Fremdenpoesie" and 987 (*Google*) for "Romanteppich". No exact cut-off point was established in advance but rather the secondary check revealed that given the limitations of search engines (as described in section 3.2.2.2.3) any arbitrarily determined maximum number would have been counterproductive. Although items counting more than approximately one thousand entries were unlikely to be coinages and hits of two hundred or more were generally considered high, no potential neologism was excluded on such basis alone, with the exact nature of the data retrieved and the collated numbers from other resources being more decisive factors. As a result, some items eliminated had lower counts than others that did make it onto the final list.

3.2.3 Second corpus-based cross-check (L3)

3.2.3.1 Notes on second cross-check

The motivation for a second corpus-based check was two-fold: firstly, it was deemed necessary for any items for which data from the first corpus-based cross-check was not sufficiently conclusive, with further exploration being required. Limited to a select number of items rather than the entire L2, these investigations proceeded on a case by case basis, involving the consultation of specialised dictionaries or more extensive web searches to trace the history and spread (or lack thereof) of a given item. Secondly, all 153 L2 items underwent a lemma check, meaning that the web search query was repeated using not just the base but all forms of the word to evaluate its neologism status on the basis of the combined quantity of hits. *Wortformen* tables from cannoonet (<canoo.net>) were used to ensure all inflected forms – up to six in some cases – were included.

3.2.3.2 Data

As expected, the second cross-check reduced numbers further, resulting in a final list (L3) of 107 items, with removal occurring for the same reasons as already elucidated in 3.2.2.2.2. Additionally, the lemma check turned to be decisive in several instances, revealing that numbers were often significantly different for some forms of the word. 'Mitleidssatz' (appearing as "Mitleidssatzes" in the ST) provides one good example, the original base form query retrieving, in the *Google* search, 136 hits but widely varying quantities for its other forms: 'Mitleidssatze' (0 hits), 'Mitleidsatzes' (124), 'Mitleidssätze' (61), 'Mitleidssätzen' (999), the final form being particularly more widely spread than all others. In another instance, 'Geschäftsgasse', the base form counted already for 548 hits, making it a questionable neologism from the start, something the lemma check very much confirmed. Although the word has only one other form, 'Geschäftsgassen', hits more than quadrupled to 2197, eliminating it from the list. The opposite was sometimes also true, some lemma checks corroborating a word's neologism status, e.g. the query for "Gepäckbeförderungsamt" originally resulted in five hits, while a query for its lemmas

('Gepäckbeförderungsamte', '-amtes', '-amts', '-ämter' and '-ämtern') all retrieved none.

The final list of neologisms is not meant to be definitive. It is determined by the specific definition that is used in this project for what constitutes a neologism and also reflects a certain degree of subjectivity, as native speaker intuition does not only guide the initial identification of all potential coinages, but is used at all stages of the cross-check (secondary and tertiary). Such subjectivity is inevitable as it is inherent when dealing with language. While readers may disagree with one or another neologism identified, they should, with various criteria applied for determining coinages, generally be able to appreciate the rationale behind each item included in the final list.

3.3   Data analysis

3.3.1   ST neologisms: Classifications

The final list contained neologisms that were classified into a number of distinct categories: there were compound coinages (either with or without a hyphen), neologisms by derivation, creative variants of existing forms as well as new creations that used a combination of strategies or were otherwise difficult to classify. The distribution of coinage types is given in Table 3.3.

Table 3.3 Distribution of ST coinage types

Neologism type		Quantity		Percentage	
Compound		43		40.19%	
Compound with hyphen	– Spelling alternative – Nominalisation – Double adjectives	43	15 9 19	40.19%	14.02% 8.41% 17.76%
Conversion		6		5.61%	
Combination		11		10.28%	
Creative variant		1		0.93%	
Derivation		3		2.80%	
Total		**107**		**100%**	

An explanation of the different types of coinages follows below – all as used by Mann in the ST, as neologisms added by translators independent of the original text were not studied in detail.

3.3.1.1 Compound coinages

Compounding is, as noted previously, a common process of word formation in German and was present in the ST in two forms: as hyphenated and non-hyphenated compounds.

3.3.1.1.1 Hyphenated compounds

Table 3.4 Hyphenated compounds, according to type

Spelling alternatives (SPA, 15 examples)	Amethyst-Geschmeide; Bäder-Hotel; Balkan-Idiom; Friedrich-Roman; Gondel-Halteplatz; Granatapfel-Getränk; Hotel-Angestellter; Hotel-Personal; Lach-Refrain; Maja-Welt; Morgen-Eleganz; Prosa-Epopöe; Reise-Schreibmappe; Sebastian-Gestalt; Seemanns-Überjacke
Nominalisation (NOM, 9 examples)	Amtlich-Erzieherische (das); Einsam-Stumme (der); Einsam-Wache (der); Geschliffen-Herkömmliche (das); Göttlich-Nichtssagende (das); Mustergültig-Feststehende (das); Nebelhaft-Grenzenlose (das); Tapfer-Sittliche (das); Verheißungsvoll-Ungeheure

	(das)
Double adjectives (DADJ, 19 examples)	ängstlich-übermütig; bräunlich-ledern; dumpf-süß; feurig-festlich; gefährlich-lieblich; gutmütig-häßlich; heilig-nüchtern; heilig-schattig; hochherzig-unwirtschaftlich; keck-behaglich; komisch-heilig; komisch-traumartig; körperhaft-geistig; leidend-tätig; plastisch-dramatisch; schwermütig-enthusiastisch; süßlich-offizinell; üppig-untauglich; wunderlich-wundersam

In hyphenated compounds, lexical items are linked by an en dash. Such kind of compounding is atypical in German, but notably prevalent in *Der Tod in Venedig* with forty-three examples (the full list is given). Mann's hyphenated compounds, however, are not all equal, and come in different forms, some of which are more creative than others. They may be mere spelling variants of existing words, as is easily revealed by removing the hyphen and joining the compound's components without any space in between: 'Bäder-Hotel' → 'Bäderhotel', 'Hotel-Angestellter' → 'Hotelangestellter' and 'Granatapfel-Getränk' → 'Granatapfelgetränk' are some examples. Although these types of compounds are marked in the sense that they use non-standard spelling and were included in the final count, they arguably demonstrate stylistic preference more so than creativity. Other hyphenated compounds generally fell into two subcategories. A significant number (nineteen) were composed two adjectives connected through the hyphen ('ängstlich-übermütig', 'dumpf-süß', 'heilig-schattig', et cetera), the components being notably distinct in terms of meaning, to the point of being a seemingly nonsensical combination. The contrast emphasised the creativity on the part of Mann, with the unconventional compounds taking on both a new form and meaning. The other type of hyphenated compound, with nine examples present, was similar, consisting also of two adjectives but additionally involved nominalisation, thus resulting in forms such as '(das) Nebelhaft-Grenzenlose', '(das) Tapfer-Sittliche' and '(das) Verheißungsvoll-Ungeheure'.

3.3.1.1.2 Non-hyphenated compounds

Table 3.5 Non-hyphenated compounds in the ST

Abendtracht; Abschiedshonneurs; Allerweltsferienplatz; Alltagsstätte; Bartfliege; Bettelvirtuose; Croupiergewandtheit; Dämmerblässe; dickdunstig; Einzelinspiration; Farrengewucher; Fäulnisdunst; Fernluft; Fieberdunst; Fremdenpoesie; Gasthofssitte; Gepäckbeförderungsamt; Glücksfrist; Greisenlippe; Instinktverschmelzung; Jünglingsentführerin; Jünglingserkenntnis; kleinweltlich; Kunstlachen; Künstlerfurcht; Löwenbalkon; Massenzutrauen; Plauderwort; Promenadenquai; Raumeswüste; Romanteppich; rotbewimpert; sargschwarz; schwergeschmückt; traumglücklich; Urteilsaustausch; Urweltwildnis (two occurrences); Versuchsaufenthalt; Wanderergestalt; weißbeschienen; Weltbummelei; Willensverzückung.

Non-hyphenated compounds, i.e. the joining of two or more lexical items with no punctuation mark or space to delineate the border between components were, with forty-three instances, used as frequently as hyphenated compounds (see Table 3.5). They virtually always were formed by two parts and were predominantly nouns ('Allerweltsferienplatze', 'Bettelvirtuosen'), although a few adjective compounds were used also ('dickdunstig', "traumglücklich"). As with the hyphenated compounds some combinations were unconventional and striking, others were very classic formations (e.g. 'Gepäckbeförderungsamt'). Non-hyphenated compounds were different from hyphenated ones not only due to the hyphen's absence. Compounds demonstrated greater diversity in their composition, joining nouns with adjectives (such as the "traumglücklich" mentioned above) or drawing on participles ('schwergeschmückt'). Notably, there were no nominalised adjective compounds. Unsurprisingly, the various types of compounds used by Mann exhibit different degrees of creativity. While it cannot be exactly quantified, it is noticeable.

3.3.1.2 Derivation

Table 3.6 Neologisms by derivation

beutelschneiderisch; Halbschurke (der); Tagedieberei (die)

Neologisms formed through derivation (Table 3.6), specifically affixation, constitute another type of neologism used by Mann. Affixation – i.e. the adding of a morpheme to the stem of a word, either by placing a semantic unit before (prefix), within (infix) or after (suffix) of the item – is a somewhat questionable tool for creativity as the practice is often highly productive. Many affixes are used on a regular basis and have become conventionalised. For this reason, neologisms by affixation were not included outright.

While a handful featured on L2 ('Halbschurke', 'Tagedieberei', 'beutelschneiderisch', 'grundsonderbar', 'übermodisch', 'korridorartig', 'nonnenähnlich'), only the first three made it onto the final list. None of the items made an appearance in any of the first three cross-check resource types, with only web search engines retrieving data. The number of hits were comparatively similar for 'beutelschneiderisch', 'grundsonderbar', 'Halbschurke' and 'nonnenähnlich' (for *Google* 651, 358, 545 and 484 respectively) but somewhat to significantly higher for 'korridorartig', 'Tagedieberei' and 'übermodisch' (for *Google* 2503, 1690 and 931 respectively), providing good reason to exclude 'korridorartig' and 'übermodisch' on this basis. Although numbers were also high for 'Tagedieberei' – indeed, higher than for 'übermodisch' –, the item made it onto the final neologism list. Both in the case of 'Tagedieberei' and also 'beutelschneiderisch', the root word was more unusual and affixation resulted in a more striking item. The *Google* hits also proved interesting, especially for 'Tagedieberei', where quite a few linked to dictionaries only (i.e. empty hits), to *Der Tod in Venedig* related textual materials [including links related to an article titled "Stegreifleben und Tagedieberei" (Geisel) about a 2012 Thomas Mann exhibition in Lübeck, Germany] – as well as some websites

where the word was used together with other obvious neologisms. [71] As for 'Halbschurke', the data retrieved linked notably often to online versions of the novella, again making some hits irrelevant. With 'Halbschurke' there was also a semantic difference that provided reason to include it on the final list: the prefixes of the omitted items 'grund-' and 'über-' are used for emphasis, while the suffixes '-artig' and '-ähnlich' indicate comparison. None of these, however, modifies the meaning of the word stem in a more profound way, something that does not apply for 'Halb-' in this instance. It is a prefix that indicates quantity, but for a word that is not normally quantified in such manner: 'Schurke' ('rascal', 'wretch') refers to a person, yet a person cannot literally be halved, only metaphorically. The use of affixation is thus more novel in this manner and, with hits being sufficiently low, justifies inclusion for this reason. While such an argument cannot be made for the other suffixes, '-isch' (denoting associated qualities) and '-ei' (signalling an activity or the domain of an activity), and while at least with 'Tagedieberei' hits were comparatively high, intuitive judgement ultimately overruled these concerns, with both 'Tagedieberei' and 'beutelschneiderisch' being classified as coinages.

3.3.1.3 Conversion

Table 3.7 Neologisms by conversion (including double conversions, marked with *)

Befallene (der); Enthusiasmierte (der)*; gluthauchend*; keimbekämpfend; Rosenstreuen (das); Weiterkommende* (der)

This process of innovation was discussed in the word formation section of the chapter, where it was also noted that it is a particularly productive process in the German language and not necessarily creative. *Der Tod in Venedig*, unsurprisingly, contained many examples of conversions throughout ('das Gesetzmäßige' from the adjective 'gesetzmäßig', 'das Klappern' and 'das Ausschlafen' from the verbs 'klappern' and 'ausschlafen' respectively), but these examples and many others were generally not included on the final list of neologisms due to productivity. Items that

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[71] For example, one blog (<www.flaneursalon.de/de/depeschen.php?sel=20080128&block=4>, accessed on 20 Jan. 2014) writes "*Computerei* ist eine Art *Tagedieberei*" (my emphasis).

did make it onto the final list were all somewhat atypical, involving in place of a single word item, a short phrase (e.g. 'Keime bekämpfen' → 'keimbekämpfend') or applied the conversion process to a word more than once (marked with an asterik in Table 3.7), as with 'Enthusiasmierter', derived from the word 'enthusiasmieren', which is turned, in the form of a past participle, into an adjective ('enthusiamiert') and then nominalised. Such formations arguably have a lower level of innovation than some other types of neologisms, but are nonetheless striking to users.

3.3.1.4   Creative variant of an existing form

Table 3.8 Neologism as a creative variant of an existing form

Halbdame

One item, 'Halbdame', demonstrated creativity by taking an existing lexical item but altering it in some way, something that we often also refer to as wordplay. In wordplay original items are generally still recognisable, although only to individuals familiar with them, with a change occurring both on the formal and the semantic level. While 'Halbdame' on the surface looked like a neologism by prefixation (similar to 'Halbschurke' above), it is in fact derived from the word 'Halbweltdame' and, by extension, 'Halbwelt'. The latter is defined as "eine elegant auftretende, aber zwielichte, anrüchige Gesellschaftsschicht" in the online *Duden*, with a 'Halbweltdame' being "eine der Halbwelt angehörende Frau". Mann's 'Halbdame' appears in a sentence in Chapter 3, "Die Gouvernante, eine kleine und korpulente *Halbdame* mit rotem Gesicht, gab endlich das Zeichen, sich zu erheben" (my emphasis) playing with the source words both in form and meaning. While 'Halbwelt' and 'Halbweltdame' connote the seedy underworld and are heavily negative, Mann's creation shifts meanings and connotations. The immediate sentence context contains some negativity in terms of the woman's physical appearance (she is 'korpulent' and has a 'rotes Gesicht') and also references social class, however, there is no indication, either in the text that frames the word immediately nor in the novella as a whole, that she belongs to a "zwielichte, anrüchige Gesellschaftsschicht". Although the suggestion is that she is of a different

and lower social class than her employers, the negativity is somewhat lessened through the disassociation. Again, it is notable that 'Halbdame', like 'Halbschurke' mentioned earlier, cannot be interpreted literally, only metaphorically, making the coinage more striking on this level.

3.3.1.5 Creative combinations

Table 3.9 Neologism by combining multiple word formation processes

Aufrechthaltende (der/die); ausstürmend; breitgeästet; breitschattend; halbgeflüstert; Hinabgesunkene (der); Lebehoch (das); Stegreifdasein (das); Unbärtige (der); vorwärtskehrend; Wandererhafte (das)

Finally, a handful of items were more challenging to classify as rather than relying on a single strategy for innovation, they made use of several simultaneously. Although there were not many such coinages in Mann's *Venedig* (see Table 3.9), this strategy of creative combinations where multiple word formation processes are applied to a single item one after the other, was to be expected as it reflects the organic development of language. In most instances the word creation was fairly straightforward, e.g. 'Stegreifdasein' was formed from the fixed phrase 'aus dem Stegreif' by first deconstructing the phrase into its parts and then combining the noun component with 'Dasein'. With 'halbgeflüstert', however, the exact order of the different formation strategies applied was not so clearly identifiable: the word might have been formed either by turning the verb 'flüstern' into an adjective through its past participle form, 'geflüstert', with the prefix being added after, , or by taking the noun 'Geflüster' as the starting point.

The different types of neologisms present in *Der Tod in Venedig* reveal linguistic preferences of Mann, demonstrating not only a varied range of linguistic creativity, but providing different kinds of challenges for the translators.

3.3.2 Creativity in the translation of neologisms

Data analysis reveals that Mann's neologisms are nearly always removed in the English versions of *Der Tod in Venedig* as all the translators demonstrate a strong preference for fluent translation. More than nine out of ten coinages are replaced by lexically conventional options, while creative choices are the exception and occur not only infrequently but seemingly also arbitrarily. As can be noted in Table 3.10 on page 133, on average only 7.05% of the neologisms on L3 are rendered creatively in translation, with Koelb most often using non-conventional solutions (in nine out of 107 instances, or 8.41% of the time) and Neugroschel and Doege the least (in six instances, or 5.61% of the time). The overall percentage mean is not only strikingly small, but with less than 3% difference between the most and least creative translations, the evidence is not sufficiently compelling to declare any one TT as more or less creative in terms of translating neologisms. What can be said, however, is that preserving neologisms is clearly not a priority in any of the target texts.

Table 3.10 Creative translations by translator and neologism category

	Burke 1 (1924)	Lowe-Porter (1928)	Burke 2 (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen & Hansen (2012)	Totals (all TTs)
Compound	3	3	3	3	3	3	2	3	3	3	3	32
Compound with hyphen	0	4	1	1	1	1	1	1	1	1	1	13
Conversion	1	1	1	1	1	0	1	1	1	0	1	9
Combination	2	0	2	2	3	2	2	2	2	2	3	22
Creative Variant	0	0	0	0	0	0	0	0	0	0	0	0
Derivation	1	0	1	1	1	1	0	1	1	0	0	7
Totals (by TTs)	7	8	8	8	9	7	6	8	8	6	8	83
Neologisms kept in TTs	6.54%	7.48%	7.48%	7.48%	8.41%	6.54%	5.61%	7.48%	7.48%	5.61%	7.48%	7.05%

Some variations can be seen with respect to the neologism type (see Table 3.11). Compounds, both with or without hyphens, are the most frequently occurring kind of neologisms. In translation, non-hyphenated compounds are rendered creatively more often (6.77%) than hyphenated ones (2.75%), although both the percentages as well as the percentage difference between the two compound categories remain small. Within the hyphenated compound category, there is minimal variation among compounds that are spelling alternatives (SPA), double adjectives (DADJ) or nominalisations (NOM). The last are normalised in all instances, while spelling alternatives and double adjectives have preservation rates of 3.64% and 3.35% respectively. The complete normalisation of nominalisation is somewhat surprising, given that in terms of degree of creativity in the ST these are more striking than spelling alternatives, whose inclusion on the neologism list is debatable, yet which at least remain creative in handful of cases in the TTs. With other types of ST neologisms, the majority are also eliminated across all target texts, but preservation is generally higher than with compounds: conversions are rendered creatively 13.64% of the time, while rates are 18.18% for combinations and 20.45% for derivations. The only exception is the creative variant category, which is never translated innovatively – but there is only a single exemplar of this neologism type. The lower number of occurrences of all these neologism types compared to both kind of compound coinages also makes it difficult to argue for any definite trends here in terms of the higher versus lower preservation percentages.

Table 3.11 Statistical data for creative translations per neologism category and type

Neologism Category and Type	Number of Creative Translations	Percentage
Compounds without hyphen (43)	32 of 473[72]	6.77%
Compounds with hyphen (43)	13 of 473	2.75%

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[72] One neologism in the ST has, with eleven TTs, eleven potential instances in which it could be rendered either creatively or normalised in translation. Hence, '32 out of 473' indicates 32 instances of creative translations in 473 potential moments, meaning that 32 creative forms appear across all TTs for these 43 neologisms in the ST.

– Double adjectives (DADJ, 19)	7 of 209	3.35%
– Nominalisations (NOM, 9)	0 of 99	0%
– Spelling alternatives (SPA, 15)	6 of 165	3.64%
Combinations (COM, 11)	22 of 121	18.18%
Conversions (CONV, 6)	9 of 66	13.64%
Derivations (DER, 3)	7 of 33	20.45%
Variant (1)	0 of 11	0%
Neologisms: 107	83 of 1177	7.05%

Overall, the decision of when to maintain creativity in the TTs seems to be largely random. Forms that are more creative are not necessarily more likely to be preserved (compare the data for different types of hyphenated compounds) and the distribution of TT neologisms is sporadic: in thirteen instances it is a single translation that opts for a neologism, in four it is two translations, and in two instances it is three translations. Additionally, there are five examples ('gluthauchend', 'breitschattend', 'halbgeflüstert', 'rotbewimpert', "sargschwarz") with which nearly all translators use an innovative form, yet show interestingly little variation (Table 3.12) among them as most translators use the exact same coinage.

Table 3.12 Neologisms with high TT preservation rates (>8)

ST Neologism	TT Neologism
breitschattend	broad-brimmed (7 translations) wide-brimmed (2 translations – Neugroschel and Chase)
gluthauchend	fire-breathing (8 translations) heat-breathing (1 translation – Chase)
halbgeflüstert	half-whispered (8 translations)
rotbewimpert	red-lidded (both Burke translations) red-lashed (8 translations)
sargschwarz	coffin-black (8 translations) matte-black (1 translation – Chase) coffin-black-varnished (1 translation – Doege)

Burke's "red-lidded" for 'rotbewimpert' is likely a mistranslation; Chase's deviation is more interesting as he is the only one who, in three instances, opts not only for a creative form, but for one that is not identical to those chosen by the majority of other translators. While these numbers are too small to draw any conclusions, Chase's departure from the norm is worth keeping an eye on. The repeated neologisms, meanwhile, raise the question of whether a sort of retranslation effect is visible here – i.e. whether later translators are copying earlier ones. Although it can only be speculated whether the same coinages being reused indicates not creativity but a lack thereof or whether the repetition occurs for other reasons,[73] what is certain is that, in general, when it comes to the rhetorical device of neologisms creativity is not only not a priority in the English versions of *Der Tod in Venedig*, but that the form it takes in translation is limited. Mann's neologisms fall into five different categories (compounds, derivation, conversion, creative variant and creative combinations), whereas creative TT forms are, without exception, hyphenated compound words. Like in the ST, some of these are more striking than others, with some (e.g. "traveling-pad", "gondola-landing") barely amounting to more than spelling alternatives and others occasionally taking more daring forms ("coffin-black-varnished", "cloud-swollen", "melancholy-enthusiastic"), but no translator experiments with any other technique.

3.3.3 Normalisation in translation

The most common approach to neologisms in the TT corpus is normalisation, a strategy that Sara Laviosa describes as "the translator's sometimes conscious, sometimes unconscious rendering of idiosyncratic text features in such a way to make them conform to the typical textual characteristics of the target language" (54–55), with Mona Baker adding that it "exaggerate[s]" (qtd. in Laviosa 69) the typical target text features. Normalisation occurs either due to "systemic constraints of the target language" or "the translator's own preferences" (Laviosa 69), although socio-

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[73] As the examples in this chapter concern single lexical units rather than more extended phrases, limited variation may, at least in some cases, be explainable by this factor. Rendering a word like "sargschwarz" as "coffin-black" is literal as well as sensible.

cultural or economic factors may also come into play, with Kenny explaining that translators can be under pressure (from editors and publishers) to produce 'normal' texts (*Lexis and Creativity* 140). In a parallel corpus, normalisation is present when translations demonstrate "fewer instances of abnormal or creative language features than would be expected on the basis of their respective source texts alone" (*Lexis and Creativity* 138). Normalisation can occur at different linguistic levels, e.g. grammatical, punctuational and lexical, with Kenny specifically referring to the last one as *lexical normalisation*, "that is, the normalisation of individual words and collocations" (*Lexis and Creativity* 138). Other related terms include *simplification* and *naturalisation*. While there are some nuances in these words, they do not concern us especially in this thesis, in which I am simply using the term *(lexical) normalisation* to describe strategies that produce a (more) fluent and conventional translation rather than a linguistically (more) novel one, with the former demonstrating a greater reliance on the idiom principle and the latter on the open choice principle.[74]

Fluency, according to Venuti, is a domesticating strategy within the Anglo-American context, and is signified by linguistic or stylistic peculiarities being absent as the translator aims for "readability" by "adhering to current usage, maintaining continuous syntax, fixing a precise meaning" (*The Translator's Invisibility* 1). In the *Venice* target texts fluency is rarely achieved through the complete elimination of an ST neologism; only a handful of omissions are present in total. Koelb removes "schwergeschmückt", Lowe-Porter "üppig-untauglich", "Befallenen" (with some compensation, another rarely used tactic) and "Gepäckbeförderungsamt", the last of which is also omitted by Doege, as are 'breitschattend', "bräunlich-ledern" and "Glücksfrist" – too few to reveal any clear patterns specific to neologisms, whether in terms of translators (i.e. which ones have a tendency to omit coinages) or translation strategies (i.e. when omissions take place). Generally, translators adapt

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[74] Equally, the debate about normalisation being a translation universal has no place here. Various scholars (Venuti 1997; Tymoczko 1998; Hermans 1999) have raised doubts about the existence of translation universals, with which I concur.

neologisms to conventionalised items, which come in any form imaginable and are greatly varied, for example, reducing creative words to their bare minimum with single unit items sometimes even at the cost of meaning ("Dämmerblässe" as "paleness"; "Fremdenpoesie" as "song"; 'Massenzutrauen' as "trust") to increasingly complex grammatical structures (such as established compounds, multi-part noun phrases and relative clauses). This observation applies to all categories of neologisms, although some distinctions can be made in terms of conventionalisation that takes place depending on the type of neologism concerned.

3.3.3.1 Hyphenated compounds

Spelling alternatives typically are translated with non-hyphenated compounds consisting of two nouns (e.g. 'Granatapfel-Getränk'/"pomegranate drink"; "Amethyst-Geschmeiden"/"amethyst jewelry") or noun phrases that are post-modified with prepositional phrases ("Friedrich-Roman"/"novel on Friedrich"; "Maja-Welt"/"world of Maia"). Although there is of course occasional variation with some items (*"Seemanns-Überjacke"* is rendered with a possessive in most TTs) and on the part of individual translators (Chase opts for "a chorus in which the entire ensemble laughed as hard as it could" for "Lach-Refrain", in contrast to "laugh refrain" or "laughing refrain" chosen by others), the translations are generally straightforward, at least compared to NOM neologisms. These are sometimes rendered with simple constructions in the English versions (e.g. two adjectives or nouns joined by the conjunction 'and'; a noun with a qualifying adjective), however, more extensive rephrasing and explicitation is increasingly seen, as demonstrated by several of the translators (Burke 1 and 2, Lowe-Porter, Luke, Neugroschel, Heim) in Table 3.13:

Table 3.13 'Einsam-Stumme' neologism in the TTs

	Einsam-Stumme
Burke 1 (1924)	a man who lives alone and in silence
Lowe-Porter (1928)	A solitary, unused to speaking of what he sees and feels
Burke 2 (1970)	a man who lives alone and in silence

Luke (1988)	a devotee of solitude and silence
Koelb (1994)	A lonely, quiet person
Appelbaum (1995)	a solitary, taciturn man
Neugroschel (1998)	a loner who seldom speaks
Chase (1999)	the solitary and silent
Heim (2004)	a man of solitude and few words
Doege (2007)	the solitary and mute one
Hansen & Hansen (2012)	the solitary, taciturn man

NOM neologisms are complex items. They provide a challenge due to nominalisation, which exists in English, but which, particularly in the case of zero-derivation, makes, in comparison with German, for a more marked (due to being a less productive word formation process) as well as slightly more ambiguous word (due to absence of inflections). Chase's "the solitary and silent" illustrates: embedded in the clause "[t]he observations and chance encounters of *the solitary and silent* are more blurred" (my emphasis), the words can refer to either a single or multiple persons. The majority of translators clarify through grammatical changes, e.g. transforming the ST nouns into adjectives paired with an explanatory noun ("one", "man", "person") or use other, more fluent solutions such as relative clauses (Burke 1, Burke 2, Neugroschel) or participle clauses (Lowe-Porter's particularly extensive rendition).

The third type of hyphenated compounds, DADJ neologisms, also manifests specific translation preferences. Hyphens are removed from the adjective unit as it is virtually always split into two parts. Adjectives are often kept, although in some cases one component may be changed to an adverb or a noun. Punctuation or conjunctions may be added. Two representative examples can be seen with 'ängstlich-übermütig' and "bräunlich-ledern" in Table 3.14:

Table 3.14 Translations for two typical DADJ neologisms

	ängstlich-übermütig	bräunlich-ledern
Burke 1 (1924)	nervousness and ebullience	leatherish brown
Lowe-Porter (1928)	panic and thrills	brown and leathery
Burke 2 (1970)	nervousness and ebullience	leatherish brown
Luke (1988)	anxiously exuberant	brown and leathery
Koelb (1994)	anxious	brown and leathery
Appelbaum (1995)	anxious but merry	brownish and leathery
Neugroschel (1998)	anxious and rollocking	brownish and leathery
Chase (1999)	anxious	leathery brown
Heim (2004)	anxious yet high-spirited	brownish and leathery
Doege (2007)	fearfully wanton	omits part of the ST sentence, including the neologism
Hansen & Hansen (2012)	fearful, jaunty	leathery and brown

DADJ and NOM neologisms are similar in some ways in that both involve the linking of two items with a hyphen that, except for word order, are equal: the components of the whole unit qualify each other, rather than one acting only as the modifier for the other. In translation this equality may be lost, particularly if one component is transformed into a different word category. The addition of conjunctions with some DADJ is also interesting, especially when "but" and "yet" are used as these verbalise contrast which is sometimes implicit ('schwermütig-enthusiastisch'/"melancholy *yet* enthusiastic") and sometimes not present at all ('gutmütig-häßlich'/"ugly *but* good-natured", both my emphasis).[75] The linking of two lexical units through hyphenation also means that the sense of the resulting item is not quite the same as that when the two units are interpreted separately, even more so as most combinations are unexpected and seemingly contradictory (as the just mentioned 'schwermütig-enthusiastisch' illustrates). The separation of the lexical

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[75] 'Schwermütig' and 'enthusiastisch' are opposed emotional states that make for a rather paradoxical pairing; 'gutmütig' and 'häßlich' describe a personality trait and a person's physical appearance respectively and can apply simultaneously.

components thus implies a shift in meaning, which may be slight, but is nonetheless present as part of the normalisation process.

3.3.3.2 Non-hyphenated compounds

Non-hyphenated compounds show the same kind of fluency as other neologisms. While a number of different solutions are offered by translators, the use of noun phrases is prevalent with 'N + N' compounds (no hyphen, but a space, e.g. "Farrengewucher"/"fern clusters"; "Gepäckbeförderungsamt"/"luggage office"), 'ADJ + N' phrases (e.g. "Allerweltsferienplatze"/"cosmopolitan resort"; "Greisenlippe"/"senile lips") and 'N + of + N' constructions (e.g. "Glücksfrist"/"period of happiness"; "Raumeswüste"/"wilderness of space") dominating.

It is also possible for both types of compound coinages to be replaced with original collocations, something that has not been specifically explored in the thesis but was seen on occasion − e.g. "laugh refrain", "fern clusters" (mentioned in sections 3.3.3.1 and 3.3.3.2 respectively) and "busker virtuosi" and "beggar virtuosi" (for "Bettelvirtuosen"). Depending on the exact nature of the German compound coinage, such collocations may provide some compensation in terms of linguistic creativity.

3.3.3.3 Creative variant of existing forms

Table 3.15 Translations for "Halbdame"

	Halbdame
Burke 1 (1924)	middle-class woman
Lowe-Porter (1928)	person
Burke 2 (1970)	middle-class woman
Luke (1988)	unladylike woman
Koelb (1994)	unladylike woman

Appelbaum (1995)	woman, not quite a lady
Neugroschel (1998)	something of a gentlewoman
Chase (1999)	lady of mixed family
Heim (2004)	woman of not quite gentle birth
Doege (2007)	dame
Hansen & Hansen (2012)	lady of less than aristocratic birth

The single ST example of a creative variant neologism is normalised in all TTs (see Table 3.15), although strategies differ. Two translators (Lowe-Porter and Doege) use a hypernym that results in a partial loss of meaning, while the remainder tries to preserve the 'Halb-' part of the original coinage by using a range of syntactic constructions, including 'ADJ + N', a noun with a post-modifying 'of' prepositional phrase and an apposition. As noted previously (3.3.1.4), with only a single ST exemplar of this type of neologism the data is too limited to allow for any conclusions to be drawn, although it is clear that all the translations of "Halbdame" again confirm the general preference for fluency.

3.3.3.4   Other: Derivations, conversions and creative combinations

While neologisms that are derivations, conversions or creative combinations of multiple word formation processes are rendered innovatively more frequently than compounds or the single creative variant example, normalisation is still the most dominant translation strategy. Fluent TT forms are diverse and, in contrast to most other neologism types, demonstrate no preferences for a particular way of translating. Given the varied compositions particularly of creative combinations and the fact that coinages from these neologism categories belong to multiple parts of speech[76], the absence of a common pattern is, however, not surprising: the divergent semantic and morphological complexity in items such as 'ausstürmend' and '(der)

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[76] Each type of hyphenated compound belongs to a specific word class and compounds without a hyphen are either nouns or adjectives. In contrast, neologisms from other categories are used either as adjectives, verbs or nouns.

Weiterherkommende' are more likely to require a range of translational solutions than other neologism types.

3.3.4 Translator-specific tendencies

3.3.4.1 Omissions and additions

With a lot of variation in the choices in the individual English *Venices*, it can be difficult to identify any clear, translator-specific tendencies. One TT that is distinctive at this point is the second-most recent one, by Doege, as it contains a notable number of omissions, more so than any other translation. Besides than the complete elimination of four neologisms ("Gepäckbeförderungsamt", 'breitschattend', "bräunlich-ledern", "Glücksfrist", see also section 3.3.3), there are also partial omissions, where the coinage is translated – although not in the form of a neologism – but one part of the meaning contained within the lexical item is eliminated: "auf eine *plastisch*-dramatische Art"/ "in a dramatic way"; "*Dämmer*blässe"/ "paleness"; "das Tapfer-*Sittliche* daran war"/"the brave thing about it was"; "der Einsam-*Wache*"/ "the lonely one"; '*Einzel*inspiration'/ "inspirations"; '*Granatapfel*getränk'/ "drink"; "*Greisen*lippe"/ "lips"; "*Halb*dame"/ "dame"; '*heilig*-nüchtern'/ "sober"; "hochherzig-*unwirtschaftlich*"/ "generously"; "*Instinkt*verschmelzung" rendered, in a metaphorical manner, as "bonded alloy"; "keck-*behaglich*"/ "pertly"; '*leidend*-tätig'/ "at work"; "Massen*zutrauen*"/ "public"; '*Plauder*worte'/ "words"; "*Reise*-Schreibmappe"/ "writing case"; '*schwer*geschmückt'/ "ornate"; "*traum*glücklich"/ "happy"; "Versuchs*aufenthalten*"/ "trying out"; "Wanderer*gestalt*"/ "wanderer" (emphasis mine, to indicate the deleted part). "Urteilsaustausch"/ "exchange of words"; "Promenadenquai"/ "shore" and the image-invoking "Raumeswüste"/ "nothingness" also involve omission through semantic simplification by replacing a part or the whole coinage with more general words.

Although not nearly as prevalent as Doege's omissions, Chase's translation sees a number of additions, i.e. the inclusion of textual material that is not present in the ST. Thus "Greisenlippe" turns into "age-worn *lower* lip"; 'Löwenbalkone' into "lion-

flanked balconies" and "Friedrich-Roman" into "Frederick-the-*Great* novel". Some additions are used for emphasis ('leidend-tätig' / "*long*-suffering, *ever*-toiling"; "schwermütig-enthusiastisch"/ "melancholy, *over*-excitable"), while "Promenadenquai" is essentially rendered twice, although with different words as "stieg dann und verfolgte den Promenadenquai" becomes "went down to the *promenade* and followed the *waterfront*". Mann's 'weißbeschienene Gesichter' is rendered more metaphorically as "their faces bathed in white light" and "ins Verheißungsvoll-Ungeheure" is extended to "into the looming immensity, full of promise and portent", both significantly increasing in fluency compared to the ST coinages. (All italicisation in the paragraph is my emphasis.)

Depending on the nature of the alteration, omissions and additions in translation can either increase or decrease linguistic creativity. On the one hand, inserted or omitted textual material can be interruptive and result in more unconventional – i.e. creative – language. On the other, such alterations can also make text more fluent. Doege's omissions do not produce creativity as they result not only in the removal of the coinages but in a linguistic flattening. Chase's additions are also mostly fluent, in particular if they involve the use of emphatic words ("long-suffering, ever-toiling", "over-excitable"), prefabs ('bathe in light' in "their faces bathed in white light"; "Frederic-the-Great") or collocations ("lower lip"), for example. Occasionally, however, additions involve creativity such as demonstrated with "lion-flanked balconies", where "flanked" is Chase's own add-on but part of a hyphenated compound coinage.

3.3.4.2 Countertranslation

Chase also stands out for another reason: although the translations of individual coinages generally demonstrate a lot of variation across all TTs, at times he makes choices that deviate from those of other translators by opting for a less common translation, for example, through his specific choices of words or grammatical rephrasing (i.e. alterations in the syntax or transformations in word categories and often involving both).

"Glücksfrist" is rendered in a similar manner in the TTs, although only three (Burke 1, Burke 2 and Luke) overlap exactly. None of these translations is particularly creative in terms of Sinclair's principles as they use conventional phrases with optional and exchangeable insertions. Lowe-Porter adds a detail ("wedded"). Chase's version also resembles that of others, but instead of using "term" or "period", more general words to refer to a length of time possibly extending over several decades, he translates with the more narrowly defined "a few ... years":

Table 3.16 Translations for "Glücksfrist"

	kurzer Glücksfrist
Burke 1 (1924)	a short period of happiness
Lowe-Porter (1928)	a brief term of wedded happiness
Burke 2 (1970)	a short period of happiness
Luke (1988)	a short period of happiness
Koelb (1994)	a short term of happiness
Appelbaum (1995)	a brief term of happiness
Neugroschel (1998)	a short period of bliss
Chase (1999)	a few short years of happiness
Heim (2004)	a brief period of bliss
Doege (2007)	[omits]
Hansen & Hansen (2012)	a brief period of happiness

A second interesting example is 'dickdunstig' from "unter dickdunstigen Himmel, feucht, üppig und ungesund". The translation of the whole phrase given involves prefabs ("under a ... sky" or "beneath a ... sky") with an extension (indicated by '...'), further complemented by three adjectives that follow. The grammatical construction of the whole phrase is nearly identical in the different translations:

Table 3.17 Grammatical construction of the 'dickdunstig' phrase

	unter dickdunstigem Himmel, feucht, üppig und ungeheuer	*unter* + [DADJ neologism] + N, ADJ, ADJ *und* ADJ
Burke 1 (1924)	under a heavy, murky sky, damp, luxuriant and enormous	*under a* + ADJ, ADJ + *sky,* ADJ, adj *and* adj
Lowe-Porter (1928)	beneath a reeking sky, steaming, monstrous, rank	*beneath a* + ADJ + *sky*, ADJ, ADJ, adj
Burke 2 (1970)	under a heavy, murky sky, damp, luxuriant and enormous	under a + ADJ + ADJ + sky , ADJ, ADJ and ADJ
Luke (1988)	under a cloud-swollen sky, moist and lush and monstrous	*under a* + ADJ + *sky*, ADJ *and* ADJ *and* ADJ
Koelb (1994)	under a vaporous sky, moist, luxuriant, and monstrous	*under a* + ADJ + *sky*, ADJ, ADJ, *and* ADJ
Appelbaum (1995)	under a vapor-laden sky, damp, luxuriant and uncanny	*under a* + ADJ + *sky*, ADJ, ADJ *and* ADJ
Neugroschel (1998)	under a steamy sky, muggy, luxuriant, and monstrous	*under a* + ADJ + *sky*, ADJ, ADJ *and* ADJ
Chase (1999)	under a sky thick with vapor, damp, lush and monstrous	*under a* + *sky* [ADJ + *with* + N], ADJ, ADJ and ADJ
Heim (2004)	beneath a steamy sky — sultry, luxuriant, and monstrous	*beneath a* + ADJ + *sky* – ADJ, ADJ, *and* ADJ
Doege (2007)	under a moist and heavy sky, wet, lush, and unhealthy	*under a* + ADJ *and* ADJ + sky, ADJ, ADJ, *and* ADJ
Hansen & Hansen (2012)	under a thick, steamy sky, humid, luxuriant, and vast	*under a* + ADJ, ADJ + *sky*, ADJ, ADJ, *and* ADJ

Translators use one or two adjectives to render the neologism (some even preserving it), while Luke uses an additional conjunction and Heim a dash (both instead of a comma). However, it is Chase who stands out with his 'ADJ + with + N' construction.

Elsewhere, the noun compound "Instinktverschmelzung" becomes 'ADJ + N' in virtually all translations, most pairing either "instinctive" or "instinctual" with one of three nouns ("welding", "fusion", "synthesis"). Doege's word choice differs as has been noted ("bonded alloy") but still involves the 'ADJ + N' format, while Lowe-Porter's translation is reduced to a noun ("mingling") as the "Instinkt-" part of

the coinage is omitted. Chase, meanwhile, uses "merging of instincts", a 'N + of + N' construction. With 'körperhaft-geistig', word choices differ but most translators also rely on one type of grammatical construction: 'ADJ + and + ADJ'. Only Appelbaum and Chase differ, transforming the adjectives into nouns ("of both the body and the mind" and "of body and soul" respectively). The neologisms, "Lach-Refrain", in "mit einem Lach-Refrain, in den die Bande regelmäßig aus vollem Halse einfiel", turns into either as "laugh refrain" or "laughing refrain" in most *Venices*, with Hansen & Hansen also offering the alternative "laughing chorus". Doege's translation ("a refrain of laughter") involves a different construction, but it is Chase that stands out the most, splitting the coinage and transforming one of its noun components into a verb: "a *chorus* in which the entire ensemble *laughed* as hard as it could" (my emphasis). In "mit farblosen, rotbewimperten Augen", the coinage 'rotbewimpert' describes a pair of eyes. The translators use the same kind of construction ('PREP + ADJ, ADJ + N'), although Neugroschel utilises no preposition. Chase diverges by writing "with sharp, colorless eyes, under red lashes" ('PREP + ADJ, ADJ + N, PREP + ADJ + N'), adding "sharp", as well as turning 'rotbewimpert' into a prepositional phrase that follows "eyes". Another compelling example of grammatical rephrasing is "Romanteppich", which is discussed in detail in the Metaphor chapter (see page 262ff).

Chase's deviant choices demonstrate creativity in another way, one that does not involve being linguistically innovative as defined by Sinclair's principles, but by *countering* other translations – thus the term *countertranslation*.

3.4   Concluding remarks on neologisms

Neologisms are not a prominent feature in Mann's *Der Tod in Venedig* and occur only from time to time, with 107 exemplars being analysed here. In translation, however, they all but disappear: normalisation is dominant while the preservation of neologisms is the exception rather than the norm as the English translators uniformly use fluent forms. Given that neologisms are rhetorical devices that – as single-item units processed through the open choice principle – are inherently creative, their

removal invariably signifies a loss of linguistic creativity. Interestingly, even when neologisms are used in the TTs, they take more limited forms. While Mann's coinages fall into a range of categories (hyphenated and non-hyphenated compounds, derivations, conversions, creative variants of existing forms and creative combinations), those in the TTs are all hyphenated compounds. Furthermore, in several instances where most of the translators do render the ST form with a neologism, they utilise the same or a very similar coinage, making them, in the context of the retranslational corpus, less innovative. Beyond the recurrent removal of the neologism form in the TTs, some notable patterns are also observed with individual translators. Doege's *Venice* demonstrates multiple omissions, while Chase's sees additions of, if often minor, textual material. The translation of the latter also includes what has been termed *countertranslation* and although examples are still small in number, they are worth noting – as comparisons with the other two units of analysis will reveal.

The conclusion that *Der Tod in Venedig* translators do not prioritise linguistic creativity when it comes to neologisms is different to what Kenny notes in her study (see also page 89 of the thesis) where normalisation is "far from an automatic response to lexical creativity in the source texts" (*Lexis and Creativity* 210). Rather, "most of the time creative lexis in the source texts … is not normalized in translation, and some translators prove to be ingenious wordsmiths in their own right" (*Lexis and Creativity* 210). Compared to the uniform approach in TIVC translations, the individual normalisation rates for GEPCOLT translators are also much more varied. For hapax legomena, they average 44% (with a compensation rate of 17%) but range from 33-100%. The numbers, however, can be misleading in terms of significance, as, for example, the 100% normalisation rate relates to a text with a single hapax legomena. Furthermore, there is an important and interesting difference between Kenny's corpus and the one used here in that *Der Tod in Venedig* is not a linguistically experimental work to begin with – indeed, this facet of the novella was one of the reasons behind the choice of the ST for this study (see 1.2.2). As noted, Mann's usage of neologisms is infrequent, much in contrast to the texts of at least some of Kenny's authors, in which they presumably are a more common and/or

defining feature of the writing. While the translators of the GEPCOLT corpus thus have good grounds to reproduce coinages and the status of the ST novels as linguistically experimental texts may even be one of the reasons for them being translated, the occasional appearance of neologisms in Mann's *Der Tod in Venedig* makes them no less significant – quite the contrary. Precisely because neologisms are used so intermittently by the author, each and every single one was chosen purposefully, their normalisation only implying a loss.[77]

Normalisation is a strategy that can be either conscious or unconscious. With regards to the ST neologisms in translation in Mann's *Der Tod in Venedig*, normalisation is overwhelmingly present across all types of neologisms and with all translators so that a conscious choice seems likely. In the case of neologisms, the constraints of language are insufficient reason to explain normalisation. Most of the processes that Mann uses to form words are possible in English. Some are unconventional and would result in more marked language than in the original, however, given that it is linguistically creative items that are being translated, increased markedness is not particularly problematic. Additionally, translators also have the option of compensation available both for items that cannot be coined in the same manner as in the ST (e.g. 'Lebehoch') or where using the same formation processes may be too pronounced.

Whatever the reason behind the persistent normalisation of neologisms by all English translators of *Der Tod in Venedig*, the practice is in accord with Venuti's observation in *The Translator's Invisibility* (1995) that fluency is characteristic in contemporary Anglo-American translation culture as part of a wider, domesticating approach.

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[77] Mann is known as a wordsmith and a writer who selects and places every word with great care, as Oskar Seidlin illustrated in his 1947 analysis of the opening sentence of *Der Tod in Venedig*'s second chapter.

Chapter 4   Similes in *Der Tod in Venedig*

4.1   Introduction to similes

In *A Glossary for Literary Terms* M.H. Abrams defines a simile as "a comparison between two distinctly different things [that] is indicated by the word 'like' or 'as'" (102). This basic kind of definition is fairly standard for glossaries or handbooks on rhetorical devices, which generally reserve far less space for similes than for the related form of metaphor,[78] another figure that is also considered as part of this study. Indeed, as Bredin notes more generally, there is "not a vast literature" (68) and "there does not exist even a fixed and accepted vocabulary, let alone a set of concepts, with which to describe and discuss the problems and properties of comparisons and similes" (68). Often similes are considered as a comparatively minor and less complex figure alongside metaphors and, at times, even mistakenly identified as a type of metaphor.[79] While there is, in English-language academia, an extensive body of research specifically on epic similes in ancient Greek literature, studies otherwise are fairly limited and dispersed. In the 1997 paper "Comparisons and Similes" Bredin himself attempts to sketch an outline of a general theory of comparison as well as specify what distinguishes similes from other comparisons (68). He refers to general literature on the subject from Ortony (1979a), Miller (1979), Addison (1993) and Fishelov (1993), to which Fogelin (1988) and, more recently, Chiappe, Kennedy, and Smykowksi (2003) and O'Donoghue (2009) can be added – although all of these are chapters or articles, rather than book-length explorations. More narrowly defined studies include Norrick (1986, on stock similes) and Moon (2008, conventionalised *as*-similes), with some corpus-based papers from Roncero, Kennedy, and Smyth (2006, internet similes with

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[78] Richard Buxton, among others, notes that in comparison to metaphors, "[f]ar less attention, however, has been devoted to the closely related linguistic-rhetorical figure of the simile. In the recently published *Encyclopedia of Rhetoric*, for instance, the entry on 'simile' receives 30 lines, as against 258 for 'metaphor'" (139).

[79] Reversely, there is also a body of literature that describes metaphors as 'elliptical similes'; more on this in the Metaphor chapter.

explanations), Wikberg (2008, phrasal similes in the British National Corpus) and, in particular, several contributions from Veale and/or Hao. The last two have looked into multiple rhetorical devices, including similes, with a specific focus on humour and irony (e.g. Veale 2012 and 2013; Veale and Hao 2007), mining the internet with web search engine to retrieve both conventional and creative similes. None of these papers offer a more elaborate definition for similes. In German, finding relevant literature is significantly complicated by the fact that the literary term for simile is *Vergleich* (literally 'comparison'), a general word that is used widely outside of literary contexts. Even extensive searching – with advanced query settings and various supplementary key terms such as 'literarische Stilmittel' and 'Metapher' – in university library catalogues, databases and on the world wide web reveals mostly references to literary glossaries and some individual studies on similes (usually alongside other devices) in specific, often pre-twentieth-century, literary works, e.g. similes and metaphors in Heimito v. Doderer (Klein 1969), in science-fiction (Ortner 1985) and in German and Persian poetry (Schnyder 1992). More general writing that addresses similes as a rhetorical figure is harder to come by and may overlap with linguistics, as is the case with Thurmair's book-length treatment on *Vergleiche und Vergleichen* (2001) and Häcki Buhofer's article "Zum Konzept des Vergleichs in der Sprachwissenschaft" (2011). While it is possible that more appropriate research exists but cannot be traced easily due to the generic *Vergleich* term, it is plausible that, like in English, similes have received less and rarely exclusive attention compared to some other rhetorical devices.

4.1.1   Simile definition

4.1.1.1   Existing definitions in German and English

Simile definitions in glossaries and literature tend to be rather general. Descriptions in glossaries are often brief and usually only accompanied by a few, simple examples, while academic studies, even when exclusively focused on similes, sometimes do not provide definitions at all. When given, definitions usually sufficiently distinguish similes from other forms of comparison (such as metaphors,

analogies, comparatives and parables) and nearly always highlight the fact that similes, particularly in contrast to metaphors, signal comparison through an explicit linguistic marker.[80] However, typically no more than one or two such markers are listed (usually 'wie' for German and 'like' and 'as' for English) and the phrasing is often in such a manner that seems to suggest that no other markers are possible – as already exemplified by the definition in *A Glossary of Literary Terms* at the beginning of this chapter. Catherine Addison (1993) observes that even the definitions offered in two book-length studies available on similes at the time – McCall (1969) and Brogan (1986) – are not especially helpful (406), with the former describing similes as "comparative expressions signaled by 'like,' 'as' and 'just as … so'" (paraphrased in Addison 403) and the latter as something between metaphor and what is referred to as "fragmentation" (Brogan, qtd. in Addison 403). Addison's own definition is in partial agreement with McCall, although she adds that "variations, such as 'so have I seen' or 'if … so'" (403) of linguistic markers are possible. She also includes "comparisons of inequality … signaled as they are by markers such as 'unlike' or '[like, but] greater (or lesser) than' as similes "cannot actually express identity or opposites, [they] can express any among an infinity of degrees of likeness and unlikeness" (both 404). The situation is not remarkably different in the German literature. Braak, in *Poetik in Stichworten,* vaguely describes similes as "*Verschmelzung* des gemeinsamen Gehaltes aus 2 Bereichen" (48) and only mentions linguistic markers when defining a so-called *verkürzter Vergleich,* which is created through "Wegfall von Vergleichspartikel" (48). No list of exemplary *Vergleichspartikel* is, however, given at any point. Kohl's definition of the device as "eine explizite Verbindung von zwei Vorstellungen oder Begriffen, die nicht identisch sind, aber (angeblich) in einem oder mehreren Aspekten eine Ähnlichkeit aufweisen: >A ist wie B<" (73) is much clearer, but again neglects to directly refer to linguistic markers. Online glossaries are more explicit, with LiGo (*Literarische Grundbegriffe online*, <www.li-go.de/>), a joint project of Germanists from several German and Austrian universities, indicating "Verwendung von

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[80] Some metaphor scholars do not consider the device as a form of comparison. See section 5.1.1 Theories of metaphor on page 212.

Vergleichspartikeln (im Deutschen meist „wie“)". [81] The definition in the online *Basislexikon Literaturwissenschaftliche Terminologie* (<www.fernuni-hagen.de/EUROL/termini/>)*,* maintained by FernUniversität Hagen, is similar. The only source consulted to indicate other linguistic markers for similes is Dubois et al., who call them *copulae* and confirm that similes are "normalerweise durch 'wie' eingeführt" (189), but that other options such as 'so wie', 'gleich', 'scheint', 'simuliert' and 'ähnlich' (all 190) exist. A number of German resources – such as Braak with the *verkürzter Vergleich* above – also argue that there are similes that have no explicit linguistic marker, a position that this study does not agree with. [82] More useful is the terminology that some German literature employs to elucidate simile structure, with one or more of the terms (*primum) comparandum*, *(secundum) comparatum, tertium comparationis* (also: *Vergleichsgrundlage, Vergleichs-* or *Komparationsbasis)* and *comparator* (*Vergleichspartikel* or *-konjunktion*) being used in definitions. Brehmer's explanation is perhaps the most complete:

> Die … logisch-semantische Struktur des Vergleichs bedingt die Existenz von vier Basiskomponenten: (1) das Ausgangsobjekt (comparandum), d. h. das Element, mit dem etwas verglichen werden soll; (2) das Vergleichsobjekt (comparatum), d. h. die Vergleichsgröße, die mit dem Ausgangsobjekt in eine Vergleichsrelation gesetzt wird; (3) die Vergleichsbasis (tertium comparationis), d. h. das Merkmal, das die Grundlage des Vergleichs liefert und somit das semantische und strukturelle Zentrum des Vergleichs bildet; (4) ein Vergleichspartikel oder -konjunktion (comparator) bzw. allgemein ein grammatischer oder lexikalischer Marker, der die konfrontierten Objekte miteinander verbindet. (141)

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[81] LiGo is intended as a "Selbstlernkurs zu literaturwissenschaftlichen Grundbegriffen" (<www.li-go.de/definitionsansicht/ligostart.html>) and offers definitions, explanations and examples for a wide range of terms from several areas of knowledge incuding stylistics, literary theory and metrics.

[82] Braak provides no detail on the *verkürzten Vergleich*, only offering an example from Schiller's "Wissenschaft": "Einem ist sie [die Wissenschaft] [wie] die hohe, himmlische Göttin, dem andern [wie]/Eine tüchtige Kuh, die ihn mit Butter versorgt" (48). It may be that his position is based on the view in classical rhetoric that a metaphor is a simile by ellipsis. (See Metaphor chapter on p. 207 for more details on this view.)

Several sources (LiGo, *Basislexikon*) also note that the *tertium comparationis* may be either explicit or implicit.

Overall, while German literature seems to sometimes provide more detail in the discussion of similes, Bredin's assertion that there is no fixed and accepted vocabulary or set of concepts in relationship to this device appears accurate for both languages, with definitions often lacking in various aspects. A clear working definition is thus essential.

4.1.1.2 Working definition for simile

In this study the following definition is used for simile: A *simile*, a rhetorical figure, is a particular type of comparison which is made explicit through the use of a linguistic marker (*comparator*), of which there are various within the language concerned, with some (e.g. 'wie' in German; 'like' and 'as' in English) being more widely used than others. The range of possible linguistic markers is likely greater than what much of the current literature indicates. Similes describe either a degree of *likeness* or *unlikeness* between a *comparandum* (the subject of the comparison to which attributes are ascribed) and a *comparatum* (the subject from which the attributes are derived). These attributes form the basis (*tertium comparationis*) of the comparison and may be either implicit (1) or explicit (2), resulting in the following two basic kinds of structures:

Figure 4.1 Basic simile structures[83]

(1)	Blätter	–	wie	Hände
	comparandum	tertium comparationis	comparator	comparatum
(2)	Blätter	dick	wie	Hände
	comparandum	tertium comparationis	comparator	comparatum

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[83] The examples have been taken and adapted from Mann's *Der Tod in Venedig*.

4.1.2 Identifying similes in practice

4.1.2.1 Simile criteria

The working definition is merely a starting point as further detail is often helpful when it comes to actually identifying similes as identification, despite what the relative lack of definitions as well as the straightforwardness of those that are available would seem to suggest, can be challenging in practice. Similes often do not appear in the classical, concise forms illustrated in examples in glossaries as they are formally more varied, not only in terms of the linguistic marker that distinguishes them, but also in terms of complexity and extent. To facilitate identification a list of seven criteria for similes was drawn up: 1) simile marker, 2) added insight through comparison, 3) register (positive or negative), 4) extent, 5) level of complexity, 6) REAL+ versus REAL− status and 7) concreteness versus abstraction. These features, detailed below, serve as guidance only. They are not a quantifiable checklist as the specifications given are not equal: some are obligatory features, others merely optional, and a few are alternatives of the either/or variety (either one or the other characteristic will apply).

4.1.2.1.1 Simile marker

The simile marker (comparator) is a linguistic string that explicitly indicates a comparison and thus the presence of a simile. It is a defining and thus obligatory feature that distinguishes similes from other comparison-related rhetorical devices, most importantly metaphors, and is usually mentioned in the literature. Different linguistic strings are possible and may consist of one ('as') or more items ('compare to'), with other words appearing in between in some cases ('as … as'). Some simile markers are more prevalent than others, the most common ones being those that are typically stated in definitions in the literature. A list of markers, notably more extensive than those supplied by most definitions, is given in Table 4.3 (for German) and Table 4.4 (for English) in the Methodology section of this chapter (see page 165ff). While the view on simile markers here aims to be inclusive rather than restrictive, it does not, however, propose to allow for any linguistic string –

"phonetic, syntactic, punctuational, semantic" (Bredin 70) – that expresses comparison as some boundaries must be drawn. As explained by Bredin, the contrast-indicating conjunction in the proposition *"Michael is a boy but Anne is a girl"* (69, my emphasis), conveys a comparison of sorts, yet "but" does not qualify as an appropriate simile marker: as a conjunction it functions, first and foremost, as a connector of clauses. This criterion also means that comparatives ('-er than', 'more … than') are not considered simile markers as these are grammatical means of comparing by which both subjects already possess the same property but in different quantities rather than constituting a simile comparison wherein the property of one subject is transferred onto another.

While a linguistic marker must be present for something to qualify as a simile, the presence of the marker in a phrase does not automatically signify that we are dealing with a simile: it merely indicates simile *potential*. This is so because many, if not most, linguistic strings that serve as simile markers also carry other semantic senses, e.g. 'like' can be a verb indicating affection ('I like you'), 'as' can be temporal ('as I went to the store').

4.1.2.1.2   Added insight through the comparison

Generally only similes that provide new insight through the association of the comparandum with the comparatum are considered in this study. The degree of insight may vary greatly, depending on a number of factors, including the detail provided (through the tertium comparationis) and the nature of the relationship between the comparandum and the comparatum. This stipulation means that any items that are similes in form but have become conventionalised in usage – like fixed or semi-fixed phrases (e.g. 'as quiet as a mouse', 'as white as a sheet', 'to work like a dream', 'memory/mind like a sieve') are not taken into account here as they add no true new insight and are also too established in language to be suitable for a study on linguistic creativity. There may be some exceptions to this criterion if a conventionalised simile is used in an atypical way, e.g. by adding an element of irony or using wordplay.

4.1.2.1.3 Register: Positive (R+) or negative (R−)

Similes may either be *positive* (R+, '*like* something') or *negative* (R−, '*unlike* something'), the latter being a comparison through difference, or, as Addison terms it, "comparison of inequality" (404). It may be that positive similes are significantly more prevalent than negative ones, although this claim is not certain. Rather, as much of the literature seems to predominantly focus on positive similes, with negative examples being given only on occasion, we may simply be less accustomed to dealing with R− similes, particularly if they rely on a less commonly used linguistic marker.[84] While some might argue that negative similes are not similes at all, they are included in this study. Other than 'unlike', sample negative markers are 'a different way than', 'in contrast with', 'different from/to' and 'differs from'.

4.1.2.1.4 Extent

This feature refers to how far a simile extends, i.e. whether it is a simple simile that consists of a comparandum with a single comparatum, or whether the simile expands further, containing at least two or more comparata:

Table 4.1 Simile with two comparata (from *Death in Venice,* Appelbaum translation)

floating flowers comparandum	as white as milk comparatum 1	and as large as platters comparatum 2

Simile extent also includes the tertium comparationis (when made explicit), which can vary greatly in the amount of detail it provides. It can be brief, as in the example above ("white"; "large"), or more elaborative, as similes, which may be composed of multiple sentences, can stretch over several lines or even paragraphs. Such extended similes are also often known as epic or Homeric similes (*Gleichnis* in German) due their prominent use by Homer. In Table 4.2 from the *Iliad* (Kuiper

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[84] It does not appear that any exclusive, extensive study on negative similes has yet been conducted.

382), Aias, the subject of the comparison, is likened to oxen straining to pull a plough, their effort being described in detail:

Table 4.2 Extended (epic) simile

> But swift Aias the son of Oïleus would not at all now take his stand apart from Telamonian Aias,
>
> not even a little; but as two wine-coloured oxen straining
>
> with even force drag the compacted plough through the fallow land,
>
> and for both of them at the base of the horns the dense sweat gushes;
>
> only the width of the polished yoke keeps a space between them
>
> as they toil down the furrow till the share cuts the edge of the ploughland;
>
> so these took their stand in battle, close to each other.

4.1.2.1.5 Level of complexity

Level of complexity is closely related to *extent* although not identical to it. This feature points to the fact that similes do not appear in isolation by themselves in a text but are integrated into sentences, which may be either simple or complex in construction. Simple similes are composed of the three components (four, if the tertium comparationis is explicit) as identified in the basic structures modelled in Figure 4.1. Complex similes, meanwhile, build on these structures by adding other elements, which do not form part of the device itself but are inserted between the different parts that compose it and may make simile components harder to identify. Such elements can be single words or whole sentence parts and can include interjections, complement and/or relative clauses, as seen in the following example from *Der Tod in Venedig*:

Example 4.1 Complex simile 'Fahrzeug/Särge'

> Das seltsame Fahrzeug, aus balladesken Zeiten ganz unverändert überkommen und so eigentümlich schwarz, wie sonst unter allen Dingen nur Särge es sind...

Here, "seltsame[s] Fahrzeug" (to refer to a Venetian gondola) is the comparandum, "Särge" the comparatum, with "eigentümlich schwarz" making the attributes to be transferred to the subject explicit. However, there is also more detail on the comparatum ("sonst unter allen Dingen nur") which extends the simile and Mann also interpolates "aus balladesken Zeiten ganz unverändert überkommen" which is not formally part of the simile in the sense that it is functionally neither comparandum, comparatum nor tertium comparationis. While it describes the gondola, it does so as a subordinate clause, with the actual comparatum and tertium comparationis following behind. The situation in Example 4.2 is slightly different:

Example 4.2 Complex simile 'Aschenbach/Hahn'

> »Bestürzt«, dachte er, »bestürzt wie ein Hahn, der angstvoll seine Flügel im Kampfe hängen läßt.

In this instance the simile components are easily identifiable: the comparandum, which is named in the preceding sentence, is Gustav von Aschenbach, the comparatum is a distressed rooster whose attributes (tertium comparationis) are detailed with the phrase "der angstvoll seine Flügel im Kampfe hängen läßt". Complexity arises through the emphatic repetition of "bestürzt", separated by "dachte er". The latter is not formally part of the simile and, unlike in the previous example in which "aus balladesken Zeiten ganz unverändert überkommen" at least described the comparandum further, does not add anything to the comparison at all but only indicates that the utterance is a thought of a character.

Complex similes may also be part of other rhetorical constructs, as another, even more intricate example from Mann illustrates:

Example 4.3 Complex simile 'Wolken/Amoretten' embedded in a metaphor (underlined words indicate the simile)

> Ein Rosenstreuen begann da am Rande der Welt, ein unsäglich holdes Scheinen und Blühen, <u>kindliche Wolken, verklärt, durchleuchtet, schwebten gleich dienenden Amoretten im rosigen, bläulichen Duft</u>, Purpur fiel auf das Meer, das ihn wallend vorwärts zu schwemmen schien, goldene Speere

zuckten von unten zur Höhe des Himmels hinauf, der Glanz ward zum Brande, lautlos, mit göttlicher Übergewalt wälzten sich Glut und Brunst und lodernde Flammen herauf, und mit raffenden Hufen stiegen des Bruders heilige Renner über den Erdkreis empor.

The comparandum in this case is "Wolken" which are compared to "Amoretten". The tertium comparationis is "dienenden", which is a little vague as an attribute to ascribe to "Wolken". "[I]m rosigen, bläulichen Duft" is functionally ambiguous, as it can be attached to the comparatum (i.e. serving cupids are hovering in the rosy, blueish fragrance) or the comparandum (i.e. the clouds are floating in the rosy, blueish fragrance). The simile's complexity is further increased by several adjectives, both in pre- and post-modifying positions ("kindliche" and "verklärt"/"durchleuchtet" respectively), which provide more details on the clouds. However, the simile cannot be fully understood by itself without the wider context of the sentence that it is embedded in, as it is part of an extended metaphor. This metaphor, which is linked to the Greek myth of the sun god Helios that drives a golden chariot of horses across the sky, describes sunrise at the moment just before the sun appears on the horizon: light increases in intensity ("Scheinen", "Glanz", "Brande", "Glut", "Brunst", "lodernde Flammen") and changes colour from softer hues to crimson to gold ("verklärt", "durchleuchtet", "rosig", "bläulich", "purpur", "gold"). [85] While the simile stretches, formally speaking, from "kindliche" to "Amoretten" (or, arguably, "Duft"), the wider context is essential for its meaning.

Complexity in similes comes in different forms and degrees. While it often goes hand in hand with extent, not all extended similes have a complex structure and some complex similes are in fact quite short – indeed, the three examples given do not exceed more than two lines. Complexity here is not synonymous with *difficult* or *complicated*, but merely indicates that the basic simile structures have been altered through the addition of material.

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[85] The metaphor is discussed further in section 5.5.1.3 on Allusive metaphors.

4.1.2.1.6 REAL+ or REAL−

Similes are either REAL+ or REAL−, expressing a comparison in a real (REAL+) or a hypothetical (REAL−) sense. For one *Der Tod in Venedig* simile ("hier klang er auf, in die Lüfte geröhrt, wie von Hirschen"), Koelb's translation ("here it rang in the air like the bellowing of stags in rut") is REAL+, while Chase's ("[i]t sounded first here, bellowed into the air as though by rutting stags") is REAL−. The distinction between REAL+/REAL− is not essential in the sense that it is not a defining feature of a simile as other text may equally be described by this characteristic. However, with multiple translational choices being analysed in this study, it is worth noting as a feature here. Standard definitions rarely include hypothetical examples, which do not quite seem to fit the mould of what is traditionally perceived as a simile and may therefore have been disregarded. The most common hypothetical simile markers are, in German, 'als ob' and, in English, 'as if' and 'as though'.

4.1.2.1.7 Concreteness versus abstraction

The most easily identifiable similes have a comparandum and comparatum that are concrete, rather than abstract. This is because similes are figures whose purpose is "Veranschaulichung" ("Rhetorik und Stilistik") − appealing to the mind and illustrating a comparison −, something that is difficult to do if abstract items are involved. Compare, for example, 'love is like a thought' and 'love is like a rose'. While the latter does not make a particularly interesting simile due to its hackneyed status, the use of a concrete item, 'rose', allows the reader to identify attributes for the comparison: we know that roses are flowers that, among other things, have soft petals and smell sweetly, but also that they have thorns. These are all qualities that potentially can be transferred to 'love'. The same cannot be said for 'thought', which by itself is too abstract and would require further detail in order for the example to be called a simile. Concreteness is not an absolute criterion for both the comparatum and comparandum, or even just one of them, however, it may be a factor when deciding whether something is a simile or merely a comparison or some other type

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of construct. It should also be noted that concreteness can arise even for abstract items by providing additional details (e.g. through the tertium comparationis) or by the fact that some abstract concepts may be linked more readily to something concrete. Similarly, concreteness in itself does not automatically result in similes as we can have both a comparatum and a comparandum that are concrete but whose association is a comparison, not a simile, as other criteria are not fulfilled, e.g. 'A dog is like a cat'.

4.1.3 Similes and creativity

When it comes to creativity in similes, it is not possible to take the exactly same approach as with neologisms, for two main reasons: One, unlike neologisms, which may be varied in their degree of novelty but are by definition creative, similes are not: they are a rhetorical device that *may* be used innovatively. Two, similes are phrases of differing length, meaning that unlike with neologisms – generally single-item or concise units with clearly identifiable lexical borders in both languages concerned – an assessment of linguistic creativity based on the open choice principle and idiom principle can be problematic as extraneous material may be part of the simile.

4.1.3.1 Conventional versus creative similes

Not being inherently creative, similes can come in prefabricated form (as fixed multi-word units and clichés), typically lacking any sort of creativity due to conventionalisation. In a paper entitled "A Computational Exploration of Creative Similes", Veale writes that "most languages provide a wealth of pre-fabricated similes that are … well-known to native speakers" (1), providing several examples ('as strong as an ox', 'as sober as a judge'). He refers to Taylor (1954), Norrick (1986) and Moon (2008) for more comprehensive listings. Veale, however, gives only some detail in terms of what can make a simile creative rather than conventional, acknowledging that English allows for similes to be easily "minted on the fly" (3) and that they "can be as wildly colorful and incongruous as an author wants, as long as the ground is effectively communicated" (2). Veale also concurs

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with Hanks that "similes provide a freer and more creative means of expression than metaphor, since similes can serve as dynamic 'triggers for the imagination' without having to appeal to underlying schemata or to experiential gestalts" (2). With his own focus being exclusively on ironic similes, one specific type of creative simile that is of no particular interest to this study, Veale gives no further general insight into what in general might make similes creative.[86] Of the other resources consulted, creativity (or conventionality) is not specifically addressed by most. Some guidance is provided by LiGo, noting that "Vergleiche sind insbesondere dann interessant, wenn sie witzig, innovativ oder überraschend sind – was viele Schreiber nicht daran hindert, immer wieder altbekannte Vergleiche zu verwenden" (quote from the *Beispiel Vergleich* pop-up window at LiGo)[87]. These criteria ("witzig", "innovativ", "überraschend") are not further defined, although LiGo illustrates with an example of an amusing feminist slogan how an established simile can become innovative through a slight alteration:

Example 4.4 Conventional simile altered to become creative (from "Rhetorik und Stilistik")

Eine Frau ohne Mann ist wie ein Fisch ohne Fahrrad.

Here, the (unnamed) author of the sentence falls back on the simile with the formulaic 'wie ein Fisch außer Wasser' comparandum, changing it from something that a fish cannot live without (water) to something completely useless to the animal (a bicycle), introducing both novelty and humour.

4.1.3.2   Similes as creative multi-word units

Similes are not concise units but, as some of the features in 4.1.2.1 indicated, may extend and include material that is extraneous to the simile itself. As a result any

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[86] While it is possible that there are some ironic similes in *Der Tod in Venedig*, they are not likely to constitute a significant presence in a corpus the type and size of TIVC. Veale's study on the other hand involves mining a large, general corpus where such ironic similes will occur more frequently.

[87] See <www.li-go.de/definitionsansicht/rhetorik/vergleich.html>.

measurement of creativity that operates on phrase level and applies Sinclair's principles as was essentially done with neologisms, can be difficult and, at times, impossible. To study the simile only, extraneous material would have to be removed. In the case of simple, classic similes, isolation is easily done, whereas in the case of more complex ones, the specific unit of analysis may be more difficult to define as borders are not always so clear-cut. Ambiguity may occasionally arise in terms of whether some items are formally part of the simile structure or the wider sentence. Furthermore, there is also the issue of how to deal with embedded similes that do have an isolatable form but whose interpretation partially depends on extraneous material as in the 'Amoretten' example (see Example 4.3). Despite these issues, the removal of simile-extraneous material should generally be possible, however, the approach would be contradictory if we were to apply the open choice principle and the idiom principle to the resulting unit of analysis as a measurement of its linguistic creativity: Sinclair's principles derive from a corpus-based view on language, a view that is distinctly concerned with *real* utterances, not ideal ones taken from their original context and altered to suit a scientific study.

Finally, there is also the fact that this project involves both German and English, meaning that cross-linguistic issues such as the comparability of what constitutes a prefab in each language and possible differences in the distribution of the open choice principle and the idiom principle arise. With still only few and small studies on the subject and either different or imprecise estimates for the percentage of prefabricated language being typically used in German and/or English, the control corpora needed (for each language but also for similes in comparison to general language usage) to draw meaningful conclusions are currently not available. Given all these concerns, the approach to creativity in similes must differ from that of neologisms.

The linguistic creativity of similes is thus assessed primarily on an intuitive basis, with reference to general corpora and web corpus tools – the same that were used for confirming neologism status in Chapter 3 (in particular DWDS, COSMAS, COCA,

BNC-BYU and *Google Search*) – as needed. It also relies on a number of guiding questions:

(1) Is the comparison basis, i.e. the association between the comparatum and the comparandum, of the simile novel or conventional? If it is not novel but reliant on a conventional idea, has a change been made that makes the comparison fresh (for example, through word substitution, use of irony, different framing)?

(2) Is the tertium comparationis explicit and, if so, how and to what extent does it contribute to the novelty of the simile?

(3) Which simile markers are used (the most common ones or more unusual ones)?

(4) Are there any prefabs or semi-prefabs present in the simile? Do they indicate any conventional comparisons and, possibly, a partially or fully conventional simile form?

These questions will be applied to similes originally present in *Der Tod in Venedig*, the translations of these similes in the TTs (if similes are kept) and any similes added in the TTs independent of the ST. With questions 1 and 4, corpora may be consulted to confirm possible conventional associations and/or (semi-)fixed forms as needed. Question 2 meanwhile may reveal creativity in similes that at first glance seem more conventional as well as possibly highlight degrees in creativity through the details provided with the tertium comparationis. The third question particularly serves to recognise simile markers that are seen infrequently as they could be used as a means to alter conventional similes. That said, it is not expected that more atypical simile markers will play a significant role in signalling creative similes.

4.2 Methodology: Retrieving similes from TIVC

With similes containing a linguistically distinct maker their identification is generally straightforward and particularly suitable for a corpus-based method. In this project the *Concord* function of WordSmith Tools was used to query the relevant texts and retrieve all instances of simile markers. It was decided to investigate both similes used by the author in the source text as well as similes added by translators independent of the source text, as the latter might provide additional insight in terms individual stylistic choices and, possibly, compensation techniques. The query for

TT-added similes was also fairly straightforward and did not require significantly more time, at least in comparison to the other rhetorical devices considered in this study. Separate lists of markers were drawn up for both German and English in advance and each item was then queried in the respective subcorpus (the ST corpus or the translation corpus containing all TTs). The data was then checked manually, inspecting each item individually within its immediate context (i.e. the sentence it appears in) to confirm whether a simile was in fact present, with the simile criteria from section 4.1.2.1 being taken into account. Obviously conventional similes were discarded. This verification was essential since, as already mentioned, the linguistic markers only indicate simile potential. In case of the added TT simile query, hits that in fact matched with an ST simile also had to be removed as they already appeared on the ST simile list. A cross-check, similar to the one for neologisms, was also involved and used the corpus resources from Chapter 3 to address the guiding questions and determine each simile's status as a creative device. In this case, the general corpora and web search engines were of particular importance. Depending on the simile example, individual core lexical items or multi-word phrases composing the comparatum and comparandum were investigated. Collocational data from corpora was also utilised in the cross-check (e.g. through the *Typische Verbindungen* visualisation of DWDS or the advanced search options in BNC-BYU), with queries being set at four items either to the left or right of the node.

The lists of simile markers, both positive and negative, for each language are given in Table 4.3 (for German) and Table 4.4 (for English) below, with the query string used and the simile markers each query string retrieves. The lists were created drawing on the author's own language knowledge as well as on the basis of keywords from literary glossaries and simile literature. Although a range of texts was consulted, the lists do not claim to be exhaustive.

Table 4.3 German simile markers

Simile markers:	
wie, so wie, so … wie; ähnlich wie; anders wie; wie so; gleichen (lemma); gleichsam; ungleich; im Gegensatz zu; im Gegenteil zu;	
Query string	Simile Markers
wie	wie, so wie, so … wie; ähnlich wie; anders wie; wie so
als	als, als ob; anders als
gleich; gleich	gleichen, gleich, gleicht; gleichsam; ungleich
glich*	glich, glichen
Gegensatz	im Gegensatz zu
Gegenteil	im Gegenteil zu
*ähnlich	ähnlich; -ähnlich

Table 4.4 English simile markers

Simile markers:	
resemble (lemma); similar to; compare (lemma); like; as, as … as; so … as; alike; the same way that; differ (lemma); unlike; in contrast to.	
Query string	Simile markers
resembl*	resemble, resembled, resembling
similar	similar to
compar*	compare(d)/comparing to/with; in comparison with/to Note: Will retrieve some irrelevant strings such as compartment.
like	like
as	as; as ... as; so … as;
alike	alike
same way	the same way that
differ*	differ, differed, differing; different; in difference to
contrast	in contrast to/with; contrasting with

The use of precise query language was essential to ensure that all potential similes would be retrieved. Query language options such as using an asterisk (*) for any character or flexible matches for multi-item markers (such as 'so … wie' and 'as … as', see Table 4.3 and Table 4.4) allowing for other words to appear between the components of the marker were used to optimise retrieval. Such options also resulted in an increased number of irrelevant hits compared to exact match queries. For example, the search string 'compar*', which finds any word containing the specified string but allowing for more characters attached to 'compar', will track the potential simile markers 'compare', 'compares', 'compared', 'comparing' and 'comparison' but also noise such as 'compartment' and 'compartmental'. The alternative to such a flexible query was to use an exact match search, done separately for each form of the lemma, which was judged as the more inefficient option as the manual check would have had to be conducted regardless to eliminate non-simile uses of linguistic markers with multiple meaning potentials.

Once the noise in the data was eliminated, two lists of sentences were compiled in MS Word, one for ST similes and one for independently added TT similes, with all the other texts' versions alongside. With the TT simile list, the inclusion of all texts was to identify in what kind of instances similes are added as well as to compare what other translators do in the same scenario.

4.3   Data analysis

4.3.1   ST similes

A total of forty-two ST similes were analysed (see Appendix (E).), which included one potential double simile and two similes that were only present in HD version of *Der Tod in Venedig*. Mann's "Blumen, die milchweiß und groß wie Schüsseln waren" (see also Table 4.5) is a potential double simile, as "milchweiß" could either be interpreted as an adjective of its own followed by a simile ("groß wie Schüsseln"), with both the adjective and the simile qualifying "Blumen", or as a double simile, with the first one by ellipsis and the second one explicit ("milchweiß [wie Schüsseln] und groß wie Schüsseln"). The HD-exclusive similes, relevant for

Doege's translation only, were "Blätter so dick wie Hände" and "durch ausgedehnte Schilffelder ein klapperndes Wetzen und Rauschen ging, wie durch Heere von Geharnischten".

Table 4.5 Potential double simile

Text	Translation	Simile Count
	Blumen, die milchweiß und groß wie Schüsseln waren	1 or 2 similes (first one by ellipsis)
Burke 1 (1924)	flowers which were milk-white and large as platters	1 or 2 similes (first one by ellipsis)
Lowe-Porter (1928)	mammoth milk-white blossoms	no similes
Burke 2 (1970)	flowers which were milk-white and large as platters	1 or 2 similes (first one by ellipsis)
Luke (1988)	milk-white blossoms floated as big as plates	1 simile
Koelb (1994)	flowers that were white as milk and big as platters	2 similes
Appelbaum (1995)	flowers as white as milk and as large as platters	2 similes
Neugroschel (1998(	bowl-sized, milky white flowers	no similes
Chase (1999)	milky-white flowers of the size of plates	no similes
Heim (2004)	milk-white flowers bobbing like bowls	1 simile
Doege (2007)	milk-white, bowl-sized flowers	no similes
Hansen & Hansen (2012)	milk-white blossoms floated, as big as saucers	1 simile

The overall number of similes is not particularly large, suggesting that similes are not a prominent feature in *Der Tod in Venedig* but merely one of many rhetorical devices used by Mann. As expected, the majority of these similes had either "wie" or "als" (or variations thereof) as their linguistic marker, although a few other markers ("ähnlich", "gleich", "gleichsam") were used as well, including two forming adjectives ('gottgleich', 'nonnenähnlich'). A negative simile marker

("nichts anders denn als") was used only in one instance, suggesting that such similes indeed appear infrequently.

As similes are rather varied, no classification similar to the one for neologisms in the previous chapter is given here; rather, a basic distinction can be made between simple creative and more complex creative similes. The presence of allusions and abstract elements is also notable in a number of examples.

4.3.1.1   Simple creative similes

Mann employs a range of simple similes in *Der Tod in Venedig*, which are generally novel but otherwise display seemingly limited creativity (see Table 4.6 for some examples). The description of Tadzio's face as "weiß wie Elfenbein" draws on a prefab – as six hits in DWDS, two in COSMAS and 37,400 on <google.de> confirm – and was the only item that was eventually eliminated. Meanwhile, "zeigte das Weiße der Augen, als sei er blind" and "schwarz … wie Särge" (from "[d]as seltsame Fahrzeug, aus balladesken Zeiten ganz unverändert überkommen und so eigentümlich schwarz, wie sonst unter allen Dingen nur Särge es sind") both have comparison bases that are not original as white eyes are associated with blindness and the black Venetian gondolas have been described as coffins prior to *Der Tod in Venedig*,[88] but were not linguistically formulaic. Similarly, "sein Herz … wie ein Hammer schlägt" (from "sein Herz, vielleicht auch vom schnellen Gang, wie ein Hammer schlägt") is also not a prefab – it has only one hit in each DWDS and

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[88] Margaret Doody quotes several writers in *Tropics of Venice*: Germaine de Staël thus speaks of "black gondolas which slide along the canals resemble coffins" (in *Corinne ou l'Italie*, 1807), while Lord Byron describes "a coffin clapt in a canoe" (in *Beppo*, 1807). Further references are to Mark Twain ("a hearse... an indy, rusty old canoe with a sable hearse-body", in *The Innocents Abroad*, 1869) and George Sand ("This black gondola, narrow, low, entirely closed, resembled a coffin", in *Fragment of a Novel Which Was Not Written*, n.d.) – see pages 40 and 41. Percy Bysshe Shelley's poem "Julian and Maddalo: A Conversation" from 1818-19 with its "funereal bark" (n.pag.) can further be added to this list.

COSMAS[89] – but the combination of "Herz" and "hämmert" is common enough (with hits as follows: DWDS 19, COSMAS 8 and <google.de> 17,800) to make the association of the terms not original. Many of Mann's other similes are also very simple in structure, frequently consisting of only single-word comparanda and comparata, with no or only a brief tertium comparationis:

Table 4.6 Examples of simple creative similes

(1) "Blätter, so dick wie Hände" (HD only, Ch. 1)

(2) "seine Achselhöhlen waren noch glatt wie bei einer Statue" (Ch. 4)

(3) "gottgleiches Antlitz" (Ch. 4)

(4) "hüpften die Wellen empor als springende Ziegen" (Ch. 4)

(5) "nonnenähnliche Schwestern" (Ch. 4)

(6) "ein Hauch wie von faulenden Wassern" (Ch. 5)

The simplest of these similes are those in adjective form ('gottgleich', 'nonnenähnlich'), as the comparata visualise little and the tertium comparationis is absent entirely. 'Gottgleich', which also has 119 hits in DWDS and two in COSMAS, is especially vague as, other than a general quality of perfection, no concrete image or specific characteristics are attached to "Gott" that could be transferred to Tazio's face. This lack of detail is even more obvious in comparison to a similar, but notably richer simile, "*die lebendige Gestalt*, vormännlich hold und herb, mit triefenden Locken und *schön wie ein zarter Gott, herkommend aus den Tiefen von Himmel und Meer*" (my emphasis, see also subsection 4.3.1.4 below), where "schön", "zarter" (perhaps suggesting youth) and even "von Himmel und Meer" offer some possibilities. 'Nonnenähnlich' is slightly more concrete as nuns make for a more determinable reference point, although particulars are lacking here too. While with both examples readers may visualise the comparisons due to details given in other parts of the text (e.g. the sisters' attire and looks are described, with

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[89] The hits in *Google* are uncertain in this case. A query retrieves 41,000 hits, most of which seem to come from different sources. When checking the results, *Google* eventually reduces the number to 47, indicating that other hits are similar or duplicates.

references to nuns, earlier in the novella), these similes demonstrate only the most basic degree of creativity. While the other similes in Table 4.6 make the basis for the comparison explicit by providing at least some details, descriptions can be minimal – in the case of "Blätter so dick wie Hände" no more than a single word is given. The creativity in these simple, novel similes varies, with some seeming merely descriptive (e.g. "ein Hauch wie von faulenden Wasser"), while others are distinctly more memorable (e.g. "hüpften die Wellen empor als springende Ziegen" and "seine Achselhöhlen waren noch glatt wie bei einer Statue" both present basic but very vivid images, with the former also playing on the idiomatic expression 'gehupft wie gesprungen'.).

4.3.1.2   Complex creative similes

Mann's similes become noticeably more imaginative when the combination of the comparatum and comparandum is not only novel, but the comparison basis is made explicit at least in greater detail – beyond a word or two as in above examples. While neither an implicit nor a brief tertium comparationis signify that there is no creativity present, details can clarify the attributes to be transferred from the comparatum to the comparandum and can, consequently, make a simile richer, particularly if the link between the subject and the object of comparison would otherwise not have been obvious. For example, Mann pairs the Greek god of love with mathematicians, writing "Amor fürwahr tat es den Mathematikern gleich" (see Table 4.7 for the full simile as well as other examples). In this simile, there is no obvious link between Amor and mathematicians, until the comparison basis is revealed with "die unfähigen Kindern greifbare Bilder der reinen Formen zeigen" and then elucidated further: "So auch bediente der Gott sich, um uns das Geistige sichtbar zu machen, gern der Gestalt und Farbe menschlicher Jugend, die er zum Werkzeug der Erinnerung mit allem Abglanz der Schönheit schmückte und bei deren Anblick wir dann wohl in Schmerz und Hoffnung entbrannten." Not only are the god of love and mathematicians an unexpected pairing, but the details in the tertium comparationis are not something that readers can arrive at on their own. The 'Amor/mathematicians' combination thus makes for an enhancing comparison as

Mann effectively highlights how the visual appearance of Tadzio is what makes Aschenbach fully grasp his beauty.

Mann's more creative similes also involve relating the intangible and/or abstract with something that is concrete and physical, such as when a fleeting gesture is materialised as a present that can be carried away in example (2) or when Aschenbach's awareness of his complicity and guilt ("Bewußtsein seiner Mitwisserschaft, seiner Mitschuld") is compared to the bodily effect that the drinking of wine has in example (3). Several of the similes become more creative by involving other literary techniques and/or figurative elements such as in (4) where personification is used to describe the protagonist's eye as drinking and his ear as being wooed – attributes that are normally particular to living beings. The substance consumed ("Üppigkeit") too is not a liquid but an abstract concept, while the wooing is being done by sound rather than a human.

Table 4.7 Examples of complex creative similes

(1) "Amor fürwahr tat es den Mathematikern gleich, die unfähigen Kinder greifbare Bilder der reinen Formen vorzeigen: So auch bediente der Gott sich, um uns das Geistige sichtbar zu machen, gern der Gestalt und Farbe menschlicher Jugend, die er zum Werkzeug der Erinnerung mit allem Abglanz der Schönheit schmückte und bei deren Anblick wir dann wohl in Schmerz und Hoffnung entbrannten." (Ch. 4)
(2) "Der, welcher dies Lächeln empfangen, enteilte damit wie mit einem verhängnisvollen Geschenk" (Ch. 4)
(3) "Das Bewußtsein seiner Mitwisserschaft, seiner Mitschuld berauschte ihn, wie geringe Mengen Weines ein müdes Hirn berauschen" (Ch. 5)
(4) "Dem Abenteuernden war es, als tränke sein Auge dergleichen Üppigkeit, als würde sein Ohr von solchen Melodien umworben" (Ch. 5)

4.3.1.3   Similes with abstract elements

As already mentioned several of Mann's creative similes feature abstract elements, i.e. either the comparatum or the comparandum are not something that can be concretely imagined. Additionally, in a number of cases both comparatum and comparandum are abstract, something that, as similes go, is rather unusual. The

comparison bases in all these instances are completely novel and result in pairings that are unexpected, making for some rather unique creative similes in *Der Tod in Venedig*. A few examples are given in Table 4.8:

Table 4.8 Some examples of similes with abstract comparatum and comparandum

(1) "Reiselust, nichts weiter; aber wahrhaft als Anfall auftretend und ins Leidenschaftliche, ja bis zur Sinnestäuschung gesteigert" (Ch. 1)

(2) "das Reisen nicht anders, denn als eine hygienische Maßregel" (Ch. 1)

(3) "Wie wäre die berühmte Erzählung vom »Elenden« wohl anders zu deuten, denn als Ausbruch des Ekels gegen den unanständigen Psychologismus der Zeit, verkörpert in der Figur jenes weichen und albernen Halbschurken, der sich ein Schicksal erschleicht, indem er sein Weib, aus Ohnmacht, aus Lasterhaftigkeit, aus ethischer Velleität, in die Arme eines Unbärtigen treibt und aus Tiefe Nichtswürdigkeiten begehen zu dürfen glaubt?" (Ch. 2)

(4) "schon riefen Frauenstimmen nach ihm von den Hütten, stießen wiederum diesen Namen aus der den Strand beinahe wie eine Losung beherrschte" (Ch. 3)

(5) "er war wie Dichterkunde von anfänglichen Zeiten, vom Ursprung der Form und von der Geburt der Götter" (Ch. 3)

(6) "ihm war, als ob sein Gewissen wie nach einer Ausschweifung Klage führe" (Ch. 4)

With these kinds of similes, identifying attributes to transfer from the comparandum to the comparatum can be challenging and arguably differs from other, more concrete and easily imaginable similes. Assistance is provided only occasionally: example (1) is in fact followed up by the sentence in Appendix (B), which visualises the "Sinnestäuschung" in detail. With (3), the convolutedly abstract comparandum ("Ausbruch des Ekels gegen den unanständigen Psychologismus der Zeit" is elucidated through the "Halbschurke", who is described in at least somewhat more concrete terms through a relative clause ("der sich ein Schicksal erschleicht...").

4.3.1.4   Allusive similes

Several of Mann's similes become more creative through allusion – i.e. the "passing reference, without explicit identification, to a literary or historical person place, or

event, or to another literary work or passage" (Abrams 10). Allusions generally feature prominently in the text, linking to German literature, historical personalities of Mann's time (such as the composer Gustav Mahler) and, in particular, Greek mythology, as is the case with all allusive similes. The previously noted 'Amor/Mathematiker' simile (in section 4.3.1.2) is one such classical allusion, with the full list of examples as given in Table 4.9 and the allusive element indicated through underlining:

Table 4.9 Allusive similes in *Der Tod in Venedig*

(1) "Man hatte sich gehütet die Schere an sein schönes Haar zu legen; <u>wie beim Dornauszieher</u> lockte es sich in die Stirn, über die Ohren und tiefer noch in den Nacken." (Ch. 3)

(2) "die lebendige Gestalt, vormännlich hold und herb, mit triefenden Locken und schön wie <u>ein zarter Gott, herkommend aus den Tiefen von Himmel und Meer</u>, dem Elemente entstieg und entrann" (Ch. 3)

(3) "Amor fürwahr tat es <u>den Mathematikern gleich</u>, die unfähigen Kinder greifbare Bilder der reinen Formen vorzeigen: So auch bediente der Gott sich, um uns das Geistige sichtbar zu machen, gern der Gestalt und Farbe menschlicher Jugend, die er zum Werkzeug der Erinnerung mit allem Abglanz der Schönheit schmückte" (Ch. 4)

(4) "beim Schreiben den Wuchs des Knaben zum Muster zu nehmen, seinen Stil den Linien dieses Körpers folgen zu lassen, der ihm göttlich schien, und seine Schönheit ins Geistige zu tragen, <u>wie der Adler einst den troischen Hirten zum Äther trug</u>" (Ch. 4)

(5) "kindliche Wolken, verklärt, durchleuchtet, schwebten gleich dienenden <u>Amoretten</u> im rosigen, bläulichen Duft" (Ch. 4)

(6) "Weiße Federwölkchen standen in verbreiteten Scharen am Himmel gleich weidenden <u>Herden der Götter</u>"(Ch. 4)

The comparison of Tadzio's hair to that of the "Dornauszieher" in the first simile references a statue. The annotated Frankfurter Ausgabe of *Der Tod in Venedig* describes it as "ein eklektisches Werk der römischen Kaiserzeit nach griechischen Vorbildern aus dem 3. und 5. Jh. n. Chr." (426). The sculptures show a seated boy, usually with thick locks of hair, pulling a thorn from his foot. The Dornauszieher, also known as *Spinario* or *Boy with Thorn* in English, is seen by some as Lokros, the son of Zeus and Maera, who injures his foot. The fourth example, which is used to

illustrate Aschenbach's desire to write in the presence of Tadzio, links to the Greek myth of the abduction of the Troian boy Ganymede by the god Zeus. Ganymede is said to be "the loveliest born of the race of mortals" and is kidnapped "for the sake of his beauty" (both Homer 410) to be the god's winepourer among the immortals. Similarly, Tadzio's beauty is what attracts Aschenbach as the boy is his muse and inspiration for artistic creation: Tadzio is "an embodiment of the goal of his art" (Koelb 104). Aschenbach's love for Tadzio is often discussed in terms of pederasty and homoeroticism,[90] with the allusion providing a reminder that the relationship between Zeus and Ganymede is also seen as a model for the custom of παιδεραστία (*paiderastía*) in ancient Greece, i.e. a socially acceptable erotic relationship between a man and a youth. In *Der Tod in Venedig*, the relationship is platonic as Aschenbach never even so much as talks to Tadzio, the erotic love thus transforming into "the spiritual love of the divine principle that the person represents" (Koelb 104). The reference to "Amoretten" in example (5) relates to the companions of the Greek god of love, which are generally depicted as small, chubby boys, usually naked and winged, in art. More indirect are the descriptions of Tadzio, in example (2), as "schön wie ein zarter Gott, herkommend aus den Tiefen von Himmel und Meer", which draws parallels to the birth of Venus, the goddess of love, fertility and beauty, and, in example (6), of the clouds that are compared to "weidenden Herden der Götter", linking to the flocks of the sun god Helios. For readers familiar with Greek mythology, these similes become richer and more creative as their visualisations are not limited to the explicit tertium comparationis but may be further informed by details from the original myths.

4.3.1.5   General observations on all ST similes

The number of similes used by Mann throughout *Der Tod in Venedig* is relatively small, making them no more than an occasional rhetorical feature in the novella. Virtually no similes are linguistically formulaic, with only "weiß wie Elfenbein" constituting a clichéd, prefabricated expression and a few others relying on familiar

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[90] See, for example, Shookman pp. 98–100 (*Pederasty and Homoeroticism*).

ideas. Although nearly all of Mann's similes are thus novel, they do vary greatly in the extent of their creativity: some are more strikingly imaginative than others. Mann often forms simple similes, consisting of a single-word comparatum and single-word comparandum with no or only a concise tertium comparationis being provided. An increase in creativity is seen when not only the relationship between comparatum and comparandum is new, but the tertium comparationis is expanded. Mann also employs similes featuring abstract elements and allusions on a number of occasions. Finally, it also should be noted that similes often do not follow the basic structural simile form of *x is like y* that is generally given in the literature, but come in great many forms, frequently substituting the lemma 'be' with another verb or omitting it through ellipsis. Thus, while "so sind wir [Dichter] wie Weiber" and "Der Englische Garten ... war dumpfig wie im August" adhere to the basic form, most examples in *Der Tod in Venedig* do not. However, this variation is not particularly surprising but rather highlights another gap in the literature on similes in terms of the limited type of examples typically provided.

4.3.2 Similes in translation

4.3.2.1 Simile preservation

Unlike with neologisms, translators generally keep similes in translation. Of the forty similes present in all TTs, similes have been kept in 353 of 440 possible instances or 80.23% of the time and the two HD only similes have also been preserved in the Doege translation.[91] The preservation rates for individual TTs are given in Table 4.10.

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[91] The potential double simile was counted as two separate similes although it is possible that some translators may have interpreted "milchweiß" as an adjective only.

Table 4.10 Preservation of similes in the TTs

Translation	Simile Preservation	Simile Preservation (Percentage, rounded to two decimal places)
Burke 1 (1924)	32 of 40 or 33 of 40[92]	80 or 82.50
Lowe-Porter (1928)	30 of 40	75
Burke 2 (1970)	32 of 40 or 33 of 40	80 or 82.50
Luke (1988)	32 of 40	80
Koelb (1994)	35 of 40	87.50
Appelbaum (1995)	36 of 40	90
Neugroschel (1998)	33 of 40	82.50
Chase (1999)	29 of 40	72.50
Heim (2004)	31 of 40	77.50
Doege (2007)	31 of 40 or 33 of 42[93]	77.50 or 78.57
Hansen & Hansen (2012)	32 of 40	80
Totals	353 of 440	80.23

Although all translations remove at least some similes, the preservation rates for the device are generally high, averaging 80.23%. Appelbaum has the highest percentage of preservation at 90% (four similes are removed), while Chase has the lowest (72.50%, with eleven similes removed), with a not negligible gap of 17.5% between them. The preservation rates of similes on a case-by-case basis were also often high. In twenty-one instances every TT renders the simile, in five ten of the translators keep it and in two nine of them do. Table 4.11 has the full count, with the double simile and the HD-exclusive similes not included, revealing that in more than two-

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[92] Burke 1 and Burke 2 both translate with a potential double simile, with 32 of 40 indicating a single count and 33 of 40 a simile plus a simile by ellipsis.

[93] The first set of numbers refers to similes applicable for all TTs, the second includes the two similes exclusive to the HD and thus applicable only for Doege. Totals (353 of 440) were calculated only on the basis of similes applicable for all TTs.

thirds of the instances most translations opt to preserve the device – much in contrast to the approach generally taken with neologisms as discussed in the previous chapter.

Table 4.11 Number of TTs that preserve similes

TTs that preserve simile per instance	Number of Instances
1	1
2	3
3	0
4	1
5	1
6	4
7	2
8	0
9	2
10	5
11	21

When is it that translators uniformly or near-uniformly remove similes and how do these solutions compare to the TTs that preserve the rhetorical device? Looking at the lower preservation rates (five or less TTs keeping a specific simile), the following items are transformed by most in translation:

Table 4.12 Similes preserved in few TTs (<6)

(1) "nonnenähnlichen Schwestern" (preserved in 1 TT, by Luke)

(2) "gottgleiches Antlitz" (2 TTs, Luke and Doege)

(3) "bläuliches Geäder ließ seinen Körper wie aus klarerem Stoffe gebildet erscheinen" (2 TTs, Appelbaum and Neugroschel)

(4) "Blumen, die milchweiß und groß wie Schüsseln waren" (2 TTs, Koelb and Appelbaum)

(5) "lag das Meer in stumpfer Ruhe, verschrumpft gleichsam, mit nüchtern nahem Horizont und so weit vom Strande zurückgetreten, daß es mehrere Reihen langer Sandbänke freiließ" (4 TTs, Lowe-Porter, Koelb, Appelbaum, Hansen & Hansen)

(6) "Reiselust, nichts weiter; aber wahrhaft als Anfall auftretend und ins Leidenschaftliche, ja bis zur Sinnestäuschung gesteigert" (5 TTs, Lowe-Porter, Luke, Neugroschel, Heim and Hansen & Hansen)

Reasons for removing the simile seem to vary. In the first two examples, the similes come in adjective form with the linguistic marker directly attached, something which most translators render with "nunlike" and "godlike" respectively. While the ST and TT items seem formally close, the TT version, however, is in both cases an established word (i.e. it has a dictionary entry). Of those versions which keep the simile, Luke's translations for (1) and (2) are close to those which do not and may be a spelling alternative more so than a true simile as he merely inserts a hyphen ("nun-like", "god-like"). Doege's "beautiful like a god", meanwhile, is more interesting as it constitutes not only a genuine simile but also eliminates "Antlitz", shifting this body-related keyword (part of a notably larger set of body-related ST keywords) to one connected to beauty (another set of common keywords).

Example (3) appears in a sentence that describes Tadzio from top to bottom – his hair, back, ribs, rump, arm pits and back of knees, down to the veins beneath the skin. The sentence is long, but not particularly complex; however, it features one other simile ("Achselhöhlen … glatt wie bei einer Statue") prior to "Geäder … wie aus klarerem Stoffe", which is preserved in all instances. While some translators may have preferred to utilise only one simile in the sentence, the removal appears random. Most TTs instead emphasise the hypothetical ("ließ … erscheinen"), which

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is also foregrounded by those that preserve the simile as Appelbaum and Neugroschel opt for "as if" as their simile marker. What is also notable, both with those that keep the simile and those that do not, is that the comparandum of the ST simile ("klarerem Stoffe") is often generalised, altered or even removed entirely. While the German *Stoff* can signify either *woven fabric* or *substance* (e.g. chemical), these two meanings are not apparent in all translations. Several (Luke, Koelb, Appelbaum, Chase) use "material", a more general word to indicate the matter from which something is made (this may include fabric). Doege's "substance" is also broad, although it at least contains the second meaning potential of *Stoff*. Burke 1, Burke 2 and Lowe-Porter opt for "stuff", an even more generic word[94], the former writing "clearer stuff" and the latter "sonic stuff more transparent than mere flesh". The addition of "flesh" as an item of reference is also seen with Neugroschel ("something more lucid than flesh"), who omits "Stoffe" as a comparison point entirely, as do the remaining translators, Heim and Hansen & Hansen, who simply describe Tadzio's body as "translucent".

In the case of (4), the low preservation rate may be explained by the ambiguous form that "Blumen, die milchweiß und groß wie Schüsseln waren" takes in the ST, as it may be interpreted as either one or two similes (see 4.3.1). While the majority of TTs – all but Lowe-Porter, Neugroschel, Chase and Doege – do preserve the obvious simile ("groß wie Schüsseln"), the elliptical one ("milchweiß ... wie Schüsseln") is generally eliminated, possibly because these translators do not consider it a simile at all. Only Koelb and Appelbaum keep the rhetorical form, while Burke (original and revised version) provides a translation that is equally ambiguous as the ST.

Example (5) uses a simile that takes an unusual form: it employs an atypical comparator ("gleichsam") and is a post-qualifying subordinate clause embedded in a

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[94] A dated British meaning for *stuff* is woolen fabric. Both Burke and Lowe-Porter were Canadian and American respectively. Burke's translation appeared in a North American journal, making this intended meaning unlikely. Lowe-Porter's was published by an American publisher but also distributed overseas, but, again, this usage seems not very probable.

sentence containing other such clauses, resulting in a somewhat more complex and therefore possibly more challenging syntactical structure. Restructuring is common. "[V]erschrumpft" is rendered with a form of either "shrivel" or "shrunken", or, in one case, "contracted" (Hansen & Hansen). Although not particularly striking, Luke employs the neologism "shrunken-looking". With translators that keep the simile, Lowe-Porter uses a not entirely fluent "as it were", Koelb, Appelbaum and Hansen & Hansen utilise "as if". In the remaining TTs, all translators employ phrasing that, rather than explicitly stating *x is y*, indicates approximation with linguistic items like "seem" (Burke 1, Burke 2), "-looking" (Luke) and "looking" (Chase), "virtually" (Neugroschel), "almost" (Heim) and "so to say" (Doege). Although the simile form is lost, these choices approach *gleichsam* in meaning.

Example (6) is a simple sentence separated into two parts with a semi-colon, splitting "nichts weiter" and "als". The translations do not have delimiting punctuation marks, but the TTs that remove the simile all use the comparison-introducing "nothing less than". Interestingly, TTs that preserve the simile are much more varied in their solutions and use a range of comparators: "as to resemble" (Lowe-Porter), "as nothing less than" (Luke), "as" (Neugroschel) and "like" (Heim, Hansen & Hansen). Translations also deal in different ways with the "als Anfall auftretend" part of the simile. A number of TTs (Burke 1, Burke 2 and Chase) subsume the noun plus present participle into a single verb ("attacked"), demonstrating grammatical rephrasing but still conveying the dual meaning implicit in *Anfall*. While at first instance *Anfall* describes a sudden bout of illness (a physical attack on the body), it can also be connected to *anfallen*, a term related to conflict (a military attack). Lowe-Porter, Luke, Appelbaum, Heim and Hansen & Hansen also manage to encapsulate the dual meanings with "seizure" (which can be connected both to illness as well as capturing someone or something by force), however, Doege does not with his choice of "fit" in "coming in the form of a fit". Koelb, meanwhile, essentially eliminates the comparandum entirely, writing "[i]t was wanderlust and nothing more, but it was an overwhelming wanderlust that rose to a passion and even a delusion". The translation uses repetition and seems to absorb "Anfall" into "overwhelming" while shifting the focus onto "Leidenschaftliche" and

"Sinnestäuschung" instead. Koelb thus not only removes the simile in form but his interpretation alters the meaning of the ST sentence.

4.3.2.2 Changes in TT similes

While the rhetorical form of similes is generally kept in translation, modifications are of course made on other levels. Changes are not radical: translators do not alter the comparata or comparanda by substituting them but adhere closely, with changes manifesting themselves in terms of specific lexical and grammatical choices, specifically through additions and omissions as well as in the syntax and grammar.

4.3.2.2.1 Additions

In general, the *Death in Venice* translations demonstrate a tendency to add, although often minimal, textual material through inserting lexical items that are not present in the ST as well as lexical items that are implicit but not actually verbalised by Mann. The former may involve singular words for emphasis or short prefabs for fluency, while the latter can include even longer phrases, with both types of additions revealing sometimes rather liberal interpretations of the source material and specific stylistic preferences on part of the different translators.

The addition of singular or shorter items to similes is particularly notable in Chase, who inserts emphatic words ("almost", "also", "always", "certainly", "literally", "precisely", "thanks to"), also to highlight contrast ("nonetheless"). In some cases the emphasis is conveyed through rendering some aspect of meaning twice, as with "unanständigen Psychologismus"/"vulgar pseudo-psychology", where "pseudo" stresses the judgement already given with "vulgar". Some of Chase's additions do not add emphasis but make, if minor, semantic changes: "Dingen" becomes "*earthly* things", "[d]as seltsame Fahrzeug" → "this extraordinary *means of* conveyance", "auf deren Plattformen man wie auf kleinen Veranden saß" → "with their *miniature* decks, where people sat as though on tiny verandas", "ein Hauch wie" → "a whiff *of something* like", "Gewissen" → "*stirrings of* conscience" and "[d]em

Abenteuernden" → "to the *ongoing* adventurer". Additions are also the result of Chase opting for idiomatic expressions, such as "ein *unsägliches* Scheinen und Blühen" becoming "a shining and blossoming *too fair for words*" and "er saß aufgerichtet" → "he sat *bolt upright*" (all my emphasis in this paragraph).

In a few instances Chase even makes several additions within a single simile, thus "unsere Sehnsucht muß Liebe bleiben" becomes "our *true* longing must *always* remain a *desire for* love" (my emphasis). While "always" may be an attempt to convey the permanence implied by "muß...bleiben" – indeed, other TTs also insert "ever" (Koelb, Heim) and "always" (Hansen & Hansen) – "true" is Chase's own interpretation, while "desire for" repeats "Sehnsucht", perhaps to highlight the element of 'longing/desire'. Other examples are "vielstimmig, im wüsten Triumph" ("a chorus of voices *adopting it as* a rowdy *chant of* triumph") and "hüpften die Wellen empor als springende Ziegen" ("the waves sprang *in the air* like *mountain* goats", both my emphasis).

Allusive similes sometimes involve explicitation in translation. The six examples listed in Table 4.9 preserve the allusion in all instances, with the simile form also remaining intact virtually always. Only the 'Amor/Mathematiker' example is not rendered in simile form by one translator (Hansen & Hansen), who makes into a comparison with "Amor did what mathematicians do" that contains no recognised simile marker. Similes that contain more obscure allusions – i.e. those that do not refer to a specific myth or do not name a particular individual such as in examples (2) and (6) – adhere closely to the ST forms and generally only show some variation in terms of word choice, e.g. "gleich weidenden Herden der Götter" becomes "like the pasturing herds of the gods", with "grazing" or "flocks" being substituted by some translators. In contrast, allusive similes that contain more concrete references see more changes. Example (1) that alludes to the *Dornauszieher* is translated fairly literally ("Boy with (a) Thorn" by Appelbaum, Neugroschel and Heim; "Boy Extracting a Thorn" by Luke) or with the original Italian name ("Spinnario", "Il Spinaro" and "the Spinario" by Lowe-Porter, Chase and Hansen & Hansen respectively). The literal renderings both add information ("boy") as well as omit

some (the "–auszieher" part is lost in some instances), while use of the Italian term is foreignising. Several TTs opt to make the reference even clearer, with Burke 2[95] writing "*the ancient statue* of the boy pulling out a thorn", Koelb "*the statue* of 'Boy Pulling a Thorn from his Foot'" and Doege "*the statue* of the Boy with Thorn" (all my emphasis). In example (3), the mythical god is already identified in the ST simile. The translators use, like Mann, "Amor" as well as "Cupid" and Eros", but some provide specifications. Chase writes "god Amor", while Luke and Neugroschel add "love-god" and "god of love" respectively in the wider sentence that the simile is part of ("*Amor* fürwahr tat es den Mathematikern gleich, die unfähigen Kinder greifbare Bilder der reinen Formen vorzeigen: So auch bediente der *Gott* sich, um uns das Geistige sichtbar zu machen", my emphasis). Some explicitation is also seen in the fourth example ("wie der Adler einst den troischen Hirten zum Äther trug"): most TTs (Burke 1, Lowe-Porter, Burke 2, Koelb, Appelbaum, Neugroschel, Heim and Hansen & Hansen) simply use "eagle" for "Adler" and "Trojan shepherd" for "troischen Hirten", but Chase reveals that the eagle is "mythical" and Doege provides names for both with "the eagle-like Zeaus [sic]" and "the herder Ganymede".[96] Example (5) is somewhat less concrete – it names "Amoretten" but does not reference a specific myth, with translators taking the same approach but varying in their word choice: "cupids"/"Cupids" (Burke 1, Burke 2, Koelb, Neugroschel), "amoretti" (Lowe-Porter, Luke, Chase, Heim, Doege, Hansen & Hansen) and "amorets" (Appelbaum) are all utilised. Overall, it is clear the simile form and the allusion are nearly always preserved by translators, however, the numbers of allusive similes are too small to draw any conclusions with respect to other, translator-specific tendencies within this subcategory.

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[95] Burke 1 translates "Prince Charming", which appears to be a mistranslation on the basis of not recognising the allusion. This error is corrected in the revised version.

[96] Burke 1 again appears to produce a mistranslation for "troischen Hirten" with "the Trojan *stag*" (my emphasis).

4.3.2.2.2 Omissions

The English *Venices* do not just add linguistic material to similes, they also remove it, something that is particularly prevalent in the translations of Doege. His omissions – indicated through italicisation in the examples that follow – include singular linguistic items that qualify nouns or short phrases that provide some further, if generally minor, detail within sentences. "*[S]pringende* Ziegen" thus become simply "goats"; "vor der *gedehnten* Zeile der Campannen" is rendered as "in the front row of beach huts" and "mehrere *Reihen* langer Sandbänke" are "several large sandbanks". Doege's *Venice* also deletes short phrases, with "wie sonst *unter allen Dingen* nur Särge es sind" being reduced to "like normally only coffins are" and "aufgerichtet wie *zum Versuche* der Abwehr oder Flucht" to "erect as if to fight or flee". In other instances linguistic material that is repeated exactly or partially – the latter including items that are (near-) synonyms or that fall into the same semantic set – is removed. "*Bestürzt," dachte er*, "bestürzt wie ein Hahn" is thus shortened to a single "aghast like a cock", additionally also eliminating the indication that the specific simile is a thought of Aschenbach's as "dachte er" is left untranslated. With "*Glut und Brunst und* lodernde Flammen", all semantically linked items, only "fervent flames" remains in translation and the alliterative noun pair in "[d]as Bewußtsein *seiner Mitwisserschaft, seiner Mitschuld*" is subsumed into a single word in "[t]he knowledge of his complicity". The 'Ziegen' example also falls into the latter category, as the omitted "springende" is synonymous with "hüpften" in the full simile ("hüpften die Wellen empor als *springende* Ziegen"), with Doege lessening the emphasis present in the ST by translating "the waves jumped up like goats" as well as losing the 'gehupft wie gesprungen' wordplay – although the latter is for most other TTs as well. Finally, "den Ruf aus weichen *Mitlauten* und gezogenem u-Ruf am Ende, süß und wild zugleich, *wie kein jemals erhörter:* hier klang er auf, *in die Lüfte geröhrt,* wie von Hirschen" sees whole chunks of language removed in two parts of the simile, which Doege translates as "that soft cry with the stretched "oo" sound at the end, both sweet and wild: here it resounded like deer cries".

The rationale behind Doege's choices is not apparent. With omission in similes concerning often rather simple items and also being much less frequent in all other TTs, they are not likely to stem from difficulties in rendering specific ST words or phrases, especially if one takes into account the fact that Doege's version is the second most recent one in an extended set of retranslations. Many of the other *Venices* are in print or available second-hand, thus providing the translators with the option to consult preceding versions for comparison. It seems then that Doege's omissions are based on his own interpretation of the ST as well as his particular translational preferences, whether stylistic or otherwise.

4.3.2.2.3   Countertranslations

In some instances translators preserve similes but make modifications that do not only alter a significant element in the ST but make them stand out in comparison to the other TTs as a countertranslation, particularly when other versions are nearly the same. These changes include unique word choices, word category changes and word or phrase order within the syntactical structure. Examples of similes with distinctive countertranslations are listed in Appendix (F), with numbers in this section referring to the labelling there. In example (1) all TTs are near-identical as variations are slight, with translators only alternating between using a pronoun ("his") or a definite article ("the") for "armpits", and "as a statue"/"as those of a statue". However, Chase opts for "*ran* smooth" and Doege for "were *bare*" (my emphasis, as for all examples in this section) as opposed to the otherwise uniform "were smooth".

In example (2) there is somewhat more variation, although all minimal (e.g. "Garten"/ "Garden"/ "Gardens"; "as" versus "as...as"). Translators render "dumpfig" with a range of adjectives, including "sultry", "pungent", "muggy", "humid" and "steamy", but several TTs stand out. Lowe-Porter and Chase are the only ones to use "felt" instead of a form of the word *to be*, while Neugroschel adds "though" – both still minor distinctions. More striking is the change in phrase order both in Chase and Hansen & Hansen, as subclauses ("Though the leaves were hardly out" and "Although its delicate foliage was just starting to bud" respectively) are moved to

the beginning of sentences. The former further also adds "nonetheless", but more significantly demonstrates grammatical rephrasing through a word category change: the noun "August" is rendered with a more general, newly coined, hyphenated compound adjective ("late-summer"), followed by "sultry" for the adjective "dumpfig", a somewhat unconventional combination. What is a simile with a common grammatical structure in the ST and all the other TTs ('ADJ + *wie* + *im August*' in German; '*as* + ADJ + *as* + *in August*' in the English versions) thus takes a rather different, non-simile form in Chase's translation ('[ADJ-N] + ADJ). With example (3) Lowe-Porter makes an omission, while "zeigt", usually translated with a form of *to show*, becomes "displayed" only in Chase, who also shortens to "as if blind". Doege, meanwhile, uses singular in "white" and transforms "als sei er blind" through grammatical rephrasing with "like a blind man" – a choice much in contrast to all other translations.

There is generally more variation in example (4), but "die schlanke Form" is translated in exactly the same way ("slender form") by all except Lowe-Porter ("slender forms", using plural) and, even more strikingly, Chase ("*sleek* form") and Doege ("slender *shape*"). In the same simile the English choices for "geistiger Schönheit" are alternately "spiritual beauty" (by Lowe-Porter, Koelb, Neugroschel, Heim and Hansen & Hansen) and "intellectual beauty" (by Burke 1, Burke 2, Luke, Appelbaum and Doege), although Chase yet again differs with "*sublime* beauty".

Example (5) also has varied translations, although the Chase's rendering of "die lebendige Gestalt" within the simile is interesting, as it is turned into "this *mortal* figure", the translator selecting an adjective that indicates the contrary – death, rather than life. The choice is not a one-time occurrence, the same can be observed with another simile.

In example (6), a rooster lets his wings hang *down* out of fear in the ST and all TTs (i.e. "hängen" in the *Venedig*, translated with a form of "droop", "hang (limply)" or "trail... on the ground"), but in Chase's instead becomes "too scared to *raise* its wings". Chase's translation displays other significant modifications. The simile

sentence is restructured, with "emerge sprinting from the element" ("dem Elemente entstieg und entrann") shifting mid-sentence, while "born of the depths of air and sea" ("herkommend aus den Tiefen von Himmel und Meer") now appears in final position. The latter also sees further notable changes with Chase using a metaphorical expression ("born of" versus the more literal "came up", "emerging from", "approaching out of", "coming from", "rising from" and "ascended from" of the other TTs) and "*air* and sea" when all remaining translators alternate between "sea and sky" and "sky and sea".

Example (7) sees several instances of grammatical rephrasing. While the translations for "Geburt der Götter" vary in terms of word choice ("birth/origin/genesis of gods"), all TTs use a 'N + *of* + N' structure, except for Chase who transforms it into "the gods were born". Similarly, "vom Ursprung der Form" is generally rendered as '(PREP) + N + *of* + *form(s)*', with Luke expanding to "*tale of* the origins of forms" and Koelb and Chase making even more notable grammatical changes. In the case of Koelb, a relative clause ("that tell of the origin of forms") is used, while Chase writes "when the universe was given originally form".

The simile in example (8) varies in translation. "Gefühl von Benommenheit" demonstrates this variation in terms of word choice, although the TTs use a 'N + *of* + N' construction in all but three versions: Lowe-Porter changes to "a more *dazed* sense" and Hansen & Hansen to "*lightheaded* feeling" as the noun *Benommenheit* is expressed in adjective form in both these cases. Chase meanwhile alters the word category of both nouns as "Gefühl" becomes a verb and "Benommenheit" an adjective with "felt dazed".

Example (9), the potential double similes (previously mentioned in 4.3.1 and 4.3.2.1), also demonstrates grammatical rephrasing on the part of Chase. As noted, the translations for the similes generally vary quite a bit in terms of whether translators preserve both, one or no simile at all. However, despite the different approaches, the TTs uniformly translate "milchweiß" and "groß" as adjectives, sometimes in pre-, sometimes in postmodifying positions. The only exception is

Chase, who changes the latter into a noun phrase with "milky-white flowers *the size of* plates".

Example (10), "Der, welcher dies Lächeln empfangen, enteilte damit wie mit einem verhängnisvollen Geschenk", is a somewhat more complex simile in its structure which is translated in a number of different ways. The verb "empfangen", which is attached to the comparandum of the simile ("Lächeln"), is rendered in verb form by the majority of TTs, including the first four (Burke 1, Lowe-Porter, Burke 2 and Luke) as well as Appelbaum and Neugroschel. Several TTs, starting with Koelb, however, change the word category. Koelb, Heim, Hansen & Hansen and Doege all use a noun ("recipient" in the case of the first three, "addressee" in the case of Doege), with Koelb inserting the noun into a relative clause ("he who had been the recipient of this smile"), while Heim, Doege and Hansen & Hansen place it, as the subject, in sentence-initial position. Chase also changes the grammatical category of "empfangen", but takes a different approach by transforming the verb into an adjective that complements an added noun phrase, writing "The man on the *receiving end* of this smile".

While there is plenty of variation in the translation of similes, Chase repeatedly, as well as more consistently than other translators, provides countertranslations that do not only alter some element of the ST but that stand in contrast to the other TTs, often through grammatical rephrasing such as word category changes.

4.3.3   Added TT similes

Something that soon became apparent from the aligned TT simile examples was that the lists of simile markers – both for German and English – were too limited. Several of the added similes were in fact translations of similes already present in the ST but featuring more atypical markers that had been missed by the original *Concord* query due to incomplete query language or had initially not been considered at all. These included 'glich' (past tense form 'gleichen'), 'gleichsam' and 'ähnlich' (both as adjective of its own as well as attached to another lexical item as part of compound adjective). Similarly, due to the uniqueness of a few TT

markers, some of the true added similes only became apparent once comparing different translations. One such example was 'tantamount to', used by Heim when rendering Mann's metaphorical phrase "einen Palast durch eine Hintertür betreten heiße", which was not originally included in the *Concord* query but discovered thanks to the added 'like' simile in all other TTs. 'Tantamount to' is an unusual simile marker and, perhaps not surprisingly, not mentioned in any of the literature consulted. While it is neither feasible nor sensible for simile definitions to include all possible simile markers, the data retrieved even from a corpus as small as TIVC suggests that linguistic markers are more varied than what the literature currently indicates and that acknowledging this diversity may well be worthwhile, even if the majority of similes will rely on a limited number of markers.

Table 4.13 Number of translators per added TT simile instance

Number of translators adding a simile for the same ST phrase	Number of instances
1	38
2	15
3	6
4	4
6	3
7	3
8	1
10	3
11	2
Total number of added similes	201

The analysis revealed seventy-six instances of added TT similes (the full list is given in Appendix (G)), with either one or more translator inserting a simile when none was used in the ST, amounting to a total of 201 new similes across all texts. As shown in Table 4.13, many of these new similes were singular occurrences, i.e. added by only one or two translators, while uniform or near-uniform additions of

similes were significantly less common (there were three instances of an added TT simile by ten translators and each two for eleven translators).

These numbers suggest that added TT similes are likely choices made – for whatever reason – by a specific translator rather than being motivated by a common factor in the ST. The numbers for individual translators, seen in Table 4.14, are also interesting.

Table 4.14 Number of added TT similes per translator

Translator	Number of added TT similes
Burke 1	17
Lowe-Porter	27
Burke 2	17
Luke	20
Koelb	18
Appelbaum	31
Neugroschel	12
Chase	14
Heim	13
Doege	19
Hansen & Hansen	13

All texts feature similes not originally present in the ST. Additions range from twelve to thirty-one new similes, with Appelbaum – whose translation also omits the least number of similes – standing out at the top end of the range with thirty-one. He is followed closely by Lowe-Porter with twenty-seven, who, in contrast to Appelbaum, however, also has the second-lowest ST simile preservation score. Appelbaum and Lowe-Porter are outliers compared to the other translations, which can be divided into two groups. Neugroschel, Heim, Hansen & Hansen and Chase form one group, with twelve to fourteen added similes; Burke 1, Burke 2, Koelb, Doege and Luke form the other, with seventeen to twenty additions.

The data provides a first glimpse of simile usage in the ST and translations, but the more significant questions of when and what kinds of similes were added had to be answered by looking at the texts themselves.

4.3.3.1   Translating adjectives with '-artig', '-haft' and '-mäßig' suffixes

Similes were often used to translate adjectives with '-artig', '-haft' or (much less frequently) '-mäßig' as a suffix. These included the translations for "hellebardenartig" ("halberdlike"; "like a halberd/spear"), 'höhlenartig' ("cave-like"), 'korridorartig' ("corridorlike"; "corridor-like"), 'leiterartig' ("ladderlike"; "ladder-like"; "runglike"), "palastartig" ("like a palace/palazzo"; "resembled a palazzo"), "pechartig" ("thick as glue/pitch"; "thick like pitch"; "viscous like pitch"; "pitch-like") and 'turbanartig' ("turbanlike"; "turban-like"; "like a turban"), 'traumartig' ("as any dream"; "like a dream"; "dream-like") "krampfhaft" ("as with a spasm" ; "like a spasm"; "as in a fit"), "marmorhaft" ("marble-like"; "as marble"), "märchenhaft" ("as a fairytale"; "fairy-tale-like"; "fairy tale-like"), "nonnenhaft" ("like a nun"; "as a nun"; "nun-like") and "schattenhaft" ("shadelike"; "shade-like") as well as 'bildmäßig' ("as/like a picture"; "as a work of art"). The suffixes in these lexical items indicate comparability: the *Duden* definition for '-artig' reads "drückt in Bildungen mit Substantiven – selten mit Adjektiven – aus, dass die beschriebene Person oder Sache *vergleichbar* mit etwas, so beschaffen *wie* etwas ist" ("Duden", my emphasis), with the definitions for '-haft' and '-mäßig' being virtually identical. None of these source language suffixes is currently considered a simile marker in the literature, yet the choice to use a simile in their translation is not entirely surprising, indeed, it makes for a straightforward solution.

Some clarification is needed at this point regarding items here that have been considered as similes and those which have not. Firstly, a distinction was made whether the suffix used is considered as a simile marker or not in the literature, with –'ähnlich' and '-gleich' falling in the former category and, as just noted, '-artig', '-haft', '-mäßig' in the latter. Only those with a recognised simile marker were deemed potential similes. The same rule was applied in English, e.g. for '-like'. A

second consideration was whether items with recognised simile markers had a dictionary entry, with the *Duden* (for German) and Apple's *Dictionary* (for English) being used for confirmation. Items with entries were deemed established words of their own rather than a rhetorical device employed by the writer or translator. The only exception to this rule were hyphenated items, which were regarded as established words only if specifically listed as spelling alternatives of non-hyphenated forms but counted as similes if only the non-hyphenated equivalent was included in the dictionary. As a result, 'godlike', 'childlike' and 'dreamlike' were classified as established words, but 'god-like', 'child-like'; and 'dream-like' as similes. In contrast, both 'turbanlike' as well as 'turban-like' were counted as similes, as neither has a dictionary entry. While it is possible that Mann and/or his translators may be using hyphenation as a spelling alternative, the usage is ambiguous and could signal either the independent word or the rhetorical device (simile) in its most basic form.

This classification approach somewhat differs from the Neologism chapter. Although both chapters consider hyphenated words as marked and thus with the potential to be neologisms or – given the presence of an appropriate suffix – similes, dictionary listings were treated distinctly. With neologisms, items with both a hyphenated and a non-hyphenated form were not considered neologisms but spelling alternatives of existing words regardless of whether the hyphenated form was listed in dictionaries or not. However, in the case of similes, hyphenated items were regarded as potential similes (and thus included in the simile count) both if they had or did not have a dictionary entry, taking into account the ambiguity that each hyphenated form may either be a spelling alternative or a simile.[97] The difference in the approach is due to the fact that a neologism is a rhetorical device that is creative by definition, even if the exact degree of creativity may vary, making a dictionary entry a decisive factor. Similes, on the other hand, can be creative or not. It should

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[97] It is possible to disagree with this classification, as well as with the decision to treat non-hyphenated items with a simile suffix as well as a dictionary entry only as established words and not as potential similes. While arguments exist for different classifications, a consistent approach had to be taken.

also be noted at this point that some items qualified both as neologisms or quasi-neologisms as well as similes (see also section 4.3.3.3).

4.3.3.2   Adjectives

A significant number of ST adjectives correspond to new TT similes. In addition to the adjectives with '-artig', '-haft' and '-mäßig' suffixes above, examples include (all emphasis mine): "*schauspielerischer* Verbeugung" (a bow like an actor's); 'neblicht' ("mistlike"; "fog-like"); twice 'klösterlich' ("cloisterlike"/"cloister-like"; "habitlike"; "conventlike; "as … as a cloister/monk"); "seemännisch blau gekleidet" ("clothes like a sailor's"; "dressed … like a sailor"); "Erregung eines *entlaufenen* Knaben" ("excitement, like that of a boy who ran away"); "[*w*]*eißlich seidiger* Glanz" ("a sheen, like white satin"); "sklavisches Wesen" ("acting like a slave"); "einem *fix gewordenen* … Lächeln" ("a rictus-like smile"); "schnellte *elastisch* auf" ("uncoiled like a spring to his full height"; "bounced up like rubber"), "*wunderlich* ungestalte Bäume" ("trees, misshapen as a dream"); "*mythisch* verwandelt" ("metamorphosed as in a myth"), 'süßlich-*offizinell*' ("druglike"), 'kirschengroß' ("as large/big as cherries"; "as large as a cherry"), "milchweiß" ("as white as milk") and "sargschwarz" ("black like a coffin"). It is not apparent why these words and adjectives in general are transformed into similes, other than perhaps the translator's personal preferences. The only exception, however, may be several examples that also belong in another category of TT similes: they are neologisms or quasi-neologisms.

4.3.3.3   Translating neologisms or quasi-neologisms

Similes were also regularly added in the English *Venices* when the ST involves either neologisms or quasi-neologisms [98], including translations for "Göttlich-

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[98] 'Quasi-neologisms' in this case refers to lexical items created through word formation processes that are conventional in German but not – or at least not to the same degree – in English. As a result of this difference, even words that are made up on the spot and may not have a dictionary entry, might not be perceived as creative or even noticed by German speakers, although the same process

Nichtssagende" ("as inexpressive as a god"), "herrisch Überschauendes" ("like that of a lord surveying his domain"), "Weiterkommende" ("as of someone who had come from distant parts"), "Traumbann" ("dream-like spell"; "like an inescapable spell"); "eine Art *Urweltwildnis* aus Inseln, Morasten und Schlamm führenden Wasserarmen" ("like the portrait of a primitive world of islands, morasses and silt-laden rivers", my emphasis) and "Sklavenmanieren" ("serf-like manners") as well as some of the items already given in sections 4.3.3.1 ("hellebardenartig"; 'höhlenartig'; 'korridorartig'; "pechartig"; 'traumartig' as part of the coinage 'komisch-traumartig'; "marmorhaft", "Wandererhafte") and 4.3.3.2 ('süßlich-offizinell', 'kirschengroß', "sargschwarz"). These items pose a challenge to the translator – some more so than others – with similes offering, as was already noted in the Neologism chapter, a simple solution but resulting typically in a more fluent and linguistically less creative choice.

4.3.3.4   Metaphors

Although somewhat less present than the previous items, a number of metaphorical phrases, both conventional and creative, are rendered in the form of similes, including "ruhte die Blüte des Hauptes" ("head … like a flower in bloom"; "poised like a flower"), "Gerüche ... standen, ohne sich zu zerstreuen" ("hung/hovered like exhalations/fumes/wisps of smoke"), "goldene Speere zuckten von unten zur Höhe des Himmels hinauf" ("quivering thrusts like golden lances"), "ungeheure Scheibe des öden Meeres" ("the sea … like an enormous disk"), "stolzen Sinn so gänzlich zu Boden drückt" ("weighs… low as the ground") and "durchpflügt von Grimassen und Laster" ("wrinkled as if from grimacing and vice").

would produce a marked word in English. Such items may pose similar challenges to translators as true neologisms. Quasi-neologisms also include items that have some spread – too much to be considered neologisms – but have not yet entered the dictionary (e.g. "Traumbann", "Windgeister"). Note that the quasi-neologisms were all eliminated from the final neologism list in Chapter 3, although some appeared on the earlier lists.

4.3.3.5 Specific grammatical forms

Grammatical forms that are common in German but not used in the same way or more marked in English also appear as TT similes. This pattern is obvious for the use of present participles as adjectives, either in premodifying or postmodifying positions (all my emphasis): "*leidend* seitwärts" ("as if in pain"; "as though in pain"), "eine heftig *wegwerfende*, *sich abwendende* Bewegung" ("as if to discard something and get away from it"); "*grüßendem* Handschütteln" ("wagging of his hand as if in a greeting"); "nach Mandeln *duftend*" ("smelled like almonds") and "verwunschen *anmutend*" ("as if it had been placed under a curse"). Similarly, a number of nominalisations become similes in translation: "Seufzen" ("like a kind of sighing"); "ein zart durchdringendes *Erschrecken*" ("as though from a … shock"), plus some of the neologisms and quasi-neologisms in 4.3.3.3 ("Weiterkommende"; "herrisch Überschauendes"; "Göttlich-Nichtssagende"; "Wandererhafte") also fall into this category.

4.3.3.6 Other

With remaining added TT similes, commonalities in the ST are more difficult to identify as they appear to be one-off choices rather than part of a translational pattern. In these cases, the reasons behind using a simile in translation are likely varied and, indeed, may be simply the result of an author's individual, possibly stylistic, preference. Examples include singular instances of mistranslations ("Krähenfüße", a rather specific word with no direct English translation signifying scrawly handwriting that is difficult to read, is rendered very literally as "great letters like crane's feet" by Koelb likely due to misinterpretation) and semi-fixed expressions, e.g. "am Boden gefesselt stehen" and "am Narrenseile geleitet von der Passion". The former becomes "as if rooted"/"as if rooted to the spot" in two TTs, taking a highly conventionalised simile form[99], while the latter, an old-fashioned

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[99] Indeed, the English expressions are so idiomatic that it could be argued that they do no longer function as similes at all.

expression meaning 'to make a fool of someone' is much more creatively turned into "like a puppet on passion's strings" by Chase.

4.3.3.6.1 Clusters of added TT similes

There are few instances when all or nearly all translators (i.e. nine or more) add a simile. When such instances do occur, they generally involve a suffix indicating comparability. Thus, all translators render 'leiterartig' with a simile and ten out of eleven use one for 'turbanartig', "hellebardenartig" and "pechartig". Only one instance of eleven added TT similes – the translation for "bedachte er, daß zu Land auf den Bahnhof zu Venedig anlangen, einen Palast durch die Hintertür betreten heiße" – does not fall into this category. If we consider the next highest numbers of added TT similes for the same ST part, again two words with a comparability suffix are included ('korridorartig'; "palastartig") as well as one quasi-neologism ('kirschengroß') and one neologism ("traumglücklich"), all of which involve seven added TT similes (except for "traumglücklich", which involves eight).

4.3.3.6.2 Original ST similes versus added TT similes

What is notable about the similes that have been added in translation independent of the source text is that, in contrast to similes originally used by Mann, they generally demonstrate limited creativity. Added TT similes mostly come in a basic form both in terms of extent and complexity, with the tertium comparationis being left implicit in many instances. This particularly applies to simile translations of adjectives (those ending in '-artig', '-haft' and '-mäßig' as well as others), which typically retain their adjective form but are transformed into similes with either a hyphenated or a non-hyphenated '-like' attached. Neologisms and quasi-neologisms that become similes take a TT form that is more fluent and, ultimately, linguistically less creative.

That added TT similes lack innovativeness is not especially surprising. Unlike the creator of a source text that normally has the freedom to do whatever s/he wishes with the text s/he is writing, translators are creating a text which must have close

relationships with another text (i.e. the source text), at least if they wish for their work to be considered a translation. While changes, including significant ones, do happen in the act of translation, the TT similes that are added in the English *Venices* do not serve to enrich the text through creativity but rather seem to be a rhetorical device that is at times employed to render specific types of lexical items (in particular adjectives with certain suffixes) or to deal with lexico-grammatical differences between German and English. In some instances added similes are used in a manner that replaces creative or partially creative ST forms, normalising neologisms and quasi-neologisms. In the case of Appelbaum and also Lowe-Porter, the noticeably higher usage of added TT similes may also demonstrate a stylistic preference on their part. Exceptions to the lack of creativity in added TT similes are few. They include Chase's "like a puppet on passion's strings", which revives what is an old-fashioned idiomatic expression in the ST, and Luke's "uncoiled like a spring to his full height" for "schnellte elastisch auf".

4.4 Concluding remarks on similes

The number of similes present in the ST is, at forty (BA) or forty-two items (HD), even smaller than that of neologisms, making them a rhetorical device that is used occasionally alongside others. Mann's similes are virtually always novel, but vary greatly in their creativity. Some are simple and concise, exhibiting only basic creativity, while others are more complex and extend their comparison basis (i.e. the tertium comparationis), thus being significantly richer and more innovative. Only one of the items retrieved was eliminated on the basis that it fully relied on a prefabricated expression. Several ST similes are characterised by the use of allusions (usually to Greek mythology) or contain abstract elements for both the comparatum and comparandum.

In contrast to neologisms, similes are usually kept in the English translations of *Der Tod in Venedig*. The range of preservation between the different TTs is larger than for neologisms, varying from 72.5% to 90% and averaging 80.23%. When similes are removed, they are generally eliminated by one or two translators only rather than

by most. The creativity of similes, however, is not determined by the preservation of the rhetorical device alone as they are not inherently innovative and, as multi-item units, other factors (including the novelty of the comparison basis, the explicitness of the tertium comparationis and the presence of prefabricated language) thus had to be considered.

On the whole, similes maintain linguistic novelty also in translation, significantly more so than neologisms. As the translators adhere closely to the ST forms, the novel combinations of the comparatum and comparandum generally remain intact. Nevertheless, some changes are seen, such as minor additions of lexical material (including some prefabricated language), particularly in Chase's version, and explicitation in several allusive similes, which lessen the creativity at times. In Doege's *Venice* the removal of linguistic material – usually no more than a word or two – is recurrent. Also notable is the countertranslation seen in Chase, time and again through grammatical rephrasing.

Similes added independent of the ST were studied separately, totalling 201 items across all translations. Most of these items are used by one or two translators in each instance only, with Appelbaum demonstrating a particular preference for the device – also when considering his high preservation score for ST similes. Added TT similes lack creativity of their own: they take the most basic form, adhering to the ST in terms of meaning but conveying this meaning through a different rhetorical device. They typically are used to render ST adjectives with specific suffixes ('-artig', '-haft', '-mäßig') but also adjectives in general, as well as neologisms, quasi-neologisms and, to a lesser degree, metaphors.

Chapter 5   Metaphors in *Der Tod in Venedig*

5.1   Introduction to metaphors

As has been indicated in earlier chapters, the field of metaphor is vast and somewhat of a minefield. Metaphors can be defined at their most basic as "a word or expression that in literal usage denotes one kind of thing is applied to a distinctly different kind of thing, without asserting a comparison" (Abrams 102). They are often mentioned together with several related terms, including metonymy, synecdoche and, in particular, similes, which are treated as distinct rhetorical devices here and, with the exception of similes, are not discussed further in the chapter. Metaphors have long been of interest to scholars of various disciplines, ranging from literary studies to psychology to linguistics, all of which approach them from different and often conflicting or partially conflicting angles. However, it is not just across but also within disciplines that metaphors can make for a controversial and complicated topic, and multiple, distinct theories of metaphor exist.

5.1.1   Theories of metaphor

The most important theories of metaphor that have seen application within literary studies (although not exclusively) are the comparison view, the interaction view, the pragmatic view, the conceptual view and the categorisation view. A summary of each theory and its proponents follows.

5.1.1.1   The comparison view

The comparison view, also sometimes referred to as the similarity view, dates back to the classical rhetoric of scholars, most notably including Aristotle (384-322 BCE), Cicero (106-43 BCE) and Quintilian (~34-100 CE), who considered metaphors as realising a comparison that is not literal. The view implies that metaphors can always be transformed into an equivalent literal form without any loss in the meaning conveyed. As rhetorical devices, metaphors enhance the effectiveness and

pleasantness of language. They serve as *ornatus* (embellishment), with Aristotle declaring in Book III of his *Rhetoric* that "[t]he materials of metaphor must be beautiful to the ear, to the understanding, to the eye or some other physical sense". Although some modern-day scholars (Chiappe and Kennedy; Miller) summarise Aristotle's view of metaphors as that of an elliptical simile (i.e. a simile with the comparator missing), his writing reveals that he did not perceive them as such; rather he considered similes as a type of weakened metaphor, commenting that "[t]he simile … is a metaphor, differing from it only in the way it is put; and just because it is longer it is less attractive", explaining the reduced appeal with that "it does not say outright that 'this' is 'that' and therefore the hearer is less interested in the idea" (both Aristotle). The difference between metaphor and simile, however, is "but slight" – a trivial grammatical matter:

> When the poet says of Achilles that he
>
> "Leapt on the foe as a lion,"
>
> this is a simile; when he says of him 'the lion leapt', it is a metaphor-here, since both are courageous, he has transferred to Achilles the name of 'lion'. … They are to be employed just as metaphors are employed, since they are really the same thing except for the difference mentioned. (Aristotle)

The elliptical metaphor view may be more accurately ascribed to Cicero and Quintilian, with the former writing that metaphors are "a short form of simile, contracted into one word" (qtd. in Collins 7) and the latter stating almost the same: "a shorter form of simile" (qtd. in Collins 7–8).

The comparison view – including that of metaphors as elliptical similes – is not restricted to ancient times, but widely discussed in more recent literature as well. Chiappe and Kennedy (2000), who present a study in support of this approach, provide a brief overview of scholars who subscribe to the comparison view (including Miller 1979; Ortony, "Beyond Literal Similarity" and "The Role of

Similarity in Similes and Metaphors", both 1979; Fogelin 1988; as mentioned in Chapter 4) but also name some of those who have challenged it (Black 1979; Morgan 1979; Glucksberg and Keysar 1990 and 1993; Roberts and Kreuz 1994). A more recent critic is O'Donoghue (2009) who argues that the comparison view relies on a number of questionable assumptions, specifically that similes and metaphors are interchangeable and, indeed, equivalent; that longer formulations are somehow less appealing while direct equation (*x is y*) is intrinsically more interesting than comparison (126).

5.1.1.2 The interaction view

The interaction view was introduced in 1936 with *The Philosophy of Rhetoric* when I.A. Richards proposed that rather than involving comparison, metaphors bring together "two thoughts of different things", creating meaning not through the similarity between these thoughts, but as a "resultant of their interaction" (both qtd. in Abrams 163). Richards termed these elements *tenor* and *vehicle*, with the former being the subject to which attributes are ascribed and the latter the subject from which attributes are derived, with the *ground of a metaphor* constituting all the aspects and associations of the vehicle that are applied to the tenor. For Richards the metaphor was not a purely rhetorical or poetic device (i.e. a means for embellishing ordinary language for specific purposes), but something that permeates all language.

The interaction view was developed further by Max Black in his seminal essay "Metaphor" (1954/1955), which refined Richards's approach by expanding on the interaction between the principal subject and the subsidiary subject (Richards's tenor and vehicle respectively), deeming this dynamic "a distinctive intellectual operation … demanding simultaneous awareness of both subjects but not reducible to any comparison between the two" (Black, "Metaphor" 293) and emphasising that the similarity between the subjects is not pre-existent but that "the metaphor creates the similarity" ("Metaphor" 285). Black also directly challenges the substitution view of

metaphor, which holds that the metaphorical element can always be expressed literally.

While Richards introduced some key terms into the field of metaphor studies – *tenor* and *vehicle* continue to be used widely, including by proponents of other views – Black's paper was seminal to bringing metaphors to the attention of philosophers who had previously largely neglected the device, perceiving it as something incompatible with rational discourse. Strings of publications followed from the 1960s onwards, leading to new views on metaphor, some with significant influence both in the field of philosophy as well as in literary studies.

5.1.1.3   The conceptual view

Probably the most influential theory on metaphor in the past few decades is the conceptual view (also known as the cognitive or cognitive linguistics view), which emerged in the late 1970s/early 1980s, with Lakoff and Johnson's seminal *Metaphors We Live By* (1980) arguing that metaphors are not merely linguistic but in fact conceptual and that our conceptual system is fundamentally metaphorical. In other words, metaphors do not just inform language but thought and action, as Lakoff and Johnson explain:

> The concepts that govern our thought are not just matters of the intellect. They also govern our every day function, down to the most mundane details. Our concepts structure what we perceive, how we get around in the world, and how we relate to other people. Our conceptual system thus plays a central role in defining everyday realities. (3)

They illustrate with an example of the concept ARGUMENT and the conceptual metaphor ARGUMENT IS WAR, which is realised in everyday language in many expressions, including:

> Your claims are *indefensible*.

He *attacked* every weak point in my argument.
His criticisms were *right on target*.
I *demolished* his argument
I've never *won* an argument with him.
You disagree? Okay, *shoot!*
If you use that *strategy,* he'll *wipe you out*.
He *shot* down all of my arguments. (4)[100]

Lakoff and Johnson provide many more examples in their book, with Lakoff and other scholars later also compiling a *Master Metaphor List* – a non-definitive, unfinished catalogue of concepts and their associated metaphorical linguistic expressions in English.[101] They propose that metaphors involve two conceptual domains (CONCEPTUAL DOMAIN A and CONCEPTUAL DOMAIN B), with one domain being understood in terms of the other. Lakoff and Johnson refer to the two domains as the SOURCE DOMAIN (from which we draw the metaphorical expression) and the TARGET DOMAIN (which we are trying to understand). These domains relate to each other through a systematic set of correspondences known as MAPPING, which is uni-directional (from source to target).

The conceptual view challenged a number of long-held ideas about metaphor. Most significantly, it does not consider metaphors as a reserve for special – i.e. rhetorical and poetic – language with an ornamental function only but an essential, indeed, pervasive part of ordinary, normal language, in turn rejecting the idea that everyday language is largely literal. The view remains one of the most important theories of metaphor, but is not without criticism, with scholars questioning, among other things, the methodology, the direction of analysis (top-down, from conceptual metaphor to linguistic expression, versus bottom-up, from linguistic expression to conceptual metaphor), schematicity, embodiment and the relationship between metaphor and

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[100] For a more extensive explanation of the ARGUMENT IS WAR conceptual metaphor see Lakoff and Johnson (pp. 4–6).

[101] The *Master Metaphor List* was first drafted by Lakoff, Espenson and Goldberg in 1989 and revised by Lakoff, Espenson and Schwartz in 1991. See Bibliography for details.

culture – Kövecses (2008) provides a helpful overview and discussion of some of the most common concerns.

5.1.1.4   The categorisation view

The categorisation view (also class-inclusion or, less commonly, the property attribution theory) was developed by critics of the comparison view, Glucksberg and Keysar, in the early 1990s. In their view metaphors do not involve a direct comparison, they are not implicit similes and cannot be understood by the reversal of a metaphorical expression into a literal form. Using "my job is a jail" as an example, Glucksberg and Keysar explain that metaphors are "class-inclusion assertions, in which the topic of a metaphor (e.g. 'my job') is assigned to a diagnostic category (e.g. entities that confine one against one's will, are unpleasant, are difficult to escape from)" and that "[i]n such assertions, the metaphor vehicle (e.g. 'jail') refers to that category and at the same time is a prototypical exemplar" (both Glucksberg and Keysar 3). Rather than metaphors being comparisons, it is comparisons, both literal and figurative, – with similes included among them – that are implicit categorisations (7). This view somewhat shifts later, with Glucksberg writing in a paper from 2000 that, depending on the level of familiarity, metaphors may be interpreted either through comparison or categorisation. Novel metaphors are "invariably understood as comparisons" (Gibbs 75) and conventionalised ones through categorisation. Bowdle and Gentner (2005) also argue for a shift in the mode of processing from comparison to categorisation when metaphors are conventionalised, as part of what they term *career of metaphor*: language users interpret conventional metaphors by retrieving meanings already available to them through familiarity with the metaphor, while with novel ones, once literal interpretation proves insufficient, involve comparison. Again, similes, although

differing in grammatical form,[102] are essentially considered as part of metaphors under this proposal, with Bowdle and Gentner (2005) arguing that novel metaphors are preferred more strongly in the simile form (*A is like B*), whereas conventionalised metaphors are equally acceptable in either the metaphor form (*A is B*) or the simile form. Other categorisation proponents do not hold this view, O'Donoghue (2009) asserting that "metaphor and similes [are] different in meaning, in effect, in the way they are processed" (129).

5.1.2 General observations on the views of metaphor

The various theories of metaphor fall, at least generally speaking, into one of two categories: those that consider metaphor as a special, decorative element distinct from the literal language that we use ordinarily in most situations and those that perceive it as something permeating all language as we use it in any moment and any situation. On the whole, the views of metaphors have demonstrated a clear shift from the ornamental to the ordinary and pervasive over the last few decades as the decorative approach, although "historically important" (Deignan, *Metaphor and Corpus Linguistics* 2), has for the most part now been abandoned. Deignan also notes that within these two categories, researchers working within parameters of the former have mostly focused on unique metaphors and shown little interest in conventional ones, although some acknowledge that such metaphors were once novel. On the other hand, researchers within the later tradition have concerned themselves principally with metaphors that are conventional and ubiquitous (Deignan, *Metaphor and Corpus Linguistics* 2–4).

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[102] Bowdle and Gentner note that there is "linguistic alternation" between metaphors and similes, thus "metaphors are grammatically identical to literal categorization statements (e.g. *A sparrow is a bird*), and similes are grammatically identical to literal comparison statements (e.g. *A sparrow is like a robin*)" (both 200).

This study does not subscribe to one particular view of metaphor as the exact manner of processing metaphors is not crucial to the subject at hand. It does, however, align itself more closely with recent approaches in that it concurs that metaphor usage is not restricted to a special kind of language (i.e. literary or poetic) or to one particular purpose (e.g. decorative) only but rather agrees that metaphors can be found anywhere and may function in different manners. It also makes use of several terms that originated with specific approaches, including Richards's *tenor, vehicle* and *ground of metaphor*. Generally, this chapter works with Abrams's definition (previously quoted on page 201) that a metaphor is present when "a word or expression that in literal usage denotes one kind of thing is applied to a distinctly different kind of thing, without asserting a comparison" (102), whereas the components of this definition – applicable both to conventional as well as creative metaphors – are understood as follows: "a word or expression" indicates that a metaphor may be composed of a single-item word or multiple items (sometimes even extending over several sentences or more, in the case of an extended metaphor) and may be realised through any part of speech (noun, adjective, verb, et cetera); the components of the metaphor are "distinctly different" in that they refer to items that have a certain semantic distance so that applying the attributes of the vehicle to the tenor is in some manner enriching to the tenor; "without asserting a comparison" means that, in contrast to similes, no identifiable linguistic marker is present that makes the word or expression instantly recognisable as a metaphor. The study draws a sharp line between metaphors and similes, considering them as two separate rhetorical devices in which the presence or absence of an explicit linguistic marker does not account for their only difference: a metaphor is not an elliptical simile and a simile is not a weakened metaphor.

Despite recognising the ubiquity and diversity of metaphoricity, the main concern in this chapter is – perhaps somewhat unusually, as corpus-based projects normally involve "typical language patterns rather than the innovative or literary" (Deignan, "Metonymy and Metaphor" 5) – the use of creative metaphors in a literary text,

namely Mann's novella *Der Tod in Venedig*. Although creative metaphors have long since been studied, they remain a worthwhile subject of investigation, including in text genres where they have been presumed to be prevalent. Utilising a methodology that normally considers the conventional in language and extending it to creative forms not only keeps with the corpus-based approaches for neologisms and similes in previous chapters, but also intends to widen the scope of metaphor research.

5.1.3   Metaphor identification

The different theories of metaphor encompass both conceptual and linguistic metaphor. The focus here, however, is exclusively on the latter. How can linguistic metaphors be dependably identified? In 2007 the Pragglejaz Group, which consisted of ten experienced metaphor researchers, proposed a procedure which they deemed "an explicit, reliable and flexible method for identifying metaphorically used words" (Pragglejaz Group 2) and intended for application in a range of fields, including cognitive linguistics, stylistics and discourse analysis.

The steps of this Metaphor Identification Procedure (MIP) are as follows:

> 1. Read the entire text–discourse to establish a general understanding of the meaning.

> 2. Determine the lexical units in the text–discourse

> 3. (a) For each lexical unit in the text, establish its meaning in context, that is, how it applies to an entity, relation, or attribute in the situation evoked by the text (contextual meaning). Take into account what comes before and after the lexical unit.

> (b) For each lexical unit, determine if it has a more basic contemporary meaning in other contexts than the one in the given context. For our purposes, basic meanings tend to be

> –More concrete [what they evoke is easier to imagine, see, hear, feel, smell, and taste];

–Related to bodily action;

–More precise (as opposed to vague);

–Historically older;

Basic meanings are not necessarily the most frequent meanings of the lexical unit.

(c) If the lexical unit has a more basic current–contemporary meaning in other contexts than the given context, decide whether the contextual meaning contrasts with the basic meaning but can be understood in comparison with it.

4. If yes, mark the lexical unit as metaphorical. (Pragglejaz Group 3)

A largely different group of researchers[103] refined and extended the procedure, now MIPVU, in 2010, for example, attending to not only indirect expressions of metaphor but also direct (similes, analogy) and implicit ones (by substitution and ellipsis) and offering guidelines for using one specific dictionary, *The Macmillan English Dictionary for Advanced Learners* (Rundell) for steps 1 to 4 of the procedure.

Both MIP and MIPVU serve for metaphor identification generally but will also recognise novel ones, something that is explored to some extent (see Steen et al. 6, 47-49 for novel compounds and novel metaphors and 87-106 for metaphor identification in fiction). As such, MIP/MIPVU are of use to this thesis, although further discussion of conventionality and creativity in metaphor is needed.

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[103] Gerard Steen is a member of both research groups.

5.2 Metaphors and creativity

5.2.1 Degrees of conventionality

With metaphors, just like with similes, creativity is not inherent as they too are rhetorical devices that may be used innovatively but more often come in conventional form. The differences between these two contrasting metaphor types have long been a topic of discussion among scholars. In *Introducing Metaphor* Knowles and Moon (2006) provide basic definitions. About conventional metaphors they write as follows:

> These are metaphorical usages which are found again and again to refer to a particular kind of thing. Cases in point are the metaphors of cells *fighting off* infection and of micro-organisms *invading*; and the metaphorical meanings of *divorced* to mean 'completely separated' and *field* to refer to a specialized subject or activity. These kinds of metaphors are institutionalized as part of the language. Much of the time we hardly notice them at all, and do not think about them as metaphorical when we encounter them: dictionaries are likely to record them as separate senses. (6)

Creative metaphors, meanwhile, are "those which a writer/speaker constructs to express a particular idea or feeling in a particular context, and which a reader/hearer needs to deconstruct or 'unpack' in order to understand what is meant" (Knowles and Moon 5).

Knowles and Moon's brief definitions provide a starting point but are not sufficient for a study that needs to identify metaphors that are creative and clearly distinguish them from those that are not. The distinction between conventional and creative, however, is not always as straightforward as Knowles and Moon's description would seem to suggest. Rather than approaching metaphoricity as something dichotomous, it is more useful to think of metaphors in terms of their *degrees of conventionality*, i.e. a continuum which extends from the highly conventional to the highly unconventional (that is to say creative) and along which metaphors can be

placed, either more towards one end or the other at a specific moment in time. The concession of a *specific moment in time* is important, as the status of a metaphor can change – a metaphor that is conventional will once have been creative.

Conventionality in metaphors can, within the cognitive view, manifest itself equally at the level of the conceptual mappings as well as in the linguistic forms that metaphors assume in language. As Kövecses explains in *Metaphor: A Practical Introduction* (33-35), different combinations of conventionality/creativity are possible. One option is that both the conceptual metaphor and its linguistic realisation are conventional. Another is that the conceptual mapping is conventional, but linguistic metaphor is creative. In the third scenario, both the conceptual mapping and the metaphor that expresses it are novel.

5.2.1.1 Conventional/conventional

The examples discussed in Lakoff and Johnson's *Metaphors We Live By* and Lakoff et. al.'s *Master Metaphor List* all fall into the first category. Metaphorical concepts like ARGUMENT IS WAR; TIME IS MONEY; LOVE IS MAGIC; HAPPY IS UP, SAD IS DOWN are well-established. The same is true for their various linguistic realisations (e.g. "Your claims are *indefensible*", "He *attacked* every weak point in my argument", "His criticisms were right *on target*" for ARGUMENT IS WAR, page 4; "You're *wasting* my time"; "How do you *spend* your time these days?" for TIME IS MONEY, pages 7-8; "That *boosted* my spirits", "I'm feeling *down*" for HAPPY IS UP, SAD IS DOWN, page 15; and "She cast her *spell* on me", "I'm *charmed* by her" for LOVE IS MAGIC, page 49; all my emphasis), which are widely and effortlessly used and have become so entrenched in language that many, if not most, would no longer even be recognised as metaphorical by native language users. Although the conventional/conventional combination is extremely common, these kinds of linguistic metaphors are not of interest for this study.

5.2.1.2 Conventional/creative

In the second situation (conventional/creative), the conceptual mapping that underlies the linguistic metaphor is conventional, but their concrete linguistic form is not – rather, it is novel. Kövecses (*Metaphor* 35) illustrates with two examples drawn from the LIFE IS A JOURNEY conceptual metaphor:

> (a) He had a *head start* in life.
> (b) Two roads diverged in a wood, and I—
> I took the one less traveled by,
> And that has made all the difference.

We can add two further examples:

> (c) Life is a highway.
> (d) He bought one pair of boots, then another. They were good boots.
> He had a four boots life. ...
> He bought twelve cars. He had a twelve cars life
> ...
> ... He drank thirty-four thousand
> six hundred and sixty six cups of coffee.
> He ate a quarter ton of spaghetti
> ... He had
> a two cane life, a one pair of crutches life a one wheelchair life

Example (a) is conventional/conventional. Examples (b) to (d) meanwhile are all conventional/creative, relying on the same, conventional conceptual metaphor (i.e. LIFE IS A JOURNEY) but taking distinct linguistic forms that are novel. Example (b) is from Robert Frost's 1920 poem "The Road Not Taken", while (c) is a line from a 1991 Tom Cochrane song which also has "Life is a highway" as its title. The fourth example is taken from Stephen Dobyns's poem "Toting it Up" (published as part of his 1990 collection *Body Traffic*). As Lakoff and Turner (1989) explain, the LIFE IS A JOURNEY conceptual metaphor involves mappings from the source domain JOURNEY to the target domain LIFE. They list the following correspondences within this mapping:

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(i) The person leading a life is a traveller
(ii) His purposes are destinations
(iii) The means for achieving purposes are routes
(iv) Difficulties in life are impediments to travel
(v) Counsellors are guides
(vi) Progress is the distance travelled
(vii) Things you gauge your progress by are landmarks
(viii) Choices in life are crossroads
(ix) Material resources and talents are provisions (3–4)

For the source domain, example (b) uses two linguistic expressions ("two roads diverged"; "I took the one [road] less travelled by"), drawing on (iii) *The means for achieving purposes are roads* and (viii) *Choices in life are crossroads* as correspondences. The expressions are, unlike in example (a), not clichéd or entrenched in the language. Example (c) also exploits correspondence (iii), while (d) is a somewhat more complex metaphor to unravel. In a paper on the LIFE IS A JOURNEY conceptual metaphor in Dobyns's poetry, Morilla Sánchez explains that "[w]hen Lakoff and Turner (1989:4) refer to life in terms of a journey, death is part of this journey" (6). Dobyns utilises the (ix) *Material resources and talents are provisions* correspondence for the mapping, constructing a novel metaphor over several lines that describes the progression of life towards death through the material items that the *he* has acquired over time, with some items ("a two cane life, a one pair of crutches life a one wheelchair life") showing the deterioration of the aging body. While the conceptual mapping that underlies the extended metaphor is clearly conventional, its linguistic realisation is not.

The conventional/creative examples all differ from the conventional/conventional one; however, (b), (c) and (d) are not equal in terms of creativity in their linguistic realisation – not all three would be considered suitable units of analysis in this study. Frost's metaphor may have started as a novel creation, but at this point – nearly a century after it was first formulated – it has been quoted extensively in everything from academic writing like Kövecses's *Metaphor: A Practical Introduction* to the film *Dead Poets Society* (1989) and is thus well known. Although it is not

entrenched in the language to the same degree as 'to have a head start' phrase from example (a) in the sense that language users would no longer even recognise it as a metaphorical construction or that it has become fixed or semi-fixed into an idiomatic expression, many individuals are still likely to be familiar with it. Example (c) is similar. Its linguistic realisation too is originally creative but has by now achieved some level of familiarity without becoming completely established in usage in the way that 'to have a head start' has. The song which the metaphor titles is Cochrane's most famous composition, hitting number one in the musician's native Canada and, in 1992, achieving a number six peak position on the US Billboard charts.[104] It has been covered numerous times, most recently by Rascal Flatts in a version for the soundtrack of the Disney/Pixar animation *Cars* in 2006 (Trust). The successes suggest dissemination and that a significant number of speakers, such as fans of Cochrane or *Cars*, may in fact be well acquainted with the "Life is a highway" metaphor. Although the metaphor has in this case again not been fully absorbed into English language usage in the manner that 'to have a head start' has, its novelty has been notably, if not completely, diminished for these speakers. Kövecses makes no distinction in terms of a novel metaphor's spread, but sees the two linguistic expressions in Frost's poem simply as unconventional items that one "couldn't find ... in a dictionary or hear ... every day from ordinary speakers for everyday purposes of communication" (*Metaphor: A Practical Introduction* 35). Examples (b) and (c), however, highlight an important factor: that creativity is also a subjective experience where factors such as geographical usage and time may mean that specific groups or even individuals will not perceive something as novel. Thus, for the author of this study example (b) is conventional, while (c), due to lack of repeated, previous exposure, is novel – something which would not apply, for example, for fans of Cochrane or perhaps any keen radio listeners in the early 1990s. Linguistic metaphors along the lines of (b) and (c) – originally creative, but now

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[104] See Tom Cochrane entry on the Billboard website: <www.billboard.com/artist/430081/tom-cochrane/chart>.

familiar although not yet fully absorbed into the language – would thus not normally be included for further analysis, unless Mann's usage were to demonstrate some sort of innovative subversion of its own – like the "Eine Frau ohne Mann ist wie ein Fisch ohne Fahrrad" example in the Simile chapter did (see Example 4.4 on page 163).

5.2.1.3 Creative/creative

The third possibility involves a creative metaphorical mapping that is realised through a linguistically creative form. Creative conceptual metaphors are not frequent. Kövecses notes that while it is "easy to find conventionalized metaphorical linguistic expressions that realize conventional conceptual metaphors, it is less easy to find unconventional conceptual metaphors for a given target domain" (*Metaphor: A Practical Introduction* 36). The target domain LOVE is used to elucidate: languages speakers have multiple source domains available to them to verbalise experiences related to LOVE, including FIRE ("*burning* with love"), PHYSICAL UNITY ("We are as *one*"), INSANITY ("I'm *madly* in love"), ECONOMIC EXCHANGE ("She *invested* a lot in that relationship"), PHYSICAL FORCES ("She *attracts* me *irresistibly*"), NATURAL FORCES ("He was *swept off his feet*"), ILLNESS ("She *has it bad*"), RAPTURE ("He was *high* on love"), WAR ("She eventually *surrendered*") and GAME ("She is *playing* hard to get"). In Anglo-American as well as Western culture more generally, these mappings all constitute conventionalised ways of conceptualising and verbalising LOVE, providing "a sufficiently comprehensive and coherent notion of the concept" (Kövecses 39). In other words, language users have little need to devise any novel conceptual metaphors as plenty of source domains are already available to them. This is not to suggest that original conceptual metaphors never appear. Although language now may be saturated with well-established metaphorical mappings, not only were these themselves once novel, but new ones will continue to evolve, if perhaps more infrequently than in the past. Lakoff and Johnson provide two examples, from the LOVE and the LIFE target domains

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respectively: LOVE IS A COLLABORATIVE WORK OF ART and LIFE IS A MIRROR. For the former, several linguistic realisations are given ("Love is work", "Love requires cooperation", "Love involves creativity"), while William P. Magee is quoted at a United Nations meeting in 1993 as saying "Life is a mirror. If you smile, it smiles back at you; if you frown, it frowns back" (all examples in section 5.2.1.3 cited from Kövecses 36).

Kövecses lists these three combinations, but there is a fourth possibility:

5.2.1.4 Creative/conventional

The combination of a creative metaphorical mapping expressed through a linguistically conventional metaphor, is theoretically conceivable but seems, in practice, impossible. A metaphor's conceptual basis and its linguistic form are closely linked. While a creative linguistic form can realise a conventional mapping, the reverse is not in fact an option, for the process of conventionalisation of a linguistic metaphor would also imply a conventionalisation of the conceptual mapping underlying the form.

5.2.2 Models of metaphoricity/conventionality

Conventionality in linguistic metaphors has been addressed by a number of scholars, including Lakoff and Turner as well as Goatly, whose metaphoricity models provide further guidance on distinguishing conventional from creative metaphors.

5.2.2.1 Lakoff and Turner: Dead Metaphor Theory

In *More Than Cool Reason: A Field Guide to Poetic Metaphor* (1989) Lakoff and Turner discuss Dead Metaphor Theory. Dead metaphors, a commonly used term within the field, are generally understood as those kind of linguistic metaphorical expressions that have become so conventional that they are no longer recognised as

metaphors but are instead deemed to be literal. Lakoff and Turner object to this view as it fails to recognise one crucial factor: that "*[t]he conventional aspects of language are the ones that are most alive*" (127, emphasis in the text cited). It is the conventional aspects of language that are "embodied in our minds, are constantly used, and affect the way we think and talk every day" (127). In terms of linguistic metaphors, Lakoff and Turner point to conventional, fixed expressions that are not created each time that they are used but part of the language we use on a daily basis. The fixedness does not signify that they are dead – a common oversight in Dead Metaphor Theory.

Lakoff and Turner classify so-called "dead metaphors" into four distinct types. The classification is based on two levels: one, the conceptual level in terms of whether the mapping of the expressions continues to exist and, two, the linguistic level in terms of whether the item is still in use in terms of its original, literal meaning. Examples are provided to illustrate each type. 'Pedigree' represents the first type of conventional metaphor. The word comes from the French 'pied de grue' ('crane's foot'), based on the similarity in the shape of the bird and a family tree diagram. Neither the original meaning of 'pedigree' as 'crane's foot', nor the conceptual mapping are in use anymore, making the item "a truly dead metaphor" (129). Additionally, no systematic conceptual mapping between the source domain (birds) to the target domain (genealogy) exists in the English language. The second type is exemplified by 'comprehend'. For this item both the original literal meaning of 'take hold' and the conceptual element underlying the metaphor (the mapping of the physical act of 'taking hold' and onto the mental act of 'comprehension') have disappeared, yet the specific mapping remains alive in other linguistic metaphors (e.g. 'grasp'). For the third type Lakoff and Turner use 'dunk' as an example, which describes the action of dipping a biscuit into a hot drink. The sense has been mapped onto a target domain in sports, as, in American English, 'dunk' refers to a basketball move, in which a player shoots a goal not from the ground but by jumping into the air and placing the ball directly into the basket from that position, usually with their

hands on the rim of the basket.[105] 'Dunk' continues to be used with both meanings ('biscuit-dipping' and 'basketball-plunging'). The example, however, is a one-shot as there are no other conventional linguistic metaphors that regularly involve a mapping from the source domain of food to the target domain of basketball. The final type is explained with 'grasp', a conventional metaphor that for Lakoff and Turner is not dead in any way: the lexical item's original meaning as well as its metaphorical sense are current and the conceptual mapping, as already indicated with the type 2 example 'comprehend', is not limited to a one-shot metaphor but more widely present in the English language.

5.2.2.2 Goatly's linguistic metaphor types

Another model comes from Goatly (1997), whose focus is on the linguistic realisations of metaphors only, not the conceptual mapping underlying them. In this model, metaphorical expressions are located on a continuum of metaphoricity extending from dead to active. Specific linguistic expressions carry both an original, non-metaphorical sense and a metaphorical sense that is historically derived from the non-metaphorical one. The relationship of each linguistic expression to the two senses, however, varies. At one end of the continuum, the non-metaphorical sense is no longer recognised and applied by language users while at the same time the metaphorical sense is not perceived as being metaphorical anymore due to literalisation. At the other end, both senses, which have no previous, established relationship, coexist in current language usage, with the metaphorical meaning being evoked through the literal one.

More specifically, Goatly distinguishes five types of linguistic metaphors on the continuum. Other than dead and active metaphors, there are also buried, sleeping and tired metaphors. Goatly provides a table with multiple examples (reproduced in

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[105] Lakoff and Turner identify 'dunk' as being from American English, but the term is used more widely now.

Table 5.1 on page 221) as well as a detailed description of the different types (Table 5.2 on page 222). A summary suffices here: Dead metaphors constitute those in which the metaphorical connection is no longer made as the original, literal sense is obsolete (as with RED HERRING) or the original vehicle has been replaced by another term (e.g. the original sense of GERM is now indicated by the word 'seed'). With *buried metaphors* (also known as *buried dead metaphors*) the original meaning is typically opaque but may in certain, rare occasions become accessible, e.g. with CLEW$_1$, which has a now very infrequently used initial meaning of 'ball of thread', "[t]he Grounds for the original metaphor might just be constructed if a schematic context could be provided, such as the story of Theseus and the Minotaur, in which Ariadne gave Theseus a ball of thread so that he could escape from the labyrinth" (Goatly 33). Without such context it is highly unlikely for speakers to realise the metaphorical meaning connection between CLEW$_1$ and CLUE$_2$. *Sleeping metaphors* meanwhile are those where language users make an association between two lexical items although none is originally present. This applies for VICE$_1$ and VICE$_2$, which have no etymological link but which have been connected in expressions such as 'in the grip of a vice' (meaning 'addicted to depravity'). Goatly refers to this phenomenon as a "metaphoric reawakening" (33). *Tired metaphors* are similar to *sleeping* ones, with the difference being that the link to the original meaning is even more apparent as language users perceive the similarities between the referents more readily. In *active metaphors* the two senses are separate. No previous, established relationship exists between them. While with all other metaphor types, both the literal and the metaphorical sense will be listed in dictionaries (in some cases, in specialised, etymological dictionaries or in general dictionaries with an indication that the sense is obsolete or archaic), with *active* ones only the literal sense will be given.

Table 5.1 Degree of conventionality in metaphorical language (reproduced from Goatly 1997)

GERM$_1$ GERM$_2$ RED HERRING$_1$ RED HERRING$_2$ PUPIL$_1$ PUPIL$_2$	a seed a microbe a spiced fish irrelevant matter, distraction a young student circular opening in the iris	Dead	
CLEW$_1$ CLUE$_2$ *INCULCATE$_1$ INCULCATE$_2$	a ball of thread piece of evidence to stamp in to indoctrinate in	Dead and Buried	
VICE$_1$ VICE$_2$ LEAF$_1$ LEAF$_2$ CRANE$_1$ CRANE$_2$	depravity a gripping tool foliage page of a book species of marsh bird machine for moving heavy weights	Sleeping	Inactive
SQUEEZE$_1$ SQUEEZE$_2$ CUT$_1$ CUT$_2$ FOX$_1$ FOX$_2$	application of pressure financial borrowing restriction an incision budget reduction dog-like mammal cunning person	Tired	
[TRACTOR ICICLES	a vehicle for pulling loads or machinery hanging rod-like ice formation	Active	

Table 5.2 Relationship between literal and metaphorical senses in Goatly's metaphor types (adapted from Goatly 1997)

Dead	Literal sense is obsolete or rarely used. Metaphorical sense is no longer recognised as such. The connection between the two is also no longer recognised by speakers.
Buried	Literal sense is obsolete or rarely used. Metaphorical sense is no longer recognised as such. The senses are formally different.
Sleeping	Literal sense is in use, the metaphorical sense is conventional. The former may be evoked by the latter at times.
Tired	Literal sense is in use, the metaphorical sense is conventional. The former is even more likely to be evoked by the latter.
Active	Literal sense is in use, the metaphorical sense is not conventional and evoked entirely by the literal one. There is no established relationship between them.

5.2.2.3   Deignan's corpus-based model for metaphoricity

More recently, Deignan (*Metaphor and Corpus Linguistics* 2005) devises her own categorisation system. Based on both Lakoff's and Goatly's models, the system is intended for a corpus-based study of conventional linguistic metaphors and proposes four distinct types of metaphors (*innovative, conventionalised, dead* and *historical*), as seen in Table 5.3:

Table 5.3 Deignan's model for linguistic metaphors (from *Metaphor and Corpus Linguistics* 39)

Types of metaphorically-motivated linguistic expression	Example
Living metaphors	
1. Innovative metaphors	... the *lollipop* trees (Cameron 2003) He held five *icicles* in each hand. (Larkin, cited in Goatly 1997:34) (*icicles* = fingers)
2. Conventionalized metaphors	The wind was *whispering* through the trees. (Allbritton 1995:35) *grasp* (Lakoff 1987b) (spending) *cut* (Goatly 1997) There is no *barrier* to our understanding. (Halliday 1994)
3. Dead metaphors	*deep* (of colour) *crane* (machine for moving heavy objects) (Goatly 1997)
4. Historical metaphors	*comprehend, pedigree* (Lakoff 1987b) *ardent*

Deignan notes that innovative metaphors are generally of interest to those researching literature, while those concerned with language description will typically be working with the other metaphor types. As her own research falls within the latter, she goes into great detail (see pages 40–47) trying to distinguish between conventionalised and dead metaphors, two types which are not always easily separated. The discussion is not of particular relevance here as neither

conventionalised nor dead metaphors, or even historical ones, are considered in this study. Meanwhile, with regards to innovative metaphors, she argues that separating these from other types is relatively straightforward because "by definition, they [innovative metaphors] lie outside conventional language and exist in contrast to it" (*Metaphor and Corpus Linguistics* 40). And yet, the boundary between innovative and conventionalised can, for several reasons, be fuzzy. For one, linguistic expressions are not fixed to one side of the boundary as it is likely that conventional metaphors were once innovative. Furthermore, individual speakers may not always be in agreement in terms of a particular linguistic expression's newness. Nonetheless, Deignan believes that difficulties in identifying innovative metaphors, at least in concordance lines from a corpus, arise "only rarely" (*Metaphor and Corpus Linguistics* 40) as such metaphorical expressions are infrequent. She also suggests using corpus frequencies as a rough guide, proposing that "any sense of a word that is found less than once in every thousand citations of the word can be considered either innovative or rare and therefore, for the purpose of describing typical language use, unimportant" (40).

The different models of metaphoricity are not without issues. Deignan (2005, see page *Metaphor and Corpus Linguistics* 37) points to a number of pertinent matters in relation to both Lakoff's and Goatly's models. With the former, she notes that the criteria stipulated can be difficult to establish empirically (perhaps especially with borderline cases where some speakers may see no link between the original item and the metaphorical one, but other language users will) and that the description lacks detail. Indeed, the starting point for each of Lakoff's four metaphor types is a single example on the basis of which the criteria are formulated, rather than specific criteria being defined and then illustrated through various examples. The failure to apply the criteria for each metaphor type to a larger number of linguistic expressions as well as the absence of additional examples (even when hinted at, e.g. with the claim that the metaphorical mapping underlying 'comprehend' is shared with other, still active metaphors is not followed by providing any concrete examples) mean that the

criteria essentially remain untested in practice and potential issues with the metaphor categories are not identified. We are also simply expected to take Lakoff's word for the claim that multiple linguistic forms with the same metaphorical mappings continue to be in use. With Goatly's model Deignan challenges the etymological status of some of the examples provided as semantically distant pairings (PUPIL$_1$/PUPIL$_2$ versus VICE$_1$/VICE$_2$) are categorised differently. Moreover, Goatly also exclusively relies on linguistic data from corpora for his categorisation and does not take into account the individual variations that can and do arise in language users in terms of their metaphor processing. Deignan points to the research available in this area, such as Lehrer (1974, showing that informants judge word meanings differently at distinct moments in time) and Cameron (2003) as well as Cameron and Deignan (also 2003, both on language users' differing perceptions on metaphoricity). While these studies are few in number and not without problems themselves, their findings do raise questions about Goatly's model.

Deignan's own categorisation model (2005) asserts that distinguishing between innovative and non-innovative metaphors is generally straightforward, despite acknowledging that the borderline between them is "fuzzy rather than stark" (*Metaphor and Corpus Linguistics* 40). The fuzziness is more problematic than what Deignan concedes, certainly when the aim is to identify creative metaphors rather than conventional ones. For items not located on the extreme ends of the metaphoricity continuum, determining their exact position and the stage of their conventionalisation process may be challenging as there is no exact moment when an innovative form transforms into a non-innovative one. Although some measurable criteria can be applied, such as whether the metaphorical meaning is listed separately in dictionaries or the corpus frequencies proposed by Deignan herself, these serve primarily to confirm conventionalisation and are not sufficient by themselves for identifying creative metaphors. With the former, a dictionary entry usually established that an expression has been adopted into general language usage, the lack of an entry, however, provides no indication how far along an item is

in its conventionalisation process. Corpus frequencies may be more useful in this manner, particularly if data from historical corpora can be accessed and item usage over time can be tracked; nevertheless, the proposed cut-off point (less than one occurrence per every thousand citations) may be too high and, furthermore, includes not only novel metaphors but also those that are rarely used, whether because they have fallen out of use, are particular to a region or subject matter or are simply infrequently called on for other reasons. Deignan is aware of this noise in the data herself, writing that "if the researcher wished to isolate innovative metaphors from ... other rare uses in order to study them ..., they would have to develop further criteria" (*Metaphor and Corpus Linguistics* 40). No suggestions are made with regards to possible criteria, perhaps understandably, given that the focus of Deignan's book *Metaphor and Corpus Linguistics* is on conventional metaphorical expressions.

5.2.2.4   General observations on models of metaphoricity/conventionality

While the different models of metaphoricity all come with limitations, they nonetheless have some relevance for this project, both in terms of determining creative metaphors as well as for eliminating items from the list of metaphors to be analysed further. This study focuses on linguistic metaphors and, more specifically, on linguistic metaphors that are creative. Conceptual metaphors, on their own or as something that underlies a specific linguistic expression and might be either conventional or creative, are not considered systematically, although they were noted in relation to some examples. The distinction of whether the conceptual mapping is conventional or novel might be insightful in the sense that there is a strong possibility for creative linguistic metaphors that also involve a creative conceptual mapping to have a particularly high level of innovation, however, novel mappings may be infrequent and, ultimately, it is the linguistic realisation of the metaphor that is of interest here. While the study acknowledges that individual rhetorical devices (not only metaphors, but also neologisms and similes investigated in preceding chapters) will differ in their degree of innovation, it makes no attempt

to methodically measure this variation as any such effort is bound to be futile – too many subjective factors would be involved in quantifying what really cannot be assessed in such a precise manner.

Most of the metaphors types identified by the different metaphoricity models are also not included. None of Lakoff and Turner's conventional metaphors are suitable for this study, not even one-shot metaphors which may rely on a unique conceptual mapping yet have a linguistic form that is too entrenched in language usage. Goatly's dead, buried, sleeping and tired metaphors are also excluded. Meanwhile, his description of active metaphors – if somewhat brief – appears to indicate items that would normally be considered creative within this study and all the examples he provides ("His *tractor* of blood stopped thumping"; "He held five *icicles* in each hand" on page 34; "The kidneys are the body's *sewers*"; "a psychologist who threads the foul *sewers* of human despair", page 35) qualify as such. Deignan's conventionalised, dead and historical metaphors are also all disregarded, as only her innovative metaphor category describes the kind of creative rhetorical items of interest here.

5.3   Metaphors and corpus linguistics

Unlike with neologisms and similes there is no straightforward or single way to identify and/or retrieve metaphors, novel or otherwise, through corpus linguistic methods. The methods most commonly applied in metaphor research generally fall into one of two categories: they either involve querying the corpus for pre-defined lexical items (i.e. metaphorical markers or, based on the conceptual view of metaphor, vocabulary from the source or target domain, or a combination of both) or for annotations (for semantic fields, domains and/or conceptual mappings) already present in the corpus. An overview of these methods follows; for more information on the current state of research into metaphor and corpora and details on studies applying these method Deignan's *Metaphor and Corpus Linguistics* (2005) and

Stefanowitsch and Gries's edited volume *Corpus-Based Approaches to Metaphor and Metonymy* (2006) can be recommended.

5.3.1 Querying the corpus with pre-defined lexical items

5.3.1.1 Metaphor markers

Querying a corpus on the basis of linguistic markers for metaphors is not without controversy. In contrast to similes, metaphors have no characteristic linguistic realisation as their basic elements, the tenor and the vehicle, can essentially be expressed through any word (or multiple words) in any form. They can be represented through different parts of speech, whether, in the more classical metaphorical structure of *x is y*, through a noun as in "The world's a *stage*" or a verb in "the moonlight *sleeps* upon his bank" (from Shakespeare's *Hamlet* and *Merchant of Venice* respectively, my emphasis). In an implicit metaphor the tenor can even be absent entirely as it is indicated only by the situational and verbal context. An example is given by Abrams with "That reed was too frail to survive the storm of its sorrows" (202). When used to talk about someone's death, "reed" functions as the vehicle for an implicit tenor, a human being. It is therefore not possible to draw up a general list of concrete metaphor markers – they do not exist. Some scholars argue otherwise, with Goatly (1997) proposing that there are "relatively explicit markers of metaphor, the words and phrases which seem to occur in the environment of metaphorical V-terms [106]" (172). He provides a detailed table that categorises linguistic markers for metaphor, including explicit markers of non-literalness ('metaphor/-ically', 'figurative/-ly', 'trope'), intensifiers ('literally', 'really', 'actually', 'in fact', 'simply', 'fairly', 'just', 'absolutely', 'fully', 'completely', 'quite', 'thoroughly', 'utterly', 'veritable', 'regular'), hedges or downtoners ('in a/one way', 'a bit of', 'half-…', 'practically', 'almost', 'not exactly', 'not so much

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[106] Goatly identifies the following units of discourse for a metaphor: the *Vehicle-term* (V-term), the *Topic-term* (T-term) and the *Ground-term* (G-term).

… as …', '… if not …'), semantic metalanguage ('in both/more than one sense/s', 'mean/-ing'), mimetic terms ('image', 'likeness', 'picture', 'parody', 'caricature', 'model', 'plan', 'effigy', 'imitation', 'artificial', 'mock'), symbolism terms ('symbol/-ic/-ically', 'sign', 'type', 'token', 'instance', 'example'), superordinate terms ('sort of', 'kind of') and orthographic devices (e.g. quotation marks). Goatly identifies the different types of metaphors these items indicate (e.g. active, inactive, approximative, subjective) and the effect they have (e.g. enhancing, reducing, revitalising).[107] While plenty of examples drawn from real texts (conversations, news reports, poetry, novels, advertising) are provided for each type of metaphor marker, Goatly's proposal is nonetheless unverified. Systematic, large-scale studies of the markers are still lacking. Wallington et al.'s (2003a; 2003b) research on metaphor annotation in part investigates what they refer to as *metaphoricity signals* based on Goatly's list, but involves a small corpus of only six texts of different text types and genres and approximately 38,000 tokens. The authors observe that even if certain markers occur with metaphors, their function may not necessarily be to signal metaphoricity. They also come to the conclusion that, at a general rate of 5%, metaphors in their corpus are "rarely signalled" (Wallington, Barnden, Barnden, et al. n.pag.). In reverse, "approximately half of the signals were followed by a metaphor, although the figure is far less for the spoken files, resulting in a combined figure of approximately a third".[108] They suggest that "certain classes of metaphor may be signalled more reliably than other classes" and that "[l]ikewise, some classes, or even examples, of metaphoricity signals may make more reliable signallers" (Wallington, Barnden, Barnden, et al. n.pag.). Although the study analysed only six text types (including one novel), these observations seem particularly relevant when it comes to creative metaphors in literature: it is rather questionable that a poet or novelist would signal such metaphors with, for example, the explicit markers of non-

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[107] See Goatly 1997, 172ff for explanations of the terminology used.

[108] Wallington et al. (2003b) attribute the difference between written and spoken files to a higher presence of metaphors in the former, at least in their corpus.

literalness or the symbolic terms. Sznajder and Piqué-Angordans (2005) also test metaphor markers – using Goatly's complete list – in their research on scientific and popular business discourse. While they never critically question the usefulness of such markers in general, their data again reveals a low frequency of metaphoricity signals. Hanks (2004; 2006) is another scholar that explores metaphor markers through his idea that there is an association between at least some metaphors and "particular sets of syntagmatic realizations" ("Metaphoricity Is Gradable" 17). However, unlike Goatly, Hanks has no intention of being comprehensive. Instead, he exclusively focuses on a single such marker, arguing that "one of the most basic ways of realizing a metaphor in English involves the use of a partitive or quantifying *of* construction" (Hanks, "Metaphoricity Is Gradable" 17), a proposal that he explores in two papers by querying the British National Corpus for metaphorical expressions formed with 'storm of' (in "Syntagmatics"), 'sea of' and 'oasis of' (both in "Metaphoricity Is Gradable").

5.3.1.2 Lexical items from the source domain and/or target domain

Another common method for detecting metaphors on the basis of pre-defined lexical items is through querying the corpus for source domain vocabulary, target domain vocabulary or a combination of both. Both the first and second approach involve selecting a potential source or target domain (i.e. a semantic domain or field that is associated with multiple metaphors) and then querying the corpus for one or several lexical items from that domain. The lexical items are prepared beforehand and may be drawn from the researcher's own intuition or from existing lists (such as Lakoff, Espenson, and Goldberg's *Master Metaphor List*). The data retrieved must be processed further to confirm that the items indeed form part of a metaphor and to identify the conceptual mappings they participate in. For example, for one conceptual metaphor, LOVE IS MAGIC (listed in Lakoff, Espenson, and Schwartz 159), with the source domain MAGIC and the target domain LOVE, a source domain-focused investigation involves identifying lexical items related to MAGIC and

querying the corpus for them to see when and how these items occur in a mapping with LOVE (e.g. "The magic is gone", "She is bewitching", "I was entranced", "She charmed him", as per Lakoff, Espenson, and Goldberg 159).

A combined method – querying a corpus for sentences that contain lexical items from both source and target domains – is also an option. In this case, researchers rely on source and target domain vocabulary lists and must use a corpus in which clause and/or sentence boundaries have been annotated. Stefanowitsch notes that this method, which has not seen wide application thus far, is also restricted to retrieving metaphorical expressions whose conceptual mappings are already known.

5.3.2   Querying the corpus on the basis of annotations

Metaphors can also be extracted from corpora on the basis of annotations, which must either be present already or have to be added before the corpus can be queried. In general, few corpora with annotations suitable for metaphor research exist as the annotation process is labour-intensive, time-consuming as well as costly. Two types of annotation – both linked to the conceptual view of metaphor – may be useful for metaphor retrieval: annotations for semantic fields and/or domains and annotations for conceptual mappings. The former relies on lexical items being marked for belonging to a particular semantic field or domain, while the latter involves querying the corpus for annotations of conceptual mappings. One potential complication with the first approach is that lexical items often can be classed as part of several semantic fields or domains and corpora may, for good reason, therefore not be comprehensively annotated. With researchers being dependent on available annotations unless they have resources to complete the marking up themselves, existing and accessible annotated materials may only be partially or not suitable at all. Indeed, while there are some studies, such as Semino (2006, expressions related to speech activity), that use a database annotated for semantic fields/domains, according to Stefanowitsch there is currently no corpus available publically that has been marked up for conceptual mappings.

5.3.3 Other methods

Few other automated methods for metaphor extraction exist. Berber Sardinha (2007) trials one alternative, retrieving metaphors through shared collocations and semantic distance between word pairs. Using a 500,000 token Portuguese corpus of thirty-six MA theses, he works with a list of keywords selected on the basis of frequency markedness, with the *Bank of Portuguese* serving as a reference corpus. Collocates are computed for each keyword, which are then compared to determine those shared between keywords. A problem arises at this point as there is "no metaphoricity" (Berber Sardinha, "Metaphor in Corpora" 19) between some word pairs with shared collocate sets, an issue that Berber Sardinha puts down to semantic distance:

> 'Dollar' and 'money' are semantically close, since 'dollar' is used as money. On the other hand, 'time' and 'money' are semantically distant. The similarity is actually conveyed metaphorically, by conceptualizing one item in terms of another. ("Metaphor in Corpora" 19)

Berber Sardinha therefore devises an automated method to process collocate set pairs (keyword pairs that share three or more collocates) further, using *WordNet* (<wordnet.princeton.edu>), a lexical database for English, in which words are marked up for various sense relations, including synonymy, antonymy, meronymy and hyperonymy, together with the software package Semantic Distance (Pedersen et al.) to calculate the semantic distance between word pairs. The resulting data then requires manual confirmation for the metaphor status of individual items.

5.3.4 Suitability of corpus-based approaches to metaphor for TIVC

The corpus-based approaches to metaphor as described here are generally not suitable for this particular research project. Some procedures, like querying for metaphoricity signals, are questionable in terms of actual usefulness at retrieving metaphors. Others are more appropriate for data extraction from large, general corpora, particularly if the type of metaphor to be extracted is fairly open. Such does

not apply for this project, which is interested exclusively in novel metaphors in one specific literary work within a small and specialised corpus consisting of a single source text and its multiple translations. Within TIVC, automated methods of metaphor extraction would have been applied only to the German subcorpus, as the investigation for metaphorical expressions is unidirectional: the decision was made, primarily due to time restrictions and, in contrast to similes, limited suitable means for automatic data extraction, to explore what happens to certain types of ST metaphors in translation, not whether TTs include creative metaphors independent of the original text. Even if the English component had been queried, the situation would not have been remarkably different. Although the English subcorpus contains significantly many more tokens, the texts within it all derive from the same ST and will demonstrate considerable overlap. Any method involving pre-defined metaphor markers for specific words or phrases like 'a sea of...' would therefore still not result in enough data, if any.

The fact that the project works with a bilingual corpus also complicates matters as some methods depend on language-specific tools, which are not always available for all languages concerned. Berber Sardinha, for example, relies on *WordNet,* a lexical database of English, for evaluating the semantic distance between word pairs. His own research corpus is in fact in Portuguese and he acknowledges in an earlier paper from 2006 on the same project that his methodology involved applying an algorithm specific for English in order to use *WordNet*, thus requiring the translation of word pairs before any processing was possible. With no easily comparable source to *WordNet* being available for German, a similar solution would have had to be used if working with Berber Sardinha's method, however, this translation-dependent approach is not entirely unproblematic. When tools specific for particular languages are available, yet another problem may arise: they may, for various reasons, not be freely accessible, requiring payment or usage permissions, which is often difficult or impossible to obtain. Berber Sardinha writes his own Unix Shell script for the algorithm used in his study and although he provides details (see "Collocation Lists"

256–257), the script itself is not available. While the description in his paper may suffice for individuals with programming knowledge, it was not usable information for myself.

Another problem is that the various metaphor extraction methods (and, in some cases also the corpus tools themselves) are still at preliminary stages of development and need more testing and fine-tuning before becoming more widely accepted procedures, something that applies for Goatly's metaphoricity signals, Hanks's syntagmatic sets and Berber Sardinha's semantically distant collocation pairs.

However, the most significant reason for not using any of the corpus linguistic methods outlined is the fact that they are all more suited for finding recurring, conventional metaphors, rather than novel ones – but it is the latter ones that are of interest here. It was therefore eventually decided to retrieve and identify metaphors primarily through manual means, with assistance from corpus tools whenever possible. The process is detailed in the Methodology section that follows.

5.4 Methodology

5.4.1 Retrieving metaphors from *Der Tod in Venedig*

With none of the currently available corpus-based methods to identify and retrieve metaphors being suitable for this study, a different approach had to be taken. Initially, an attempt was made to adapt one of the procedures that rely on pre-defined lexical items by using WordSmith Tools to create a wordlist and then manually scanning the list for potential word candidates to explore further. There was no list of items established in advance, rather the idea was to see if the wordlist itself suggested any terms or semantic sets that might offer a starting point for investigation. With a count of 24,045 tokens and approximately 7,572 types (both for the *Buchausgabe*), related words were present. One prominent semantic set was lexical items connected to the body. The wordlist contained 74 types and 436 tokens

– amounting to 0.9773% of all types and 0.9473% all tokens – that fell into this set (see Appendix (H)). The items were diverse and several were surprisingly specific, e.g. "Fingerspitzen", "Kniekehlen", "Gesichtshaut" and "Wangenpartie".

The high presence of body-related diction was not entirely unexpected in itself considering that Mann's *Der Tod in Venedig* is a story whose themes include both the Platonic ideal (perfect beauty), as symbolised by the physical beauty of the young boy Tadzio, and decadence, as seen through Gustav von Aschenbach, whose past-middle-age body is slowly growing old and eventually succumbs to illness. However, the close-up investigation of the body-related terms in their original context rather than in isolation on the wordlist soon proved that this method was not effective in terms of metaphors. The in-context reading revealed that the majority of the words were used in a literal, rather than metaphorical manner by Mann. Additionally, of those that were metaphors, only a few were actually creative, in the end providing, perhaps not entirely surprisingly, no more than a handful of usable examples – too few for a study of this type. As the same was true for several other (all smaller) semantic sets that were briefly tested, the wordlist-based approach to metaphors was deemed unsuitable for a (sub-)corpus the size of TIVC and abandoned.

With no satisfactory corpus linguistic method being available, it was decided to take an entirely different approach and retrieve novel metaphors manually from the ST, using corpus tools only to assist when it came to finding the corresponding linguistic material in the translations and, in part, for assessing the creativity of the items selected. The route entailed reading the German text and the TTs, from the first page to the last, in the traditional way (that is, not using a software programme at first instance, but one's eyes) while specifically noting, on the basis of native speaker intuition, any uses of creative metaphors by Mann, which were then placed on a preliminary list. The texts were studied in their digital form, not on account of the fact that in some cases these were the versions in possession or even that some of the

translations were exclusively available in this format, but rather for the reason that the digitised *Venices* offered a significant advantage. The reading involved examining the ST and the TTs separately as well as jointly side by side by working through each sentence across all works. The individual study was not problematic, but the comparative reading would have been almost impossible with twelve physical books: if attempted, it would have been impractical as well as time-consuming, even more so as the comparative approach implied not a one-time parallel reading but the repeated consultation of different single examples and sections in the texts. The digital format and the specific corpus tools, however, significantly facilitated this process, thanks to the aligned MS Word corpus (A-TIVC) created with the help of the *Viewer & Aligner* feature of WordSmith Tools as previously described in section 2.5.3 (see page 65).

By taking metaphors in the full text as the starting point instead of isolated linguistic items that potentially formed part of a metaphorical phrase, this second attempt at detecting metaphors in *Der Tod in Venedig* was, as might be expected, considerably more successful and identified items suitable for further investigation in sufficient quantity. It did bring along other issues, both in terms of the number of metaphors encountered and the selection bias inherent in the approach itself. Given the ubiquitousness of metaphors, examples appear in essentially every sentence of the text, although the majority of these are of course not novel. The cline of creativity in metaphoricity meant that the decision between choosing or eliminating a metaphor was not always a straightforward matter. While standard conventional metaphors were easily ignored, several examples were positioned more ambiguously on the creativity spectrum, raising the question of where to draw the line and how many of the more innovative metaphors to include in the study.

The selection method was also subjective and biased and, due to the necessary exclusion of even some of creative metaphors so as to work with a manageable number of examples only, in no manner all-inclusive. The study never set out to be

comprehensive with any of the rhetorical devices it explores, as true comprehensiveness is difficult to achieve when working with units of analysis whose classification depends on the specific definition used and a measurement of degree of novelty that is at least partially subjective. These issues must nonetheless be acknowledged. While this combined method therefore was not ideal, it was preferable to the available alternatives of either existing corpus-based methods (all unsuitable) or a completely manual approach (which, in any event, would not have eliminated the issues inherent in the combined method but would only have added further disadvantages).

5.4.2 Assessing creativity in metaphors

The items on the preliminary list required further assessment to confirm their status as creative metaphors. As metaphors are, much like similes, generally multi-word units, similar issues arise when determining their linguistic creativity. It is again not feasible to apply Sinclair's principles to every single complete metaphor unit and measure their exact distribution. Instead, items preselected on the basis of intuition were assessed further through several guiding questions as well as, where appropriate, corpus data and selective application of the open choice principle and the idiom principle for a cross-check much the same as the one for similes.

The guiding questions were as follows:

(1) Is the association between the tenor and the vehicle novel or conventional? If it is conventional, in what manner is the linguistic realisation novel or innovative?

(2) Are there any fixed or semi-fixed prefabs that form part of the metaphor that might render it (more) conventional? What kind of prefabs are these? Are the prefabs altered in any manner (e.g. by inserting unusual material into open slots) that might innovate the prefab or even the metaphor as a whole?

(3) Does Mann use any potentially linguistically creative rhetorical devices such as neologisms or alliteration within the metaphor to innovate it?

The questions were also used in the analysis of the TT forms of creative metaphors, if preserved. With both the ST and the TTs, they served to establish conventionalised as well as innovative elements within the multi-word units that compose each metaphor, particularly assisting with those examples that fall close to either side of the fuzzy borderline between the conventional and the creative.

The first question considers the relationship between the tenor and the vehicle. It involved assessing the metaphors first intuitively, then by cross-checking the core lexical items realising the tenor and vehicle through corpus queries (including collocational data) and web search engines to determine the novelty of their association. While underlying conceptual metaphors were sometimes identified as a result of this guiding question and at times even useful in terms of recognising conventionalisation, there was no attempt to systematically categorise all linguistic metaphors in this manner, e.g. by cataloguing them according to Lakoff et al.'s *Master Metaphor List* or additional, new classifications as the focus was on the linguistic forms. The identification of prefabs in question 2 again involved the consultation of corpus and web search engine data as needed and, in this sense, the application of Sinclair's principles to at least parts of the metaphor, not by measuring the exact distribution of the open choice and idiom principles but identifying prefabricated phrases within the unit that might have an effect on the metaphor's creativity. The third question serves to determine any supplementary linguistic techniques that Mann might have used to make a multi-item metaphor unit innovative.

As Mann's metaphors fell within a number of different, although not exclusive, groups, each with some unique characteristics in terms of creativity, additional questions were also considered with particular types of metaphors – these are specified in subsection 5.5.1.

5.5 Data analysis

5.5.1 Creative metaphors in ST

With metaphors being pervasive in language, *Der Tod in Venedig* contains numerous examples of the device, most of which are conventional but also many which display at least some to a high degree of linguistic creativity. A total number of 87 metaphors, including 37 main metaphors plus two megametaphors with 28 and 22 micrometaphors respectively, were analysed for the study (see Appendix (I) for the full list). Notably, Mann makes use of single creative metaphors as well as metaphor multiples, specifically megametaphors and metaphor clusters, which are described in the sections that follow. Allusive metaphors – similar to allusive similes (discussed in section 4.3.1.4) – also feature prominently. The linguistic creativity within the examples analysed is not uniform but the result of distinct innovations, which were identified and, in addition to the preservation of the metaphor itself, considered in the analysis of the TTs.

5.5.1.1 Single creative metaphors

Many of the creative metaphors in the novella are one-off occurrences: they are used in the novella on one occasion only and consist of a single tenor and a single vehicle. A list of examples is provided in Table 5.4:

Table 5.4 Single creative metaphors in *Der Tod in Venedig*

(1) "dem Fortschwingen des produzierenden Triebwerkes in seinem Innern, jenem »motus animi continuus«" (Ch. 1)
(2) "die Lichter eines kauernden Tigers funkeln"/"die phosphoreszierenden Lichter des Tigers funkeln" (Ch. 1, in BA and HD respectively)
(3) "der geduldige Künstler, der in langem Fleiß den figurenreichen, so vielerlei Menschenschicksal im Schatten einer Idee versammelnden Romanteppich, »Maja« mit Namen, wob" (Ch. 2)
(4) "die Konzeption »einer intellektuellen und jünglinghaften Männlichkeit«

sei, »die in stolzer Scham die Zähne aufeinanderbeißt und ruhig dasteht, während ihr die Schwerter und Speere durch den Leib gehen.«" (Ch. 2)

(5) "Er gedachte des schwermütig-enthusiastischen Dichters, dem vormals <u>die Kuppeln und Glockentürme seines Traumes aus diesen Fluten gestiegen waren</u>" (Ch. 3, metaphor underlined)

(6) "daß zu Lande, auf dem Bahnhof in Venedig anlangen, einen Palast durch eine Hintertür betreten heiße" (Ch. 3)

(7) "ein Unwetter zorniger Verachtung sein Gesicht überzog" (Ch. 3)

(8) "dies Mißgeschick, das, wie er sich sagte, ein Sonntagskind nicht gefälliger hätte heimsuchen können" (Ch. 3)

(9) "fürchterliche Gewitter am Abend das Licht des Hauses löschten" (Ch. 4)

(10) "das Meer weiß blendend in Morgenträumen lag" (Ch. 4)

(11) "eine übermütige Sonne goß verschwenderischen Glanz über ihn aus" (Ch. 4)

(12) "aus Meerrausch und Sonnenglast spann sich ihm ein reizendes Bild" (Ch. 4)

(13) "geleugnet und vertuscht fraß das Sterben in der Enge der Gäßchen um sich" (Ch. 5)

(14) "[Aschenbach] am Narrenseile geleitet von der Passion" (Ch. 5)

Single creative metaphors vary greatly in their degree of innovation, some forming rather simple and concise constructions, with the grounds of the metaphor having been left implicit or minimally lexicalised, as seen with "Lichter eines kauernden Tigers funkeln" to describe an animal's eyes in the dark, or "ein Unwetter zorniger Verachtung sein Gesicht überzog" to visualise the intensity of Tadzio's feelings. Creativity typically increases whenever Mann provides more details to illuminate the ground of the metaphor, e.g. in (4) a certain type of masculinity is vividly described with imagery: "die in stolzer Scham die Zähne aufeinanderbeißt und ruhig dasteht, während ihr die Schwerter und Speere durch den Leib gehen". In (3), meanwhile, novelty results from Mann's usage of another creative device as part of the metaphor as "Romanteppich" is a coinage. It is also metaphorical – on its own as well as by being embedded in a sentence that realises the same underlying metaphor: that stories are woven fabric and storytellers (writer, poets) are weavers. While the

realisation of the metaphor is novel, the underlying concept is not – it is linked to the etymology of *Text* (or *text* in English), which derives from the Latin 'textus' meaning "das webe und gewebe" (Grimm and Grimm), from 'tex-ĕre' ("to weave", 'OED Online') and at times surfaces in conventional expressions in both languages (e.g. 'Geschichtsfaden'; 'Garn spinnen'/'Seemannsgarn spinnen'; 'spin a yarn'; 'threads of a story'; 'weave a story or weave something into a story/narrative').[109] Although underlying conceptual metaphors were not systematically investigated with every metaphor, some familiar ones appear to be present, e.g. PEOPLE ARE MACHINES in "dem Fortschwingen des produzierenden Triebwerkes in seinem Innern, jenem »motus animi continuus«" and LOVE IS MADNESS in "am Narrenseile geleitet von der Passion". Again, it is the particular linguistic realisations of these concepts that make these metaphors creative. Mann's metaphors – both conventional and creative ones – often also rely on personification, a figure in which "either an inanimate object or an abstract concept is spoken of as though it were endowed with life or with human attributes or feelings" (Abrams 103). Kövecses classifies such types of metaphors as ontological metaphors as something abstract (ideas, concepts, emotions, et cetera) is related to something concrete (objects, substances, persons, et cetera). Examples from the creative single metaphors listed in Table 5.4 include "Konzeption einer intellektuellen und jünglinghaften Männlichkeit", "am Narrenseile geleitet von der Passion" and "geleugnet und vertuscht fraß das Sterben in der Enge der Gäßchen um sich". Personification is not limited to single creative metaphors only – this characteristic also features prominently in metaphor multiples, which illustrate another preference of Mann's when it comes to the usage of this particular rhetorical device in the novella.

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[109] In English, an ancient metaphor from Bringhurst's *The Elements of Typographic Style* is sometimes cited as an example: "A thought is a thread, and the ranconteur is a spinner of yarns – but the true storyteller, the poet, is a weaver" (25).

5.5.1.2   Metaphors multiples: Metaphor clusters and megametaphors

Metaphor multiples describes the use of several metaphors together. These include clusters of single metaphors in the same location of the text as well as individual metaphors that occur in different, often distinctly separate locations throughout the novella but that are connected to one another by forming a megametaphor.

5.5.1.2.1   Metaphor clusters

In this study metaphor clusters are understood as those instances when two or more individual metaphors appear together in essentially the same location, for example, within the same sentence, something that – given Mann's fondness of long and complex syntactical structures – is not uncommon. The individual metaphors that form a cluster may be either unconnected to each other or have a relationship in the sense that they may be describing the same aspect of a scene or character, yet will often have their own tenor and vehicle.

Table 5.5 Example metaphor clusters in *Der Tod in Venedig*[110]

(1) "Er hatte dem Geiste gefröhnt, mit der Erkenntnis Raubbau getrieben, Saatfrucht vermahlen, Geheimnisse preisgegeben, das Talent verdächtig, die Kunst verraten" (Ch. 2)
(2) "Seine Stirn verfinsterte sich, sein Mund ward emporgehoben, von den Lippen nach einer Seite ging ein erbittertes Zerren, das die Wange zerriß, und seine Brauen waren so schwer gerunzelt, daß unter ihrem Druck die Augen eingesunken schienen und böse und dunkel darunter hervor die Sprache des Hasses führten." (Ch.3)
(3) "fühlte er, wie der lässige Gruß vor der Wahrheit seines Herzens hinsank und verstummte, – fühlte die Begeisterung seines Blutes, die Freude, den Schmerz seiner Seele" (Ch. 3)
(4) "die Gestirne droben ihren Reigen schritten und das Murmeln des

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[110] The different components of metaphor clusters are not counted separately. This contrasts with the micrometaphors in the section that follows.

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umnachteten Meeres, leise heraufdringend, die Seele besprach" (Ch. 4)

(5) "Sein Geist kreißte, seine Bildung geriet ins Wallen, sein Gedächtnis warf uralte, seiner Jugend überlieferte und bis dahin niemals von eigenem Feuer belebte Gedanken auf." (Ch. 4)

(6) "Noch lagen Himmel, Erde und Meer in geisterhaft glasiger Dämmerblässe; noch schwamm ein vergehender Stern im Wesenlosen" (Ch. 4)

(7) "Haupt und Herz waren ihm trunken, und seine Schritte folgten den Weisungen des Dämons, dem es Lust ist, des Menschen Vernunft und Würde unter seine Füße zu treten" (Ch. 5)

(8) "Das war Venedig, die schmeichlerische und verdächtige Schöne, – diese Stadt, halb Märchen, halb Fremdenfalle, in deren fauliger Luft die Kunst einst schwelgerisch aufwucherte und welche den Musikern Klänge eingab, die wiegen und buhlerisch einlullen." (Ch. 5)

(9) "Aber während Europa zitterte, das Gespenst möchte von dort aus und zu Lande seinen Einzug halten, war es, von syrischen Kauffahrern übers Meer verschleppt, fast gleichzeitig in mehreren Mittelmeerhäfen aufgetaucht, hatte in Toulon und Malaga sein Haupt erhoben, in Palermo und Neapel mehrfach seine Maske gezeigt und schien aus ganz Kalabrien und Apulien nicht mehr weichen zu wollen." (Ch. 5)

(10) "Flattern, Klatschen und Sausen umgab das Gehör, und dem unter der Schminke Fiebernden schienen Windgeister üblen Geschlechts im Raume ihr Wesen zu treiben, unholdes Gevögel des Meers, das des Verurteilten Mahl zerwühlt, zernagt und mit Unrat schändet." (Ch. 5)

Clusters can come in pairs, as with (4), (6) and (7), which both feature separate metaphors (e.g. in the fourth example, one metaphor describes the movement of the stars, the other the sound of the ocean). They can also be composed of a longer listing of items that are sometimes arranged in a parallel structure within a sentence, as seen with (2), (3) and (9). The items may be connected, like in example (9), where the spread of disease is depicted as a "Gespenst" that moves all over the European continent, with each destination constituting a distinct element in the cluster. The strategies that are used to innovate single metaphors (the use of other rhetorical devices such as personification) are also seen with metaphor multiples, but creativity also arises through other means as Mann combines both conventional and creative metaphorical parts in the clusters. To illustrate: example (1), which describes Aschenbach's engagement with art in his younger years, relies on a list of

components. "Geheimnisse preisgegeben" is a relatively common expression, although 'Geheimnisse' can in fact be substituted (e.g. by 'Identität', 'Namen', 'Information'). Both "dem {Geiste} gefrönt" and "mit der {Erkenntnis} Raubbau getrieben" (both my emphasis) are semi-fixed prefabs. These phrases allow for variation in the verb tense but also contain open slots (marked with {}) that may be filled with a great variety of lexical material. "Saatfrucht vermahlen", "das Talent verdächtigt" and "die Kunst verraten" do not appear to be prefabs, although the last one interestingly has 22 hits in DWDS. These parts are metaphorical, with the latter two involving personification. However, what makes the whole cluster innovative is the connection between its components, some clearly conventional if considered on their own: the terms "Raubbau" and "Saatfrucht" both draw on the topic of agriculture, while "Geheimnisse preisgeben", "verdächtigt" and "verraten", all relate to the idea of secrecy.

5.5.1.2.2 Megametaphors

Most of the metaphors discussed thus far – single metaphors and metaphor clusters – occur at the sentential level. Metaphors, however, are not restricted to a sentence but may and often do extend further – over a paragraph, a whole page or even beyond. This phenomenon is typically known as an *extended* or *sustained metaphor*, and effectively illustrated in Chapter 4 of *Der Tod in Venedig* in a description of the sunrise (see examples (5), (6) and (7) in Table 5.9 in section 5.5.1.3). Werth (1994) uses another term for a particular kind of extended metaphor: the *megametaphor*. With these, he writes, "a specific metaphor concept is developed through a *discourse*, e.g. an entire poem, play or novel" (Werth 80). The metaphorical concept can run through a text without ever surfacing (i.e. it may never be explicitly verbalised and/or readers may or might not notice it), but instead manifests itself through single metaphors – or, as (Kövecses, *Metaphor* 57) calls them, *micrometaphors* – that occur in significant numbers and varied forms. Operating on the surface of the text they "combine to point to a compelling subliminal message" (Werth 85) that makes

the micrometaphors "coherent" (Kövecses, *Metaphor* 57). Werth draws on passages from E.M. Forster's *A Passage to India* (1924) and Dylan Thomas's *Under Milk Wood* (1962) to illustrate, citing Sleep Is Disablement and Disablement Is Death for the former, and Poverty Is Negative and Negative Is Down as examples for megametaphors. He argues that in all of these cases "there is no single location where these conclusions are expressed: they are cumulative, and, crucially, achieved by way of text and discourse processes, rather than sentence processes" (Werth 85), noting that with these examples at least it is not possible to arrive at the subliminal messages (i.e. the megametaphors) unless the passages are taken into account in their entirety.[111]

Werth makes a number of additional observations with regards to megametaphors. He identifies their primary function as being "representations of the metaphorical 'gist' of a text" (101), which achieves an "extremely subtle conceptual effect" (89). He furthermore limits their occurrence to a "single text" (84), which generally seems to refer to literary writing although it is acknowledged that advertising also makes use of sustained metaphors (see footnote 5, p. 102 of Werth). This restriction to a single text is plausible, although it is not inconceivable that a particularly creative and experimental writer might, for whatever reason, also sustain a metaphor over more than one work. Such a crosstextual megametaphor would likely be even more difficult for readers to detect as it would additionally require intimate knowledge of a writer's oeuvre.

Megametaphors can be found in *Der Tod in Venedig*. The perhaps most prominent one – not in the sense of noticeability but in terms of its pervasiveness as well as its significance for the themes in the novella – is Tadzio Is a Work of Art and Art Is a Divine Creation (see Table 5.6). Throughout the novella Mann refers to Tadzio

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[111] Werth's observation seems to imply that megametaphors are never expressed directly, but this is questionable: it is possible that one of the micrometaphors explicitly realises the megametaphor even when others do not.

as a work of art, often with the stipulation that this work of art either resembles divine beings or is created by them.

Table 5.6 Micrometaphors composing the megametaphor Tadzio Is a (Divine) Work of Art

Underlying megametaphor: Tadzio Is a Work of Art and Art Is a Divine Creation.

(N.B. Quotes are sorted by chapter and in order of appearance)

(1) "brächte dann, ein Paar hoher Wachskerzen in silbernen Leuchtern zu Häupten des Manuskripts, die Kräfte, die er im Schlaf gesammelt, in zwei oder drei inbrünstig gewissenhaften Morgenstunden der Kunst zum Opfer dar" (Ch. 2)

(2) "während seine Bildwerke die gläubig Genießenden unterhielten" (Ch. 2)

(3) "Auch persönlich genommen ist ja die Kunst ein erhöhtes Leben" (Ch. 2)

(4) and (5) "Sein Antlitz, bleich und anmutig verschlossen, von honigfarbenen Haar umringelt, mit der gerade abfallenden Nase, dem lieblichen Munde, dem Ausdruck von holdem und göttlichem Ernst, erinnerte an griechische Bildwerke aus edelster Zeit, und bei reinster Vollendung der Form war es von so einmalig persönlichem Reiz, daß der Schauende weder in Natur noch bildender Kunst etwas ähnlich Geglücktes angetroffen zu haben glaubte." (Ch. 3)

(6) "Man hatte sich gehütet die Schere an sein schönes Haar zu legen; wie beim Dornauszieher lockte es sich in die Stirn, über die Ohren und tiefer noch in den Nacken. (Ch. 3)

(7) "die Haut seines Gesichtes stach weiß wie Elfenbein" (Ch. 3)

(8) "das Haupt des Eros, vom gelblichen Schmelze parischen Marmors" (Ch. 3)

(9) "Gut, gut! dachte Aschenbach mit jener fachmännisch kühlen Billigung, in, welche Künstler zuweilen einem Meisterwerk gegenüber ihr Entzücken, ihre Hingerissenheit kleiden." (Ch. 3)

(10) "ein kostbares Bildwerk der Natur" (Ch. 3)

(11) "er war wie Dichterkunde von anfänglichen Zeiten, vom Ursprung der Form und von der Geburt der Götter" (Ch. 3)

(12) "in bildmäßigem Abstand" (Ch. 3)

(13) "das edle Menschenbild" (Ch. 3)

(14) "den zart gemeißelten Arm in den Sand gestützt" (Ch. 4)

(15) "die feine <u>Zeichnung</u> der Rippen, das Gleichmaß der Brust traten durch die knappe Umhüllung des Rumpfes hervor"(Ch. 4)

(16) and (17) "seine Achselhöhlen waren noch glatt <u>wie bei einer Statue</u>, seine Kniekehlen glänzten, und ihr bläuliches Geäder ließ seinen Körper <u>wie aus klarerem Stoffe gebildet</u> erscheinen." (Ch. 4)

(18) "Der strenge und reine Wille jedoch, der, dunkel tätig, <u>dies göttliche Bildwerk</u> ans Licht zu treiben vermocht hatte, – war er nicht ihm, dem <u>Künstler</u>, bekannt und vertraut?" (Ch. 4)

(19) and (20) "aus der <u>Marmormasse der Sprache</u> die schlanke Form befreite, die er im Geiste geschaut und die er als <u>Standbild</u> und Spiegel geistiger Schönheit den Menschen darstellte? <u>Standbild</u> und Spiegel!" (Ch. 4)

(21) and (22) "die <u>Form als Gottesgedanken</u>, die eine und reine Vollkommenheit, die im Geiste lebt und von der ein menschliches <u>Abbild</u> und Gleichnis hier leicht und hold zur Anbetung aufgerichtet war." (Ch. 4)

(23) "den Mathematikern gleich, die unfähigen Kinder <u>greifbare Bilder</u> der reinen Formen vorzeigen: So auch bediente der Gott sich, um uns das Geistige sichtbar zu machen, gern der Gestalt und Farbe menschlicher Jugend, die er zum Werkzeug der Erinnerung mit allem Abglanz der Schönheit schmückte" (Ch. 4)

(24) "den verehrt, der die Schönheit hat, ja, ihm <u>opfern</u> würde, wie einer <u>Bildsäule</u>, wenn er nicht fürchten müßte, den Menschen närrisch zu scheinen" (Ch. 4)

(25) and (26) "im Angesicht des <u>Idols</u> und die <u>Musik</u> seiner Stimme im Ohr" (Ch. 4)

(27) "seine Haut war <u>marmorhaft gelblich</u> geblieben wie zu Beginn" (Ch. 4)

(28) "Seine ebenmäßigen Brauen <u>zeichneten</u> sich schärfer ab" (Ch. 4)

A significant number of the micrometaphors (4, 6, 7, 8, 10, 14, 16, 18, 20, 24 and 27) specifically describe a statue, although other artistic creations and more generic references also feature. Tadzio's head has the yellow colour of Parian marble ("gelblichen Schmelze parischen Marmors", "marmorhaft gelblich"), his arm is chiselled ("gemeißelten Arm") – a chisel being a tool that is often used in sculpting. The allusive metaphor that compares Tadzio to the "Dornauszieher" references a statue, while he is explicitly identified as a sculpture in different sections of the novella ("griechische Bildwerke" and "kostbares Bildwerk" in Chapter 3; "göttliche Bildwerk" in Chapter 4), as well as more generally compared to a work of art with "Meisterwerk". In one instance the boy becomes an "Idol", which can be an image or object of worship, while his voice is "Musik". Mann repeatedly uses a form of the word "Bild" ('image' or 'picture') in connection to Tadzio, e.g. "edle Menschenbild"; "menschliches Abbild und Gleichnis hier leicht und hold zur Anbetung aufgerichtet war" and "in bildmäßigem Abstand", the last one indicating that, since their first encounter, Aschenbach has been observing Tadzio from a distance as if he were viewing a picture. In "ihm opfern, wie einer Bildsäule" Tadzio is connected to a particular type of statue, a "Bildsäule" ('ornamental column') that comes with a sculpture placed on top. "Standbild", which may refer to either a sculpture or a photograph in a standing frame, links to Tadzio more indirectly: Mann uses the term to indicate the product of Aschenbach's writing in a scene where the character looks over Tadzio's body and considers its perfect beauty as something that inspires the artist's will – including his own – to create. Interestingly, Aschenbach's tool as an artist – language – also becomes sculptural: he carves a "Form" out of the "Marmormasse der Sprache". When detailing Tadzio's physical features, Mann speaks of the "feine Zeichnung der Rippen" and observes that the boy's "ebenmäßigen Brauen zeichneten sich schärfer ab", with "Zeichnung" and "zeichneten" both linking to the art of drawing. "[E]r war wie Dichterkunde" relates Tadzio to the art of poetry.

Although Tadzio first appears in the novella only in the third chapter, several references in earlier chapters also reinforce the connection between the work of art and the divine. Thus, in Chapter 2, Aschenbach sacrifices himself to art ("brachte dann ... die Kräfte ... der Kunst zum Opfer dar") and sculptures are for believers ("während seine Bildwerke die gläubig Genießenden unterhielten"), while "Kunst [ist] ein erhöhtes Leben" could also be interpreted as indicating a higher power. The previously mentioned "opfern ... wie einer Bildsäule" example also establishes this connection between art and the divine, as does "Abbild und Gleichnis ... hold zur Anbetung" and "Idol" – in these cases directly in connection with Tadzio.

It is not only metaphorical references that form the megametaphor; several similes also play a role. The skin on Tadzio's face is "weiß wie Elfenbein", a material used for precious figurines and sculptures. The boy's armpits being "glatt wie bei einer Statue" directly verbalises the comparison. The sentence immediately continues with "seine Kniekehlen glänzten", something that could be linked to the shininess of polished marble, while "bläuliches Geäder ließ seinen Körper wie aus klarerem Stoffe gebildet erscheinen" points to a different material used in the making of Tadzio as a work of art. The 'Amor/Mathematikern' simile compares Tadzio to "greifbare Bilder" ('tangible images') and notes to the boy's beauty being created by God with "Gestalt" ('form') and "Farbe" ('colour') – as one would create a work of art.

A second megametaphor in *Der Tod in Venedig* is ART IS WAR. It is not quite as prevalent as TADZIO IS A (DIVINE) WORK OF ART, as it is realised through a somewhat smaller number of related micrometaphors in different locations of the novella. However, in contrast to TADZIO IS A (DIVINE) WORK OF ART, several of the micrometaphors composing ART IS WAR are explicit, some of them directly verbalising the megametaphor.

Table 5.7 Micrometaphors composing the megametaphor ART IS WAR.

Underlying megametaphor: ART IS WAR.

(1) "der Alltagsstätte eines starren, kalten und leidenschaftlichen <u>Dienstes</u>" (Ch. 1)

(2) + (3) "Zwar liebte er ihn und liebte auch fast schon den entnervenden, <u>sich täglich erneuernden Kampf</u> zwischen seinem zähen und stolzen, so oft erprobten Willen und dieser wachsenden Müdigkeit, von der niemand wissen und die das Produkt auf keine Weise, durch kein Anzeichen des Versagens und der Laßheit verraten durfte. Aber verständig schien es, <u>den Bogen nicht zu überspannen</u> und ein so lebhaft ausbrechendes Bedürfnis nicht eigensinnig zu ersticken." (Ch. 1)

(4) "Er dachte an seine Arbeit, dachte an die Stelle, ... die weder geduldiger Pflege <u>noch einem raschen Handstreich</u> sich fügen zu wollen schien." (Ch. 1)

(5) "Er ... ließ mit einem Schauder des Widerwillens vom <u>Angriff</u> ab." (Ch. 1)

(6) + (7) "es bedeutete recht eigentlich <u>den Sieg seiner Moralität</u>, wenn Unkundige die Maja-Welt oder die epischen Massen, in denen sich Friedrichs Heldenleben entrollte, für das Erzeugnis gedrungener Kraft und eines langen Atems hielten, während sie vielmehr in kleinen Tagewerken aus aberhundert Einzelinspirationen zur Größe emporgeschichtet und nur darum so durchaus und an jedem Punkte vortrefflich waren, weil ihr Schöpfer mit einer Willensdauer und Zähigkeit, derjenigen ähnlich, die <u>seine Heimatprovinz eroberte</u>, jahrelang unter der Spannung eines und desselben Werkes ausgehalten und an die eigentliche Herstellung ausschließlich seine stärksten und würdigsten Stunden gewandt hatte." (Ch. 2)

(8) "im leeren und strengen <u>Dienste</u> der Form" (Ch. 2)

(9) "den heilig-nüchternen <u>Dienst</u> seines Alltags" (Ch. 4)

(10) "das Seine <u>zu schützen gegen</u> den Fremden, den <u>Feind</u> des gefaßten und würdigen Geistes" (Ch. 5)

(11), (12) + (13) "Auch er hatte <u>gedient</u>, auch er war <u>Soldat und Kriegsmann</u> gewesen, gleich manchem von ihnen, - denn die <u>Kunst war ein Krieg, ein aufreibender Kampf</u>, für welchen man heute nicht lange taugte." (Ch. 5)

(14) "wir Dichter ... ja mögen wir auch <u>Helden</u> auf unsere Art und züchtige <u>Kriegsleute</u> sein" (Ch. 5)

Micrometaphor (2) appears early on in the novella in a section describing Aschenbach's struggles as an artist, referencing the production of art – the routine of writing in this case – as fighting a daily battle ("sich täglich erneuernder Kampf"). The sentence directly following is also related, as the idiomatic expression "den Bogen nicht zu überspannen" (literally 'not to span the bow too far', meaning 'not to overdo it'), a conventionalised metaphor, points to – if rather primitive – weaponry that was once utilised in warfare. Micrometaphor (4) is used when Aschenbach reflects on his struggle to write at the moment. He tries to tackle the passage he has been stuck on with a "Handstreich", which is "[eine] Aktion, bei der ein Gegner mit einem blitzartigen Überfall überrumpelt wird" (*Dictionary*). The artist thus becomes the one launching a surprise attack against his enemy – his work. When Aschenbach is unsuccessful, the failure too is expressed through a relevant micrometaphor (5) as he "ließ mit einem Schauder des Widerwillens vom *Angriff* ab" (my emphasis). In Chapter 2, micrometaphors (6) and (7) are more challenging to notice. Embedded into a longer and complex sentence of several clauses and sub-clauses, micrometaphor (6) observes that Aschenbach's readers falsely believe that a work of art is the result of persistent, on-going strength ("das Erzeugnis gedrungener Kraft und eines langen Atems hielten"). However, the opposite is true, with Aschenbach perceiving this deception as a "Sieg" ('victory') in his battle of creating art and connecting the willpower and tenacity of himself as a creator ("Schöpfer") to the one that "seine Heimatprovinz eroberte" – a comparison that invokes military conquest. Example (10) appears in the final chapter. The cholera is now taking over Venice and the protagonist himself is approaching his downfall, symbolically realised through the physical illness. He has a nightmarish dream, witnessing an orgy, which can be linked to Dionysus, the Greek god of wine, fertility and pleasure. Aschenbach has resisted mindless revelry his entire life through his disciplined work ethic, but is now faced with it – "de[m] Feind des gefaßten und würdigen Geistes", i.e. the enemy of his principled writer's mind. Examples (12) and (13), both from the fifth chapter, make the megametaphor explicit, as they directly verbalise it. Aschenbach, the artist, is described as someone who has "gedient" (i.e. 'served in the army'); he,

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as an artist, is a "Soldat" ('soldier') and a "Kriegsmann" ('warrior'). In other words: art is war, art is a battle ("Kunst war ein Krieg, ein aufreibender Kampf") – the latter echoing micrometaphor (2). As a soldier-artist, he has "gedient" (11), a word that indicates military service. The artist's service is in fact already hinted at in earlier chapters as Mann uses the related noun "Dienst" on several occasions – see examples (1), (8) and (9) – when describing Aschenbach's daily work as a writer. Example (14) focuses on poets rather than all artists, labelling them as "Helden" ('heroes', possibly indicating 'Kriegshelden'/'war heroes') and again as "Kriegsleute" (literally 'war people').

The megametaphor may be interpreted further: if the underlying concept is ART IS WAR, then THE ARTIST IS A WARRIOR, or more specifically Aschenbach, the artist, is a warrior fighting a war. Using this interpretation, we may find additional elements in the text (see Table 5.8): in the first chapter, Aschenbach sees a strange figure, with which he engages in a battle of sorts (examples 15 and 16). The stranger looks back at him, "so *kriegerisch*, so gerade ins Auge hinein, so offenkundig gesonnen, die Sache aufs Äußerste zu treiben, und den Blick des andern *zum Abzug zu zwingen*" (my emphasis). The man is generally considered as the first of several figures foreshadowing the protagonist's eventual death (see Reed 398). When Aschenbach averts his eyes before the stranger does, the moment is indicative of the character's ultimate downfall in pursuit of perfect beauty through Tadzio – i.e. the artist losing the battle. In Chapter 2, Mann observes that the protagonist's outward physical appearance has been affected by his art as he writes as if experiencing the situations himself. Both examples given to illustrate this idea relate to war: Aschenbach has recorded "die blitzenden Repliken des Gesprächs zwischen Voltaire und dem Könige über den Krieg" and his eyes have seen "das blutige Inferno der Lazarette des Siebenjährigen Krieges". In Chapter 3, when Aschenbach decides that his first choice of holiday destination does not suit him, he returns to a "Kriegshafen" to depart to Venice from there – as if leaving for war. When the boat ships into Venice itself, the travellers are greeted by "militärischen Hornsignalen, die aus der Gegend

der öffentlichen Gärten her über das Wasser klangen" and "exerzierenden Bersaglieri" (rifleman of the Italian army). Aschenbach thus has arrived to fight a war – a war for his art. The war is closely related to Aschenbach's state of wellbeing as the artist's defeat ultimately comes as he succumbs to illness.[112] In example (22), this illness is described as a spectre that "möchte von dort aus und zu Lande seinen *Einzug halten*" (my emphasis), with Mann using a phrase that signals the invasion of a territory.

Table 5.8 Additional micrometaphors composing the megametaphor ART IS WAR

(15) + (16) "daß jener seinen Blick erwiderte und zwar <u>so kriegerisch</u>, so gerade ins Auge hinein, so offenkundig gesonnen, die Sache aufs Äußerste zu treiben, und den Blick des andern <u>zum Abzug zu zwingen</u>" (Ch. 1)
(17) "Hinter dieser Stirn waren die blitzenden Repliken des Gesprächs zwischen Voltaire und dem Könige über den <u>Krieg</u> geboren" (Ch. 2)
(18) "diese Augen, müde und tief durch die Gläser blickend, hatten <u>das blutige Inferno der Lazarette des Siebenjährigen Krieges</u> gesehen" (Ch. 2)
(19) "Anderthalb Wochen nach seiner Ankunft auf der Insel trug ein geschwindes Motorboot ihn und sein Gepäck in dunstiger Frühe über die Wasser in den <u>Kriegshafen</u> zurück, und er ging dort nur an Land, um sogleich über einen Brettersteg das feuchte Verdeck eines Schiffes zu beschreiten, das unter Dampf zur Fahrt nach Venedig lag." (Ch. 3)
(20) + (21) "Die jungen Polesaner, patriotisch angezogen auch wohl von <u>den militärischen Hornsignalen</u>, die aus der Gegend der öffentlichen Gärten her über das Wasser klangen, waren auf Deck gekommen und, vom Asti begeistert, brachten sie Lebehochs auf die drüben <u>exerzierenden Bersaglieri</u> aus." (Ch. 3)
(22) "das Gespenst möchte von dort aus und zu Lande seinen <u>Einzug halten</u>" (Ch. 5)

The micrometaphors that compose the two megametaphors are spread throughout the novella. Although they sometimes cluster together and are used within the same sentence or within a few sentences of each other, several appear on their own. A

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[112] With the link between art, war and wellbeing, it is interesting to note that one of the master metaphors named by Lakoff, Espenson, and Schwartz is TREATING ILLNESS IS FIGHTING A WAR (176).

small number of the micrometaphors listed are similes. While this is an appropriate categorisation when considering these items by themselves in terms of the form they take (a comparison with an explicit marker), on another, text-wide level they also function as micrometaphors: they link to other rhetorical devices and compose, together with these, the two identified megametaphors of *Der Tod in Venedig*.

Another aspect that is important to note is that the micrometaphors that form Tadzio Is a (Divine) Work of Art and Art Is War are, in some cases, linguistically conventional, in others, creative. The study's original intention was to focus exclusively on creative metaphors, and these metaphors were identified first in the text. When it became apparent that some of the creative items shared an underlying concept, the novella was investigated further to determine – both by examining the whole text manually as well as scanning the WST wordlist for potentially related keywords – all the relevant micrometaphors. While thus not all micrometaphors are linguistically creative, the fact that they connect to form, in this case, two novel megametaphors, makes for another type of creative language usage that arises only when the text as a whole is considered. This type of linguistic creativity was not anticipated and, indeed, it challenges the observation made previously in section 5.2.1.4 (see page 217) that the combination of creative/conventional is not possible, for a megametaphor constitutes the underlying conceptual mapping realised by the various micrometaphors. Thus, so long as both creative and conventional micrometaphors are present, some of the individual components of megametaphor are in fact examples of creative/conventional combinations.

Micrometaphors, particularly those that consist of a single word only that has become so conventionalised that its metaphorical origin is no longer apparent, can easily be missed. Similarly, even if some micrometaphors are noticed, their underlying megametaphors may never become apparent to readers, particularly the more obscure and dispersed they are throughout a text. Considering this, it is well possible that more megametaphors are present in *Der Tod in Venedig*. The two

examples provided here also illustrate that some megametaphors may be more pervasive than others. While TADZIO IS A (DIVINE) WORK OF ART may be considered a major megametaphor that is closely connected to one of the novella's themes and systematically developed, ART IS WAR is somewhat more minor.

5.5.1.3 Allusive metaphors

Finally, another notable feature of Mann's metaphors is the use of allusion, with examples being listed in Table 5.9. As with the allusive similes discussed in Chapter 4, references to Greek mythology are prevalent. It needs to be noted that not every reference to Greek mythology has been included: some of Aschenbach's brief utterances ("Nun kleiner Phääke!" or "Dir aber rat ich Kritobolus", both in Ch. 3) are too insubstantial as, unlike with the examples that follow, readers cannot process them as metaphors unless they are familiar with the original myths as the textual material surrounding them does not offer sufficient metaphorical ground.

Table 5.9 Allusive metaphors in *Der Tod in Venedig*

(1) "[du] mich hinterrücks mit einem Ruderschlage ins Haus des Aides schickst" (Ch. 3)
(2) "ruhte die Blüte des Hauptes in unvergleichlichem Liebreiz, das Haupt des Eros" (Ch. 3)
(3) "Nun lenkte Tag für Tag der Gott mit den hitzigen Wangen nackend sein gluthauchendes Viergespann durch die Räume des Himmels, und sein gelbes Gelöck flatterte im zugleich ausstürmenden Ostwind." (Ch. 4)
(4) "als sei er entrückt ins elysische Land, an die Grenzen der Erde, wo leichtestes Leben den Menschen beschert ist, wo nicht Schnee ist Winter, noch Sturm und strömender Regen, sondern immer sanft kühlenden Anhauch Okeanos aufsteigen läßt und in seliger Müße die Tage verrinnen, mühelos, kampflos und ganz nur der Sonne und ihren Festen geweiht." (Ch. 4)
(5) "Aber ein Wehen kam, eine beschwingte Kunde von unnahbaren Wohnplätzen, daß Eos sich von der Seite des Gatten erhebe, und jenes erste, süße Erröten der fernsten Himmels- und Meeresstriche geschah, durch welches das Sinnlichwerden der Schöpfung sich anzeigt." (Ch. 4)
(6) "Die Göttin nahte, die Jünglingsentführerin, die den Kleitos, den Kephalos

raubte und dem Neide aller Olympischen trotzend die Liebe des schönen Orion genoß." (Ch. 4)

(7) "Ein Rosenstreuen begann da am Rande der Welt, ein unsäglich holdes Scheinen und Blühen, kindliche Wolken, verklärt, durchleuchtet, schwebten gleich dienenden Amoretten im rosigen, bläulichen Duft, Purpur fiel auf das Meer, das ihn wallend vorwärts zu schwemmen schien, goldene Speere zuckten von unten zur Höhe des Himmels hinauf, der Glanz ward zum Brande, lautlos, mit göttlicher Übergewalt wälzten sich Glut und Brunst und lodernde Flammen herauf, und mit raffenden Hufen stiegen des Bruders heilige Renner über den Erdkreis empor." (Ch. 4)

(8) "Angestrahlt von der Pracht des Gottes saß der Einsam-Wache" (Ch. 4)

(9) "Stärkerer Wind erhob sich, und die Rosse Poseidons liefen, sich bäumend, daher, Stiere auch wohl, dem Bläulichgelockten gehörig, welche mit Brüllen anrennend die Hörner senkten." (Ch. 4)

(10) "Hyakinthos war es, den, er zu sehen glaubte, und der sterben mußte, weil zwei Götter ihn liebten." (Ch. 4)

(11) "Ja, er empfand Zephyrs schmerzenden Neid auf den Nebenbuhler, der des Orakels, des Bogens und der Kithara vergaß, um immer mit dem Schönen zu spielen; er sah die Wurfscheibe, von grausamer Eifersucht gelenkt, das liebliche Haupt treffen, er empfing, erblassend auch er, den geknickten Leib, und die Blume, dem süßen Blute entsprossen, trug die Inschrift seiner unendlichen Klage..." (Ch. 4)

(12) "Es war das Lächeln des Narziß, der sich über das spiegelnde Wasser neigt, jenes tiefe, bezauberte, hingezogene Lächeln, mit dem er nach dem Widerscheine der eigenen Schönheit die Arme streckt, - ein ganz wenig verzerrtes Lächeln, verzerrt von der Aussichtslosigkeit seines Trachtens, die holden Lippen seines Schattens zu küssen, kokett, neugierig und leise gequält, betört und betörend." (Ch. 4)

(13) "daß wir Dichter den Weg der Schönheit nicht gehen können, ohne daß Eros sich zugesellt und sich zum Führer aufwirft" (Ch. 5)

Example (1) describes Aschenbach's journey in a gondola from Venice to the Lido with a highly unpleasant gondolier that he begins to feel fearful of. "Haus des Aides" refers to Aides (also Hades or Pluto), the Greek God of the underworld, a place where dead souls arrive after being ferried over the river Styx, which eternally separates the living from the dead. The allusive metaphor not only expresses Aschenbach's apprehension of the moment, but foreshadows the character's eventual death in the story. Example (2) links Tadzio to the god of love, the beautiful

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Eros (also known as Amor or Cupid in some mythical traditions), who is typically portrayed as either a child or youth. The allusion is both established through the naming, but also through the "Blüte des Hauptes" part of the metaphor, which relates to the more widely used poetic image of the 'flower of youth'. The young god is mischievous: often taking random aim, he shoots individuals with his bow and arrow, instilling in them irresistible love and desire. However, chaos and confusion also result as some of the unions (e.g. between Gods and immortals) are inappropriate – precisely what Aschenbach's experiences from his first encounter with the boy Tadzio. The following metaphor, (3), is not quite as explicit as it does not name the deity but alludes to it with his actions: it is Helios, the God of the sun, who drives a chariot across the sky each day, signalling the cycle of day and night and, in *Der Tod in Venedig*, the sameness of the daily routines during Aschenbach's stay (i.e. the passing of time). The fourth metaphor appears towards the beginning of Chapter 3 of the novella. It is the early days of Aschenbach's stay in Venice; he has only just met the boy Tadzio and no threat of disease is yet present. The sentence names Okeanos, an ocean stream in Greek mythology that circles the world, which is also personified through a Titan god of the same name. Mann alludes to the fact that Okeanos reaches everywhere, i.e. "an die Grenzen der Erde", but possibly also hints at particulars of the deity with "kampflos" as the god does not participate in the Titans' war with the Olympians. Examples (5), (6) and (7) are all part of a larger metaphor extending over multiple lines and referring to Eos, the Goddess of the dawn, and describe the day as it is breaking. According to Greek mythology, Eos rises (echoed in Mann's "sich ... erhebe") every morning from her dwelling by the oceanside, opening the gates of heaven for the sun to pass through. She is typically depicted – for example, both in Homer's *Iliad* and *Odyssey* – as "rosy-fingered" (ῥοδοδάκτυλος, rhododáktylos), something that the "Rosenstreuen" metaphor creatively visualises both through the image of strewing roses as well as the further details about colourful transformation of the sky. Eos also is cursed with insatiable sexual desire which leads her, as hinted at with "Jünglingsentführerin", to abduct several young and beautiful youths, named in (6) as Kleitos, Kephalos and Orion but

also the husband ("Gatten") mentioned in (5), that is Tithonos. Example (8) follows closely as Eos is relieved by her brother Helios (already mentioned in (7) with "des Bruders heilige Renner"), the full daylight he brings being alluded to as Aschenbach sits "[a]ngestrahlt von der Pracht des Gottes". In example (9) the high waves are imagined as the untamed horses ("Rosse") and bulls ("Stiere") of Poseidon, who is both the God of the sea and of horses and also referenced through "Bläulichgelockten". The subsequent metaphor in (10) and (11), meanwhile, compares Tadzio, whom Aschenbach is watching play ball with other children on the beach, to Hyakinthos, a hero in Greek mythology. Two deities, Apollo (among other things, the God of archery)[113] and Zephyr (the God of the west wind), are enamoured of the beautiful youth, but it is the former that Hyakinthos himself favours. As Mann indicates with "der sterben mußte, weil zwei Götter ihn liebten", Hyakinthos's end is tragic. When Apollo and Zephyr play a game of discus, he is struck and mortally wounded by the disk – thrown by Apollo and, in a fit of jealousy ("schmerzende Neid des Nebenbuhler", "von grausamer Eifersucht gelenkt"), blown off course by Zephyr. The final parts of Mann's allusive metaphor ("den geknickten Leib, und die Blume, dem süßen Blute entsprossen") are important. They do not only relate Hyakinthos's fate in the myth – Apollo makes a flower, a hyacinth, out of his dead lover's blood – but also link back to (2) where Tadzio's head is described as a flower blossom ("Blüte des Hauptes"). "Narziß" in (12) alludes to another beautiful figure from Greek mythology. Narziß becomes infatuated with his own reflection in a water pool and, unable to tear himself away from the image, drowns. In many versions of the myth (e.g. Ovid's *Metamorphoses*), Narziß's drowning is an act of suicide, committed when he realises that his desire can never be fulfilled. Mann emphasises the impossibility of the love ever coming to fruition with "Aussichtslosigkeit seines Trachtens", which could be interpreted as foreshadowing Aschenbach's doomed romantic feelings. However, it is another aspect of the story,

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[113] Apollo is later also linked with the already mentioned Helios, although the myth of Hyacinth generally seems to name him as the lover of Apollo.

which is not verbalised by Mann but will only be known to those readers familiar with the original myth, that tells us of Aschenbach's fate: Narziß finds himself by the water after having been lured there by Nemesis, the Goddess of revenge, who is intent on punishing the proud youth for rejecting his suitors. Although the suitors vary in different versions of the myth (in *Metamorphoses* it is the nymph Echo), they have one thing in common: that those that cannot help but fall in love with Narziß are doomed to have their heart broken – as is Aschenbach's eventual fate. Example (13) again mentions Eros, identified as someone who leads ("Führer") artists in their pursuit of ideal beauty when creating works of art: ideal beauty (which artists seek) and love are thus inseparable as the artist cannot create if not driven by love, an idea that is central to *Der Tod in Venedig*.

Mann's allusive metaphors are among some of the richest in the novella, as they come embedded in complex sentences extending over several lines, link across the text and feature other forms of linguistic creativity, including those discussed in the preceding chapters (neologisms and similes). While the allusive elements – in these cases often whole stories from an intricate mythology – are not original to Mann, it is his particular usage and linguistic realisation that makes them creative. They demonstrate this creativity in terms of the actual wording and integration into the narrative of *Der Tod in Venedig* as they enhance the story and its characters by providing additional, often rather subtle layers of meaning for those familiar with the source myths, e.g. the allusion to "Haus des Aides" immediately signals that once Aschenbach crosses over to the Lido in the gondola he is doomed as one cannot return from the underworld once one crosses the Styx. Unsurprisingly, Aschenbach's attempts to leave Venice (towards the end of Chapter 3 and at the conclusion of the story) fail. The comparisons of Tadzio to the respective myths of Hyakinthos and Narziß also foretell that the love between Aschenbach and the boy will see no happy ending. Although Tadzio (unlike Hyakinthos and Narziß) survives, Aschenbach does not. The allusive metaphors also provide a creative re-imagining

of the original material, such as when Mann visualises the rosy fingers of the goddess of the dawn as a strewing of roses.

Overall, allusive metaphors are present in *Der Tod in Venedig* in significant numbers and play an important role, even more so if one considers them together with similes and other, non-metaphorical allusions. While some offer little details – examples (2) and (13) – , many notably develop the grounds, indeed, of all of the creative metaphors used by Mann, allusive ones are particularly complex and extensive, sometimes spanning several sentences. Interestingly, examples (3) – (12) appear within close proximity of each other in the opening pages of the novella's fourth chapter.

The different types of metaphors used by Mann have some distinctive characteristics that determine their creativity, something that also needs to be taken into account when assessing them in translation. In addition to questions given in 5.4.2, we must also ask the following:

(1) Metaphors clusters: How is the relationship between the various parts of the metaphor cluster rendered in translation? Are existing links, particularly if they involve a mixture of creative and conventional components, preserved?

(2) Megametaphors: Does the megametaphor itself remain present in each English *Venice*? Are the micrometaphors that form the megametaphor preserved and in what manner? Are any omitted or independently added, potentially contributing to either a weakening or a strengthening of the megametaphor?

(3) Allusive metaphors: Does the allusion remain present in the TT? Do translators use explicitation?

5.5.2   ST Metaphors in translation

As with similes, the English translators of *Der Tod in Venedig* generally preserve creative metaphors. While the exact rate of preservation was not calculated as the study did not comprehensively explore creative metaphors but worked on the basis of a select list of items, the tendency to render the rhetorical form in translation is – at least for these examples – nonetheless apparent.

5.5.2.1   Single creative metaphors

For the most part single creative metaphors are preserved in translation with the novel relationship between the tenor and vehicle intact. However, in the examples analysed, it was not uncommon for at least one of the translators to omit the metaphor, usually by rendering the meaning in a more literal manner (i.e. explicitation). The highest number of removals occurs with example (2), "die Lichter eines kauernden Tigers funkeln", where the metaphor is uniformly eliminated in all TTs as "Lichter" ('lights') is replaced with "eyes", e.g. "the eyes of a crouching tiger gleamed" (Lowe-Porter) and "the glint from the eyes of a crouching tiger" (Chase). In the case of "Sonntagskind" four versions use non-metaphorical translations with "Things could not ... have fallen out more luckily" (Lowe-Porter), "could not have turned out more luckily" (Burke 2), "could not have come at more opportune time" (Chase) and "could not have been more timely" (Doege). In most other instances the original metaphor is excised by only one translator: "ein Unwetter zorniger Verachtung sein Gesicht überzog" becomes "distorted his features in a spasm of angry disgust" (Lowe-Porter) and "fürchterliche Gewitter am Abend das Licht des Hauses löschten" turns into "the power outages in the house after the violent evening storm" (Chase). Example (13), "geleugnet und vertuscht fraß das Sterben in der Enge der Gassen um sich" is also interesting. Appelbaum eliminates the creative metaphor by substituting a more conventionalised one ("death flourished in the narrow lanes"), but Doege presents another tactic entirely: he leaves more than half of the sentence that the original

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metaphor is embedded in untranslated, including the part containing the metaphor itself, with only a trace of "Sterben" being found in "Meat, vegetables and milk contributed to more *deaths*" (my emphasis).[114] A different kind of approach is also seen with "zu Lande auf den Bahnhof in Venedig anlagen, einen Palast durch eine Hintertür betreten heiße", where the metaphor is replaced by a simile in all TTs, although the particular example raises the question whether "heiße" should not in fact be considered a simile marker, if a rather unusual one.

Linguistic creativity in metaphor, however, extends beyond the question whether the rhetorical device is preserved or not, as the particular aspects that innovate each example must also be considered – as the discussion of some representative examples will show. One particularly inventive metaphor is example (3) (Table 5.10). It has already been noted that it realises a conceptual mapping that is conventional in a linguistically novel manner and that it contains a neologism, "Romanteppich". In Chapter 3 the coinage was identified as an example of a non-hyphenated compound, although not specifically analysed further.

Table 5.10 "Romanteppich" metaphor

Mann	der geduldige Künstler, der in langem Fleiß den figurenreichen, so vielerlei Menschenschicksal im Schatten einer Idee versammelnden Romanteppich, »Maja« mit Namen, wob
Burke 1	the tenacious artist who, after long application, wove rich, varied strands of human destiny together under one single predominating theme in the fictional tapestry known as Maya
Lowe-Porter	the careful, tireless weaver of the richly patterned tapestry entitled Maia, a novel that gathers up the threads of many human destinies in

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[114] The entire ST sentence reads: "Aber wahrscheinlich waren Nahrungsmittel infiziert worden, Gemüse, Fleisch oder Milch, denn geleugnet und vertuscht fraß das Sterben in der Enge der Gäßchen um sich, und die vorzeitig eingefallene Sommerhitze, welche das Wasser der Kanäle laulich erwärmte, war der Verbreitung besonders günstig", reduced to "But the foodstuffs had probably been infected. Meat, vegetables and milk contributed to more deaths and the tepid water of the canals was particularly to blame" by Doege.

	the warp of a single idea
Burke 2	the tenacious artist who, with sustained application, wove rich, varied strands of human destiny together under one single predominating theme in the fictional tapestry known as Maya
Luke	the patient artist who with long toil had woven the great tapestry of the novel called Maya, so rich in characters, gathering so many human destinies together under the shadow of one idea
Koelb	the patient artist who wove together with enduring diligence the novelistic tapestry Maia, a work rich in characters and eminently successful in gathering together many human destinies under the shadow of a single idea
Appelbaum	the patient artist who with untiring industry wove the novelistic tapestry called Maya, with its numerous characters, in which so many human destinies were gathered together to illustrate a grand idea
Neugroschel	he was the patient artist who had devoted so much time and diligence to weaving Maia, the crowded tapestry of a novel that gathers so many human destinies in the service of an idea
Chase	the patient artist and painstaking weaver of that densely populated novelistic tapestry known as Maya, which managed to subordinate so many individual human destinies to a single basic pattern
Heim	the patient artist who in his boundless diligence had woven a rich tapestry of a novel, Maya by name, that brings together myriad human fates in the service of an idea
Doege	the patient artist, who had industriously weaved the tapestry called "Maja", a novel rich in characters that combined so much human fatefulness under the overruling shadow of an idea
Hansen & Hansen	the patient artist whose hours of toil had woven the tapestry of the novel Maya, which had assembled such a multitude of characters and human destinies in the service of an idea;

As seen in Table 5.10, "Romanteppich" is rendered in a similar manner in the English *Venices*. No translator uses a coinage but they either opt for a noun phrase with an adjective modifier (most commonly "novelistic tapestry" or "fictional tapestry") or a possessive noun phrase construction (some version of "tapestry of a novel"), with only Lowe-Porter's "richly patterned tapestry" constituting a more conventional choice in terms of Sinclair's principles. The preference for "tapestry"

is interesting as it designates a wall hanging, whereas the term used in the original, "Teppich", is more general and signifies 'rug' or 'carpet', raising the question whether the uniformly shared choice is coincidental. The English word also comes with the metaphorical meaning of referring to a complex combination of things or events, while "Teppich" has no such figurative meaning although the related conceptual metaphor of 'weaving stories' arguably does exist. The neologism combines with "wob" as Mann cleverly reinforces the conceptual mapping with this particular choice of verb. While all translators are conscious of the deliberate pairing of "Romanteppich" and "wob", they take different approaches to it. Most significantly, Lowe-Porter and Chase use, in contrast to the other translators, a noun ("weaver") to render "wob", changing the grammatical construction not only of the unit analysed but making a notable alteration within the entire sentence it appears in. This sentence opens the second chapter of the novella and is lengthy as well as complex in its architecture, as Seidlin discussed in his 1947 paper "Stiluntersuchungen zu einem Thomas-Mann-Satz". Seidlin points out that Mann builds the sentence around four carefully selected and hierarchically arranged nouns ("Autor", "Künstler", "Schöpfer" and "Verfasser"), something that the addition of "weaver" significantly alters. [115] The metaphor is also expanded by several translators through some rather creative word choices. Burke (both versions) weaves "varied strands of human destiny", reminding readers that a tapestry (i.e. the novel) is made up of many threads (i.e. the tales of individual people). Lowe-Porter's "threads of many human destinies" achieves the same, but she goes even further as "im Schatten einer Idee" is transformed into "in the warp of a single idea" – "warp" being a specialised weaving term signifying "the threads of a loom over and under which other threads (the weft) are passed to make cloth" (*Dictionary*). Chase also enhances the metaphor, translating "to a single basic *pattern*" (my emphasis), a more general term that can be used in the context of weaving also.

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[115] For details, refer to Seidlin's paper.

Example (7), "ein Unwetter zorniger Verachtung sein Gesicht überzog", compares Tadzio's feelings of anger and contempt to a storm. Although the metaphor is generally preserved, a slight shift of meaning occurs through the translators' word choice as "Unwetter" becomes either "cloud" (Burke 1, Burke 2) or "storm cloud"/"storm-cloud" (Koelb, Chase, Heim; Appelbaum, Hansen & Hansen). Only Luke and Neugroschel opt for "storm" and Doege for "tempest". Another element of linguistic creativity in the ST metaphor is Mann's use of wordplay with "Unwetter ... überzog", which alters the more usual phrase 'ein Gewitter/ein Unwetter zieht auf'. This innovation is absent in most TTs, which use more general verb phrases like "pass over" (Burke 1, Burke 2), "crossed" (Koelb), "covered" (Appelbaum), "passed across" (Chase) and "came over" (Heim, Hansen & Hansen). Luke and Neugroschel are somewhat more playful, at least choosing words that are specifically associated with bad weather, the former translating with a collocate ("the storm ... gathered") and the latter invoking strong winds with "swept across". Doege offers the most distinct solution by describing Tadzio's face as "clouded ... by a tempest".

Example (8) appears to involve a neologism at first glance, but is actually an established word that refers to a person born on a Sunday, something that, according to folklore, makes them especially lucky. The metaphor describes the situation of Aschenbach's attempt to leave Venice being thwarted, something he secretly delights in and considers a stroke of luck – one like only *Sonntagskinder* experience. The linguistic realisation of the metaphor does not provide much detail but relies heavily on the meaning behind "Sonntagskind". As noted, several translations are non-metaphorical, while the rest seek a term that fills the role of "Sonntagskind" as the vehicle. Appelbaum's "a Sunday's child" is a literal rendition, but the original meaning is lost on English speakers. Other attempts include "a child of destiny" (Burke 1), "man born under a lucky star" (Luke), "the luckiest person in the world" (Koelb), "a lucky devil" (Neugroschel), "the luckiest of men" (Heim) and "luckier devil" (Hansen & Hansen), with the use of prefabricated expressions and explicitation making for a linguistically more conventional rendition in most TTs.

Burke 1's version also does not have the same, positive connotations as that of "Sonntagskind" ('destiny' can hold both good and bad things in store) while, as already indicated, the other four directly verbalise the element of good fortune in comparison to the original term.

The inclusion of Example (14), "am Narrenseil geleitet von der Passion", on the list of creative metaphors could be challenged. Strictly speaking, it is derived from an outdated expression, 'jemanden am Narrenseile führen' meaning 'to make a fool of someone'. This was not noticed initially and, judging by the creativity demonstrated in some of the English versions, several translators were equally unaware, the example serving as a reminder how subjective the experience of creativity can be. Burke 1 and 2 translate fairly conventionally with "led meekly by his passion", as do Doege ("goaded by his passion") and Hansen & Hansen ("strung along by passion"). The remaining translators, however, are linguistically much more playful. Lowe-Porter inserts a neologism ("led on the *leading-string* of his own passion and folly"), as does Luke ("helpless in the *leading strings* of his mad desire", both my emphasis). Both Neugroschel and Chase rely on consonance, with the former translating "*pull*ed a*l*ong the *l*udicrous *l*eash of *p*assion" and the latter "like a *p*upp*e*t on *p*assion's strings" (all my emphasis). The creativity in Chase's version is not limited to the multiple p's, but is furthermore the result of altering the expression 'puppet on a string' into something slightly different. Appelbaum, Koelb and Heim use the same tactic, with all three relying on prefabricated phrases that are altered. Thus Appelbaum relies on 'to make/be a laughingstock of someone', but specifies and, importantly, personifies the cause in "made a laughingstock by passion". Koelb takes '(tied to) someone's apron strings' (with 'mother's apron strings' being a common option) and also uses personification rather than referencing an actual person when translating "tied to the apron strings of his own passion". Heim works with the same expression. Again, personification is utilised, but words are also omitted from ('apron') and added ("inextricably") to the idiom as he writes "tied inextricably to his passion's strings".

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In general, single metaphors are preserved as a rhetorical device, with translations also demonstrating linguistic creativity, sometimes even more so than the ST unit. However, a weakening of novel metaphors is also seen at times through the use of prefabricated language and explicitation, although no clear pattern emerges for any translation in particular.

5.5.2.2 Metaphor clusters

With metaphor clusters, the most interesting creative aspect is whether the linguistic connections between the different parts of the cluster are maintained or not, in particular if those parts are conventional when used in isolation rather than innovative. For example, in (2) Mann links two agricultural terms, "Raubbau" and "Saatfrucht", indicating different stages of in the cultivation of land. The first one, as noted, is a semi-fixed prefab with an open slot, for which several translators substitute their own phrase. In Burke (both versions) Aschenbach "had played havoc with knowledge", using also a prefab with an open slot, while in Appelbaum's translation he "had overexploited knowledge". Chase and Doege shift the metaphor to a different domain with the former writing "*strip-mined* the intellect" and the latter "had ruthlessly *mined* for knowledge" (both my emphasis). The "Saatfrucht" part of the cluster remains in all English *Venices*, each translator offering a slightly different version. Notably, Lowe-Porter's "ground up *her* seed-corn" (my emphasis) links more closely to the first part of the cluster as the female pronoun refers to knowledge ("[die] Erkenntnis") rather than Aschenbach. Several translators enhance the metaphor cluster in a creative manner. Luke's Aschenbach grinds up "the seed-corn of *growth*", Koelb's "milled *flour* from its seed", hinting at the product to follow, which Appelbaum then names directly: "had ground up the seed-corn *for bread*" (all my emphasis).

The *Gespenst* metaphor, (9), "Aber während Europa zitterte, das Gespenst möchte von dort aus und zu Lande seinen Einzug halten", is another characteristic item

where the different parts of the cluster are closely associated. The beginning of the metaphor may allude to the opening line of Marx and Engels's *Manifest der Kommunistischen Partei* (1848), which reads, in German, "Ein Gespenst geht um in Europa – das Gespenst des Kommunismus". The keyword for the allusion, "Gespenst", is commonly translated as "spectre" and retained in this form in all *Venices* but one. Appelbaum's "phantom" is more unusual, but may still allow readers to detect the allusion. By making an illness that threatens the European continent and Venice specifically into this "Gespenst", the metaphor cluster is developed through several parts. It describes the spectre's movements, each associated with specific locations, and through references to its form with "Haupt" and "Maske". The most striking alteration is seen in Doege's translation, which reduces the spectre's six-part movements ("Einzug halten"/"verschleppt"/"aufgetaucht"/"Haupt erhoben"/"Maske gezeigt"/"nicht mehr weichen zu wollen") to only three ("make an entrance"/"had appeared"/"had arrived") and simply lists cities together. His version is thus condensed to "Europe was fearing the specter might make its entrance over land, it had appeared in several Mediterranean ports, spread by Syrian traders, had arrived in Toulon, Malaga, Palermo, and Naples, also in Calabria and Apulia." While Doege still refers to the "spectre", it no longer has a "Haupt" nor a "Maske", thus offering a significantly less detailed and less creative metaphor cluster. The changes are not so radical in the other versions, although Lowe-Porter also removes "eine Maske gezeigt" by attaching Palermo and Naples to "raised its head in Toulon and Malaga". Another type of alteration is seen with both Luke and Chase who turn "Maske gezeigt" into "showing its *face*" (my emphasis). The translation preserves the metaphor and the metaphor cluster but does signify a shift in meaning as a mask *hides* the features of the spectre, while a face *reveals* them. The difference – although a small detail in the story – is not unimportant as the ST item symbolises the illness's stealthy advancement through Venice: Aschenbach struggles for weeks to discover the truth about the worsening situation in the city. Chase's version is also notable for another reason: it extends the cluster, as Europe thus "watches with fearful *eyes*" and the

spectre is "digging its *heels*" (both my emphasis). The latter is a fixed expression meaning 'to resist or persist stubbornly', but physically visualises the illness in the form of a human-like spectre, possessing, in Chase's translation, a head, a face, and heels (i.e. feet). While the expression itself is conventional, in combination with the other parts of the cluster it becomes creative. The "eyes" are ascribed to Europe, but also fit into this set of body-related words.

Example (6) is illustrative of several metaphor pairs. Each part – set up syntactically parallel and each with a clause-first "noch" – demonstrates creativity in a different manner. The first metaphor, "Noch lagen Himmel, Erde und Meer in geisterhaft glasiger Dämmerblässe" contains a neologism ("Dämmerblässe") and also uses alliteration ("geisterhaft glasiger"). The second, "noch schwamm ein vergehender Stern im Wesenlosen", relies on personification and also uses an abstract, nominalised term with "Wesenlosen" – although the process of nominalisation is too productive in German to consider the item a neologism. The "Dämmerblässe" coinage is not preserved in any of the TTs as it is normalised with "twilight" (Burke 1, Burke 2), "pallor of dawn" (Lowe-Porter, Koelb, Appelbaum, Heim), "paleness of ... twilight" (Luke), "pallor of daybreak" (Neugroschel), "a ... pale" (Chase), "paleness" (Doege) and "half-light" (Hansen & Hansen), with several of the translations losing either the "Dämmer-" or the "-blässe" part. The alliteration "geisterhaft glasiger" meanwhile survives in nearly all instances, although some translators separate the word pair by inserting other lexical items in between (e.g. Luke's "*glassy* paleness of the *ghostly* twilight") and Hansen & Hansen substitute a different phoneme and rely on consonance rather than pure alliteration ("in ghost*l*y *l*ustrous half-*l*ight", all my emphasis). Only Doege uses no alliteration with the adjective pair, leaving "geisterhaft" completely untranslated in "The sky, the earth and the ocean were lying still in glassy paleness". The second part, "noch schwamm ein vergehender Stern im Wesenlosen", sees some shifts in translation that slightly alter the meaning, although the metaphor is generally retained. Few render "schwamm" literally: although Lowe-Porter writes "swam", most others opt for a

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form of 'float' (Burke 1 and 2, Luke, Koelb, Neugroschel, Chase), "drifted" (Appelbaum) or "hovered" (Heim, Hansen & Hansen). Notably, Doege removes the metaphor, replacing it with a more conventional phrase: "a lone star was still twinkling". The "im Wesenlosen" poses a challenge for translators due to the nominalisation of a rather abstract word. While several choose a simple noun ("void" is used by Luke, Chase and Hansen & Hansen; "unreality" by Neugroschel; "nothingness" by Doege), slight explicitation is also seen with "emptiness of space" (Burke 1, Burke 2), "shadowy vast" (Lowe-Porter), "insubstantial distance" (Koelb), "featureless heavens" (Appelbaum) and "insubstantial heavens" (Heim), resulting in some cases in notable meaning changes – e.g. Lowe-Porter focuses, with "shadowy", on the lack of light rather than the absence of material substance indicated through 'wesenlos'. The parallel structure is employed also in translation, with matching verb tenses and a repetition of "noch" generally remaining. The only exceptions are Lowe-Porter, who uses "yet" for one metaphor and "still" for the other, as well as Chase and Hansen & Hansen who omit "noch" in one instance each, altering Mann's deliberate structuring. The placement of "noch" in the metaphors is at the beginning of each clause, a slightly marked and more poetic choice than the more ordinary alternative of "Himmel, Erde und Meer lagen noch in Dämmerblässe". A clause-initial placement is also possible in English, but significantly more marked. Unsurprisingly, all the translators opt to move it to a more neutral position.

Metaphor clusters take a range of forms, both in the ST and in the various translations of *Der Tod in Venedig*. Their creativity arises through different kinds of innovations – semantic linking, coinages, alliteration, et cetera – and includes at times parts that are linguistically conventional but that become creative in association with other parts of the cluster. Metaphor clusters are mostly preserved as a rhetorical device, however, they do see modifications in translation in terms of meaning and form. In some instances these modifications result in the weakening of the cluster and its creativity, in others the metaphor is enhanced through the alterations. Although only a handful of examples have been discussed, they are

illustrative of the diversity seen in metaphor clusters. They demonstrate a lack of clear patterns in the translations as there is no predominant way of rendering metaphor clusters, nor does any one translator show distinct preferences.

5.5.2.3 Megametaphors

The micrometaphors that compose the megametaphors TADZIO IS A (DIVINE) WORK OF ART and ART IS WAR are mostly preserved in the different *Venice* translations. On multiple occasions, micrometaphors remain in all TTs, while there is no instance where all translators remove them. There are, however, some examples that see significant numbers of the micrometaphor eliminated: with TADZIO IS A (DIVINE) WORK OF ART "zeichneten sich ... ab" is omitted ten times, "aufreibender Kampf" and "Einzug halten" eight and "brachte ... der Kunst zum Opfer" seven, while with the latter megametaphor it is "ließ ... vom Angriff ab" (seven times), "Dienst des Alltags" (six), "erneuernden Kampf" (six) and "Handstreich" (five). Removal of the micrometaphor by less than five TTs also occurs. In general, it appears to be more common when the micrometaphor takes the form of a lexical item whose metaphorical meaning has been conventionalised (i.e. Goatly's sleeping or tired metaphors) or when prefabricated phrases are used. Some representative examples: two micrometaphors ("täglich erneuernde Kampf", "aufreibende Kampf") use the word "Kampf", whose original meaning is "Auseinandersetzung größeren Ausmaßes zwischen militärischen Gegnern, feindlichen Kräften", but its figurative one is "Einsatz aller Kräfte, um einer Sache Einhalt zu gebieten oder um etw. zu verwirklichen" (both "DWDS"). With "täglich erneuernde Kampf" six translators use "struggle", four "battle" and one "conflict", the micrometaphor only being preserved in the latter two cases. With "aufreibender Kampf", translational choices are similar: eight TTs use "struggle" and three "battle". In the micrometaphor "ließ ... vom Angriff ab", "Angriff" refers to "feindlicher Vorstoß, Überfall" ("DWDS") as in a battle during war, but only four TTs preserve this link with "retire ... from the *attack*", "gave up the *assault*", "abandoned the *assault*" and "aborted the *attack*" (all

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my emphasis), with others translating "gave up" (two TTs), "abandoned the attempt", "broke off the effort", "giving up", "renounce the effort" and "had ... given up". "Sieg" has a literal meaning of "durch die völlige Bezwingung des Gegners erreichter erfolgreicher Ausgang eines Kampfes – mit einem militärischen Gegner" ("DWDS") but is used metaphorically as the "Gegner" becomes an abstract concept – "Moralität". In translation we find "effectiveness" (twice) as well as "triumph" (four times) and "victory" (five times), with the latter two expressing the ART IS WAR megametaphor. The micrometaphorical element linking to TADZIO IS A (DIVINE) WORK OF ART in "[s]eine ebenmäßigen Brauen zeichneten sich schärfer ab" derives from "abzeichnen" ("etw., jmdn. genau nach dem Vorbild zeichnen", "DWDS") but is used in the now conventionalised form of "sich abzeichnen" meaning "in Umrissen sichtbar werden, sich andeuten" ("DWDS") and translated as "stood out" (three times), "showed up" and "were" (each twice) as well as "delicately drawn", "showed", "emerged" and "looked" (all once). Only Lowe-Porter's "delicately drawn" composes that megametaphor in translation. Finally, there is "Handstreich", a military-related term meaning "Aktion, bei der ein Gegner in einem blitzartigen Überfall überrumpelt wird" (*Dictionary*) which can be used figuratively off the battlefield. In the case of *Der Tod in Venedig*, Aschenbach attacks his writer's block in such a manner; in translation we find "attack" (two times), "surprise attack" (2), "coup de main" (2) but also "bold stroke", "stroke of genius", "legerdemain" and "stroke of the pen".

Prefabricated, often idiomatic, phrases that lose their micrometaphor status in several TTs include "etwas zum Opfer darbringen" (meaning: "zugunsten eines andern, einer Sache etwas Wertvolles hingeben, wenn es auch nicht leichtfällt", definition from "Duden"), "den Bogen überspannen" ("es zu weit treiben; es übertreiben; zu weit gehen", "Duden") and "zum Abzug zwingen"[116] (to force

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[116] 'Zum Abzug zwingen' is a semi-prefabricated phrase, in which 'zwingen' may be substituted by a number of other words ('bringen', 'veranlassen', 'verpflichten', 'bewegen', et cetera).

someone to give up). The first prefab, used in "brachte dann ... die Kräfte ... der Kunst zum Opfer dar", maintains the idea of art as something divine in most target texts through translations such as "sacrifice to art" or "sacrifice on the altar of art", but is also rendered as "pay out to his art" and "expend on his art". "Bow", "draw the bow", "pull the bowstring" are used for rendering "[a]ber verständig schien es, den Bogen nicht zu überspannen" but some TTs eliminate the micrometaphor by translating "not to exaggerate" (two times), "not to go too far in the other direction" and "not to overdo it". Similarly "den Blick des andern zum Abzug zu zwingen" alludes to war with "capitulate", "retreat" and "withdraw", although three texts simply use "avert his eyes", one "avert his gaze" and another "outstare". Meanwhile, when Mann describes his characters and the events occurring literally, the micrometaphorical element is more likely to be preserved as translators then use a literal approach themselves. This can be seen when Aschenbach describes concrete things he notices during his journey ("militärische Hornsignale", "exerzierenden Bersaglieri", "Kriegshafen") and what he has written about ("Gespräch über den Krieg", "Siebenjährigen Krieg").

Compensation is minimal. There is only a single TT micrometaphor that has been added independently of the ST, as "Abenteurer des Gefühles" – used to characterise poets – turns into "disreputable *soldiers* of emotional fortune" (my emphasis) in Chase's translation. As the description does come several sentences after another ART IS WAR micrometaphor (example (13), which compares "Dichter" to "Kriegsleute"), it is possible that this factor may have influenced Chase, but it is nonetheless notable that "soldiers" stands in contrast to the nearly uniform choice of "adventurers" by all other translators except Lowe-Porter.[117] Translators, however, do occasionally enhance micrometaphors that feature in the ST: "*blitzenden Repliken des Gesprächs* zwischen Voltaire und dem Könige über den Krieg" (my

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[117] Lowe-Porter's translation is distinctive also, relying on the archaic phrase 'must needs do something': "We must needs be wanton, must needs rove at large in the realm of feeling".

emphasis) becomes "rapid-fire dialogue" (Neugroschel), reminding of continuous gun shots. In another example, "brachte ... der Kunst zum Opfer dar", the micrometaphor is intensified by several translators who stress the religious element in the TADZIO IS A (DIVINE) WORK OF ART. In the same sentence, Lowe-Porter translates "hours of almost religious fervour" for "insbrünstig gewissenhaften Morgenstunden"; Koelb and Appelbaum do not only sacrifice, but do so on the "*altar* of art", while Heim also uses two words ("*consecrate* two or three *devoutly* conscientious hours", all my emphasis) to establish the religious connection. Mann writes of the "Alltagsstätte eines starren, kalten und leidenschaftlichen Dienstes", which he refers to in the subsequent sentence with the pronoun "ihn", something two translators render as "service" and three as "duty", essentially repeating the micrometaphor.

While micrometaphors are preserved more often than removed, they do see changes in meaning. The TADZIO IS A (DIVINE) WORK OF ART megametaphor portrays Tadzio specifically as a sculpture on a number of occasions, but translations, although still expressing links to a WORK OF ART, utilise hypernyms and items from the same lexical set. "Bildwerk" appears on three separate occasions in *Der Tod in Venedig* and is translated not only as "sculpture" or "statue", but also "work of art", "creation(s)", "masterpiece", "image", "modelings" and "picture(s)". Most of these choices are seen with several translators. The translations "sculptural vividness of his descriptions" and "verbal sculptures" are also used, still linking to the "Bildwerk" but explicitly applying it as a quality to Aschenbach's writing. Another example is "Bildsäule", a very specific kind of sculpture, which is translated as "image", a much more general term for a work of art, and "Standbild" (either a statue or a standing photograph) also turns into "image" and "icon", the latter, more specific one coming with religious connotations.

On the whole, the TTs see some weakening of the megametaphors through translational choices that no longer verbalise individual micrometaphors, but more

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often demonstrate slight shifts in meaning. Compensation through independently added micrometaphors and/or intensification of existing ST micrometaphors (and thus also the overlying megametaphor) is rare. It is not clear whether any of the *Der Tod in Venedig* translators is in fact aware of either one of the two megametaphors, something that is, however, not surprising. As megametaphors typically run through a text without surfacing, the micrometaphors that manifest them are easily missed: they take, as the examples discussed illustrate, varied forms. They can also appear at any point in a text, in some cases distinctly separate from other, connected micrometaphors so that their relationship may be difficult to see. The subliminal messages communicated by the two identified megametaphors TADZIO IS A (DIVINE) WORK OF ART and ART IS WAR are important and offer additional insight into *Der Tod in Venedig*, but they appear in a text that is lexically dense and – as evidenced by the extensive and diverse academic writing on the novella – full of themes and symbolisms.

5.5.2.4   Allusive metaphors

Mann's thirteen allusive metaphors (listed in Table 5.9, p. 255), like his allusive similes, are nearly always preserved in translation. Only in one instance is the allusion removed completely, as, in example (1), "mich hinterrücks mit einem Ruderschlage ins Haus des Aides schickst", Doege makes the meaning eloquently clear with "you ... would kill me with a quick blow of the oar" without referring to the Greek god. Similarly, the rhetorical form of the metaphor is generally kept by the translators, with a simile being substituted in just three cases. With example (2), "die Blüte des Hauptes in unvergleichlichem Liebreiz, das Haupt des Eros", the two-part metaphor that describes Tadzio's head, becomes a simile in two TTs: Lowe-Porter writes "the head was poised like a flower", while Luke translates "like a flower in bloom, his head". The second part ("Haupt des Eros"), however, retains its metaphorical form in all versions. Meanwhile, Koelb uses a simile to transform another example (10), "Hyakinthos war es, den, er zu sehen glaubte, und der sterben

mußte, weil zwei Götter ihn liebten", into "it was as if he were watching Hyacinthos, who had to die because two gods loved him".

Explicitation with regards to the allusive elements in the metaphors is seen, like with similes, on occasion, although when it is used, it is generally by several translators and for the same metaphors. Example (7) is a complex metaphor that not only links other metaphors (3, 5, 6, 8 and 9), but contains several components itself, including an allusive simile ("Amoretten"). Mann's metaphorical "golden Speere zuckten" becomes "golden rays shot" in Hansen & Hansen, describing sunrise more literally through "rays" but also indicating – although still somewhat indirectly – that the allusion is to the sun god. The reference becomes clearer with some translations of "des Bruder's heilige Renner" right after, Lowe-Porter specifying "steeds of the *sun-god*" and Koelb "the brother-*god*'s sacred chargers", while Luke and Chase even give a name with "steeds of the *goddess's* brother *Helios*" and "coursers of brother *Apollo*" (all my emphasis). Example (8) has minimal explicitation. Koelb uses "splendor of the god's rays" for "Pracht des Gottes", with "rays" linking to the sun. Doege's "let his eyelids be kissed by the *Sun*" (my emphasis) for "ließ von der Glorie seine Lider küssen" is even more direct. Example (9) uses "Bläulichgelockten", a term that alludes to Poseidon and seems like a neologism but, as established previously (see p. 114), is in fact not original to Mann. However, a significant number of the TTs opt for a more explanatory translation, which is usually fluent, but in a few cases also involves basic hyphenated compound coinages. Thus, "blue-locked god" (Burke 1 and Burke 2), "blue-haired sea-god" (Luke), "god with the blue-green locks" (Koelb), "blue-haired god" (Chase), "blue-curled god" (Heim) and "god" (Doege) all specify that the "Bläulichgelockten" references a deity, with Luke also revealing that it is the god of the sea. Interestingly, except for the two Burke versions, none of the translations render the allusion in exactly the same manner, with some becoming more specific (Koelb interprets the colour as "blue-green", adding a shade), others more general ("Bläulich-" turns a definite "blue" with Burke 1, Burke 2, Luke, Chase, Heim and also Hansen & Hansen, and

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"purpled" with Lowe-Porter). Luke and Chase as well as Hansen & Hansen also change curls into hair, but it is Doege that is most striking: he simply uses "god", removing all details of hair type and colour.

Overall, allusive metaphors demonstrate high preservation rates in translation. They also sometimes see explicitation as identifying details are provided or the Greek deities referenced are named, with some examples becoming more fluent and, if only slightly, less creative.

5.5.2.5   Further observations on the translation of metaphors

5.5.2.5.1   Additions

As with similes, small additions are made to some metaphors in all TTs but particularly in Chase's *Venice*. Some of these are again used for emphasis, such as the addition of "deeply" and "own" in the now alliterative "deeply dubious beauty" (for "verdächtige Schöne") and "to kiss the fair lips of his own shadow" (for "die holden Lippen seines Schattens zu küssen"). In the *Narziß* metaphor, "boy" is added on two occasions, first, in the translation of "das liebliche Haupt treffen" ("strike the boy's adorable head") and then again in "dem süßen Blute entsprossen" ("that bloomed from the boy's sweet blood"), seeing some minor explicitation. In most other instances, the addition of textual material constitutes semantic changes that result in small, but notable shifts of meaning. "Formel seines Lebens" becomes a "*magic* formula for life" while "Saatfrucht" turns into "*promising* seeds". Aschenbach enters Venice "durch die Hintertür", but Chase suggests there are several doors with "through *one of* the back doors". The "dark" in "Pluto's dark domain" (for "Haus des Aides") meanwhile reminds readers – at least those familiar with the myth – that the god rules over the underworld. In "Noch lagen Himmel, Erde und Meer in geisterhaft glasiger Dämmerblässe; noch schwamm ein vergehender Stern im Wesenlosen", both "motionless" and "visible" are added by

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Chase in "Sky, earth and sea lay motionless behind a ghostly, glassy pale; one dying star still floated visible against the void". In the translations of "die Kuppeln und Glockentürme seines Traumes" and "Eos ... erhebe" there are changes other than additions (see 5.5.2.5.4), but Chase also inserts words in these instances, writing "*vividly* dreamt domes and churchbells" and "Eos' *imminent* rise" (my emphasis) respectively. The seemingly straightforward "ein aufreibender Kampf" turns into a much more extended "a *gritty* struggle *full of wear and tear*" (my emphasis), although in this case another translator – Lowe-Porter – also adds a lexical item ("a grilling, exhausting struggle").

5.5.2.5.2 Added neologisms in translated metaphors

The analysis of metaphors reveals some interesting data: it becomes apparent that on several occasions neologisms are added in the translations of specific metaphors independent of the ST. Several translators transform "umnachteten" from "das Murmeln des umnachteten Meeres" into a hyphenated compound. The word, although perhaps rarely used and with no direct equivalent in English, in fact exists in German, with a literal meaning (applicable here) of 'to be surrounded by night' and a metaphorical one of 'to be mentally confused'. Lowe-Porter turns the lexical item into "night-girded" and Luke into "night-surrounded". Koelb, Neugroschel as well as Heim render it as "night-shrouded" and Doege, even more characteristically, as "wine-dark". There are more examples of added neologisms: for "im *rosigen, bläulichen* Duft" (my emphasis) a trio of TTs (Heim, Doege and Hansen & Hansen) uses a hyphenated compound with "rosy-blue", "rosy-bluish" and "rose-blue", while Doege and Hansen & Hansen translate "sich täglich erneuernden Kampf" with the adjective compound "daily-repeating" and "ever-renewing" respectively. Other added neologisms are choices made by individual translators only. For "der Gott mit den *hitzigen Wangen nackend*" Chase uses "bare-skinned" and "fiery-cheeked"; a simple shade of yellow in "gelbes Gelöck" becomes "yellow-gold" in Luke's interpretation, while "seine Haut war *marmorhaft gelblich*" is "marble-yellow" in

Chase's *Venice*; "Viergespann" is turned into "horses, *four-abreast*" (all my emphasis) by Koelb and "Narrenseile" into "leading-string" by Lowe-Porter. While none of the added coinages are particularly striking as many could probably be considered spelling alternatives and all rely on the same type of word formation process of a hyphenated compound word, these ST independent neologisms are notable given the conclusions drawn in Chapter 3.

5.5.2.5.3 Omissions

As with neologisms and similes, omissions are again frequently seen especially in Doege's *Venice* and generally vary between more specific terms being replaced by more general ones and some details being removed from sentences. Other than the omissions already noted in subsections 5.5.2.1 to 5.5.2.4, there are plenty more examples. The allusive metaphor beginning with "als sei *entrückt* ins elysische Land" (my emphasis) sees its opening transformed to "he was in Elysium", with Doege translating with a rather generic "was" in contrast to "lifted", "transported", "snatched", "carried off" and "whisked off" used by the other translators. "Marmormasse" is simplified to "marble", while the *Rosenstreuen* metaphor does not only have, as already mentioned, "Glut und Brunst" removed but "wälzten ... auf" is rendered as "ascended". Doege's version of "während ihr die Schwerter und Speere durch den Leib gehen" is the only one to omit "Leib" ("while it is pierced by swords and spears"). In another instance, Mann's Aschenbach reaches his destination "*zu Lande*, auf den Bahnhof in Venedig" (my emphasis), but Doege just has him "arriving in Venice from the train station". A single word ("sanft") is eliminated from "Aber die besondere Stille der Wasserstadt schien, ihre Stimmen sanft aufzunehmen, zu entkörpern, über der Flut zu zerstreuen". It is not the only change, as "But the peculiar quietude of the city on the sea seemed to absorb and disembody their voices and to disperse them above the water" also replaces "Flut" (high tide) with the more general "the water". Elsewhere, one part of a metaphor cluster becomes "his eyebrows were so heavily wrinkled that they made the eyes

appear sunken in", with no sign of the pressure exerted by the brows in the ST form of "seine Brauen waren so schwer gerunzelt, daß *unter ihren Druck* die Augen eingesunken schienen" (my emphasis). The "Sonntagskind" metaphor has been discussed already in terms of Doege's non-metaphorical "could not have been more timely" that makes no explicit references to "Sonntagskind" at all, but he also cuts "wie er sich sagte" from the example. The allusive metaphor that references Poseidon has two omissions. One part, "die Rosse Poseidons liefen, sich bäumend, daher" becomes "and Poseidon's horses where [sic] galloping along", omitting "sich bäumend", while a later component, "mit Brüllen anrennend die Hörner senkten" is translated as "lowering their horns with a roar", omitting "anrennend". In both cases, it is a present participle that is removed, a grammatical form that in German is often used somewhat differently than in English, suggesting that Doege may have found both "sich bäumend" and "anrennend" challenging to translate, although other TTs all manage to find a solution (e.g. Koelb's "Poseidon's steeds *reared* and ran" and "lowered their horns and bellowed *as they charged*", my emphasis).

While most of Doege's omissions involve no more than a word or two, on occasion more significant alterations are made. One particularly notable example is a micrometaphor, given in shortened form in Table 5.6, that in full reads "brachte dann, ein Paar hoher Wachskerzen in silbernen Leuchtern zu Häupten des Manuskripts, die Kräfte, die er im Schlaf gesammelt, in zwei oder drei inbrünstig gewissenhaften Morgenstunden der Kunst zum Opfer dar". Doege shortens these lines to "then sacrificed the creative impulses he had gathered during his slumber during two or three hours of intensive work in the candlelight", abridging "ein Paar ... Manuskripts" to "in the candlelight" and changing "inbrünstig gewissenhaften Morgenstunden" to a more literal "intensive work" that leaves "gewissenhaften" and any reference to the time of day untranslated. Although not an omission, "Kräfte" is also altered, becoming "creative impulses", with the TT version ultimately having lost much of the detail and bearing little resemblance to Mann's carefully crafted original phrasing.

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5.5.2.5.4 Countertranslations

Patterns of countertranslation can also be found within metaphors, with Chase again standing out. In most instances the countertranslation is the result of grammatical rephrasing, usually through a change in word category, although a few contrasting word choices are also seen. The *Romanteppich* metaphor has already been discussed as an example. In metaphor (6), "die Kuppeln und Glastürme seines Traumes" is translated with a noun, either as "his dreams with" (Koelb) or "of his dreams" (other translators). Chase's version, however, alters the word category, transforming the ST noun into a verb with "dreamt domes and churchbells". The word pair "ihr Entzücken, ihre Hingerissenheit" (metaphor 7) also sees this kind of change. In this case some TTs (Burke 1, Lowe Porter, Burke 2) omit one of the nouns, but most resort to either an 'N, N' construction as in the original (Luke, Koelb, Neugroschel, Heim and Hansen & Hansen). Appelbaum uses "and" instead of a comma and Doege a 'N + of + N' construction. While the latter option also somewhat differs from that of other translators, Doege nonetheless preserves "Entzücken" and "Hingerissenheit" as nouns, unlike Chase, whose 'ADJ + N' ("rapturous delight") alters the word category of "Hingerissenheit". In the translation of "und seine Schritte folgten den Weisungen des Dämons", it is not only Chase that introduces a change in the word category when using "directed by" to render "Weisungen", but also Lowe-Porter ("guided by") and Doege ("dictated by").

Several allusive metaphors also demonstrate countertranslation. Mann writes that "Eos sich von der Seite des Gatten *erhebe*" (example 5 – all my emphasis in this paragraph). The choice of word varies in the TTs, but its category does not: it is rendered as "was arising" (Koelb), "was rising" (Burke 1, Lowe-Porter, Burke 2, Luke, Neugroschel, Heim and Hansen & Hansen), "was leaving" (Appelbaum) or, using the infinitive, "to get up" (Doege). Only Chase's "Eos' imminent rise" substitutes the verb with a noun. A similar pattern emerges further down in the Eos metaphor as "die den Kleitos, den Kephalos *raubte*" sees translations vary in word

choice and tense with "stole" (Burke 1, Burke 2), "stole away" (Lowe-Porter), "carried off" (Luke, Neugroschel, Heim), "had stolen" (Koelb), "abducted" (Appelbaum), "had robbed" (Doege) and "had abducted" (Hansen & Hansen) but it is again Chase that opts for a noun with "the *thief* of Cleitus and Cephalus". A second allusive metaphor with countertranslation is example 7. In this case it is not only Chase who uses grammatical rephrasing. "Rosenstreuen" generally becomes a noun phrase ("a strewing of roses") in all but three TTs, as Neugroschel and Chase both translate "Roses were *strewn*" and Hansen & Hansen, somewhat more poetically, write "Roses *rained down*". A few lines down in the same extended metaphor, "Glanz ward zum Brande" relies on two nouns, as do virtually all translations, although word choices for the nouns and the verbs to translate "ward" vary. Thus there is "splendor caught fire" (Burke 1, Burke 2), "gleam became a glare" (Lowe-Porter), "gleam became a conflagration" (Luke), "glow became a blaze" (Appelbaum), "glistening became a burning" (Neugroschel), "gleam turning to fire" (Heim), "brilliance became a burning" (Doege) and "glow turned to fire" (Hansen & Hansen). The exceptions are Koelb ("brilliance began to burn") and, again, Chase ("radiance igniting"), both using a verb to render "Brande". The same metaphor features another example of countertranslation, in this case only on Chase's part. The adjective in "mit göttlicher Übergewalt" is alternately translated with either "godlike" (Burke 1, Lowe-Porter, Burke 2, Appelbaum, Heim) or "divine" (Luke, Koelb, Neugroschel, Doege, Hansen & Hansen) but nominalised as "superior force of *divinity*" in Chase's *Venice*. Finally, in the metaphor referencing Eros, he converts a verb ("sich zugesellt") to a noun and also alters "sich zum Führer aufwirft", resulting in "with the *accompaniment* and *guidance* of Eros".

Occasionally, countertranslation occurs not through changes in word category but by the word itself. The micrometaphor "Er fand den Abgott nicht bei San Marco" illustrates this well. As seen in Table 5.11, the translations for the phrase are very similar, differing only in Burke's use of a definite article for "seinen", the translators' choice of preposition to render "bei" (either with "on", "at" or "near") and the

addition of "Piazza" to San Marco (or replacement, in the case of Lowe-Porter), with Doege also using an anglicised form ("St. Marks"). The translation that stands apart, however, is Chase, as "Abgott", uniformly rendered as "idol" becomes "demigod" and "fand ... nicht" ("did not find" in all other cases) turns from a negated verb into a negative one ("failed to find").

Table 5.11 Countertranslation in the "Abgott" micrometaphor

	Er fand den Abgott nicht bei San Marco.
Burke 1	He did not find the idol at San Marco.
Lowe-Porter	He did not find his idol on the Piazza.
Burke 2	He did not find the idol at San Marco.
Luke	He did not find his idol at San Marco.
Koelb	He did not find his idol at San Marco.
Appelbaum	He did not find his idol at San Marco.
Neugroschel	He did not find his idol on Piazza di San Marco.
Chase	He failed to find his demigod at the Piazza San Marco.
Heim	He did not find his idol at San Marco.
Doege	He did not find his idol at St Mark's.
Hansen & Hansen	He did not find his idol near San Marco.

In another instance, "zwei Götter" is uniformly rendered "two gods" in all TTs, with only Chase opting for a prefab ("a pair of gods") instead. In a final example, the differing word choice signifies a small shift in meaning: in example 6 Mann describes a star as swimming "im Wesenlosen", as do all the TTs ("in the nothingness", "in the void", "in the unreality", et cetera), yet Chase has it float "*against* the void" (my emphasis).

Countertranslation in creative metaphors is not limited to a single translation, but present in all TTs at some point. However, it is again Chase who stands out most of

all, typically through changes in word category that often affect the sentence structure.

5.6 Concluding remarks on metaphors

In contrast with neologisms and similes, the exploration of creative metaphors from *Der Tod in Venedig* was selective. Only a sample of ST items was studied and, furthermore, independently added TT metaphors were not considered. This was primarily due to two reasons. One, metaphors are much more pervasive than the other selected units of analysis and, two, no suitable automated extraction method exists, at least not for the kind of metaphors that are investigated here and the small as well as rather specialised corpus this project was working with.

A total of eighty-seven metaphors were analysed, including single metaphors as well as metaphor multiples, with the latter involving metaphor clusters and two distinct megametaphors composed of micrometaphors. Interestingly, both metaphor clusters and the megametaphors relied partially on conventional language to realise their linguistic creativity, something Sinclair's open choice principle and idiom principle do not account for as they operate at phrase level only and cannot capture linguistic creativity that arises through cross-textual connections as with these metaphors. Allusive metaphors (either single items or multiples) were also present. As the study did not cover all creative ST metaphors in Mann's novella, no statistical data is available for comparison with neologisms and similes. However, even without calculating preservation rates it was apparent that, at least with the selected metaphors, the general tendency was to also use metaphors in translation.

Again, the creativity of the TT metaphors did not depend solely on the preservation of the device as other factors, some of which were specific to the different metaphor categories, had to be taken into account. These included the tenor/vehicle combination, the use of prefabs and the relationship between individual cluster parts or micrometaphors. Translators generally stay close to the ST metaphors. Metaphors

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that involved conventional components did sometimes see them altered in a manner that resulted in the weakening of their creativity. Similarly, the use of explicitation in the translation of some allusive metaphors also affected, if only slightly, their creativity.

In terms of translator-specific patterns, both the addition and omission of lexical material, mostly minor, again was observed in particular in Chase and Doege respectively, most of which did not enhance linguistic innovation in the metaphors – although there were some exceptions. Chase also countered, often through grammatical rephrasing, the other texts in the corpus in a notable number of instances, demonstrating a different sort of creativity. Finally, the analysis of metaphors also revealed that translators sometimes added neologisms. Although none of these were particularly innovative, their usage is worth noting given, as discussed in Chapter 3, the translators' approaches to ST neologisms.

Chapter 6   Patterns in Retranslation

6.1   Countertranslation as retranslational creativity

The preceding chapters have dealt with linguistic creativity in *Der Tod in Venedig* as well as its English translations via three distinct units of analysis (neologisms, similes and metaphors), which operated at the level of single-word items in the case of neologisms, as multi-word phrases (singular similes and clusters of metaphors, each composed of several words) as well as cross-textually (metaphors in separate locations of a single text but linked linguistically). Although the translators' handling of the rhetorical devices differed for neologisms compared to similes and metaphors, another kind of linguistic creativity – that of countertranslation – emerged with all three. The concept of countertranslation is still a tentative proposal, but merits exploration.

As briefly explained in Chapter 3, countertranslation occurs when, in a bilingual retranslation corpus, a choice in one TT stands apart from that of most or all other texts in the corpus as an element is rendered in a manner that is notably distinct. Countertranslation is an atypical sort of linguistic creativity. Unlike the linguistic creativity that this study set out to examine, which functions within a single text (the ST or one of the TTs) in reference to language as a whole, creativity through countering arises only when multiple, same-language translations of one particular source text are compared with each other. It is a form of *retranslational creativity*, that is, it is specific to extended sets of retranslations.

Countertranslation is independent of the ST (it is not relevant whether the ST form is creative) and requires no wider frame of reference (i.e. language as a whole); it is determined by the other TTs only. This contextual frame for countertranslation must consist of a significant number of texts as translational choices that differ from two or three alternative versions do not yet make for a distinct example of retranslational creativity. A corpus of such limited size only constitutes an emergent set of

retranslations as opposed to a *Kometenschweif* (see also observations made in Chapter 1, page 46). While a few, individual instances of countertranslation are likely to occur in most retranslation corpora and with each translator, retranslational creativity is most interesting when countering becomes recurrent, i.e. when a pattern is evident in a particular TT. However, not every retranslation corpus will necessarily exhibit patterns of countertranslation at any point in time and they may also be difficult to detect, possibly more so the larger a corpus is. When patterns do occur, they are not permanent as retranslational creativity is dynamic: it is determined by the texts that constitute the corpus at a specific moment in time. The publication of another translation of the ST can thus change the situation entirely, either by introducing new instances and/or patterns of countertranslation or eliminating those that were previously present.

Retranslational creativity may be either deliberate or inadvertent. A translator will normally be working on the basis of the source text. In the case of a retranslation, s/he may additionally be familiar with one or more of the other TTs that form part of the *Kometenschweif* and may therefore make choices that deviate from the preceding versions on purpose, something which can result in countertranslation. It has to be said that this scenario does not seem particularly probable, due to a number of reasons. For one, complete sets of retranslations of a source text are not easily acquired, something that is especially true the larger a corpus is and the further it reaches back in time − more so, if any translations were limited editions. Even if translators are able to get hold of the other texts, they also may have neither time nor interest in reading, let alone closely familiarising themselves with the alternate versions, something that conscious countering in translational choices would presuppose. It is, however, more likely that choices are deliberate in part, that is, that a translator will have read one (or possibly several) though not all other versions and proceeds in a manner that contrasts one or more of the other TTs. This scenario may, for example, arise when a text within the retranslational corpus is particularly well known and/or widely distributed, as is the case within TIVC with the Lowe-Porter

version. Her *Venice*, as Michael Cunningham wrote in the "Introduction" to Heim's translation, is "the one with which most of us grew up – the definitive *Death in Venice* for those who can read English but not German" (n.pag.). Such a situation may also exemplify what Edward Balcerzan termed "polemical translation", that is, "an intentional translation in which the translator's operations are directed against another translator's operations that are representative of a different or antagonistic conception" (qtd. in Popovič 21).

Retranslational creativity can also be unplanned and follow from decisions made by a translator without ever having consulted earlier versions or without consciously diverging from them. If countertranslation materialises in such situations, it may instead be the result of factors such as a particular translator's unique stylistic preferences or conventions in translation that exist in one moment in time (i.e. multiple TTs may adhere to them) but not another (a distinct choice may become apparent).

Whether countertranslation is the result of deliberate or partially deliberate choices will normally be difficult to ascertain. Translators often do not explicitly acknowledge the existence of earlier versions and, even when they do, generally provide little information about their degree of familiarity and interaction with these other texts. This observation, as noted in Chapter 1 (see both 2.3.3.1 Factors in retranslation and 2.3.3.2 Relationships with prior translations, pp. 51-53), is also true for TIVC. With the exception of Lowe-Porter's *Death in Venice*, which was criticised by Luke and also named by several others, the translators make little or no mention of the alternative versions. There is also, beyond Luke's declared intent to correct Lowe-Porter's inaccuracies and Koelb's brief words of praise for Luke's rendition, limited indication of either the level of consultation (e.g. awareness of other existing translations, reading one or more other translations or referring to another version during the actual translation process) or the influence the alternative

texts may have had on each translator's own approach (more generally or in terms of particular instances).

There are few texts that are translated again and again into the same language. This observation applies even more so when the source text is of a significant length as extended retranslation corpora are more likely to develop for poems and short stories than novellas or novels. While a second or, occasionally, a third translation may exist for some longer works, such corpora are still too small in size to consider them full-fledged *Kometenschweife*. This reality means that many, if not most, long texts are not suitable for exploring the notion of countertranslation and a text like *Der Tod in Venedig* thus offered, for German-language texts at least, an opportunity for research that comes only infrequently.

6.2   Determining patterns through corpus data

6.2.1   Translator-specific patterns

In TIVC several translators – Doege, Chase and Appelbaum – were noted for choices that were particularly prevalent in their translations. Doege frequently omitted words or short phrases in his *Death in Venice*, whereas in the case of Chase both countertranslation (usually through grammatical rephrasing) and the addition of minor lexical items were evident – tendencies that were visible across the three rhetorical devices analysed. Appelbaum demonstrated a preference only in relation to similes, preserving more than any other translator as well as adding, independent of the ST, his own, if usually very basic similes, in translation. One aspect that is interesting to return to in connection with these translator-specific patterns is the statistical data retrieved via WordSmith Tools, as previously discussed in Chapter 2 (2.5.4).

6.2.1.1 Doege

Doege's corpus data included, at 25,755, the lowest token total of all TTs, with his translation containing between 1630 to 4573 fewer items than the other English *Venices* – a cut of 5.95 to 15.18%.[118] Together with Heim, Doege also had the smallest number of sentences (1,011). Detailed consistency scores too were revealing: Doege's mean score was the second-lowest (i.e. indicating a lower number of shared words), with only a minute difference with Lowe-Porter, who had the lowest mean. More specifically, six out of the ten alternate translations (Burke 1, Lowe-Porter, Burke 2, Luke, Neugroschel and Heim) shared fewer words with Doege than with any other *Venice*. The initial analysis of the statistical data was unable to explain the significance of these marked tendencies for Doege's translation. The close textual analysis that followed through reading each text in the corpus several times in full and as well as through studying neologisms, similes and metaphors specifically nevertheless makes it clear that the numbers reflect Doege's persistent removal of words when translating, resulting ultimately in a notably lower word total and also greater dissimilarity from the other English *Venices*.

Individually Doege's omissions can often seem insignificant as they primarily involve a single word (or part of a word) or two, e.g. '*Plauder*worte'/ "words", "*Reise*-schreibmappe"/ "writing case" or "hüpften die Wellen empor als *springende Ziegen*"/ "the waves jumped like goats" (my emphasis). The deletion of larger chunks of language like in the *Kunst zum Opfer* metaphor, where an embedded clause is reduced from eleven to three words and another item as well as a component of a compound coinage are removed from the larger sentence, are rare (see 5.5.2.5.3), nor are full sentences or paragraphs ever not translated. In contrast to

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[118] The percentages measure the differences in token totals without taking into account that Doege used a different ST version than all other translators. Doege's ST, the HD, in fact contains an additional 133 words compared to the BA, that is to say, the other translators require *more* words for a text that is actually slightly shorter.

the other TTs, which also omit lexical items but do so only occasionally, over the course of the translation Doege's minor omissions become recurrent within the units of analysis studied as well as in the rest of the text. As they accumulate, not only the linguistic creativity of neologisms, similes and metaphors but Mann's novella as a whole is adversely affected through the resulting loss of details and stylistic changes.

Interestingly, Doege's token count of 25,755 was closest to the original text (25,045 for the HD, Doege's particular ST), while his sentence total of 1,011 was also fairly similar to that of *Der Tod in Venedig* (1,033 for the HD).[119] This numerical closeness ultimately proves to be, as the textual analysis showed, clearly misleading, seeing that Doege's text is arguably the translation that deviates the most from Mann's novella, something that was already anticipated in the discussion (prior to analysing the texts in the corpus) in Chapter 2 (see 2.5.4).

It is not apparent why Doege repeatedly deletes words when translating. As noted before, the omissions seem largely unnecessary and many are also unlikely to be motivated by a difficulty in understanding the ST or specific translational challenges posed by Mann's writing, even more so considering that nine English versions of *Der Tod in Venedig* precede Doege's, versions which could have been consulted. Doege's e-mail communication suggests that, despite the fact that he considers earlier translations as "bowdlerized", he deems his own cuts insignificant:

> A few minor things had to go, e.g. two references to Tadzio's shoes
> because there was no way to fit them in the sentences. But maybe
> that's an improvement ... to modern audiences those references to
> frilly shoes seem far more girlish (and gay) than in Mann's time I
> think. I don't think Mann wanted to portray Tadzio as overtly gay. It

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[119] Several other translators had sentence counts that were relatively close to that of the ST (1,031 for the BA), including Heim (1,011), Appelbaum (1,026), and Luke (1,052).

was normal for boys to e.g. wear girl's clothing up to a certain age, a fact that is not understood as well by modern audiences.[120]

The view of Doege is that "if the contemporary audience is different ... you have to adjust your text a little", further explaining that, for him, a good translation has to "translate the feeling you get when you read the original, not just literally translate the meaning word for word" (all quoted from the 14 Oct. 2013 e-mail message).

Uniquely, Doege's *Death in Venice* is self-commissioned and self-published. Not being a translator by profession, he may or may not have been aware of the norms and conventions of contemporary Anglo-American translation practices and, in any case, was not bound by them, or any other conditions a publisher might have placed on the work, or corrections an editor might have proposed.

6.2.1.2   Chase

After Lowe-Porter and Doege, Chase's *Venice* came in third on the detailed consistency scores list, both in terms of mean percentage and as the version that most other translators were third-least likely to share words with. Chase's token total, meanwhile, stood at 28,646. His sentence count of 1,224 was the second highest after Hansen & Hansen (1,227), with sentences containing an average of 23.4 words, the smallest number for any translation except again Hansen & Hansen's (which had a 22.84 mean). The data suggested – something that was also confirmed by the close textual analysis – a splitting of some of Mann's longer sentences into usually two, sometimes also three parts in Chase's version.

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[120] One of the passages referenced seems to be the following: "Er saß, im Halbprofil gegen den Betrachtenden, einen Fuß im schwarzen Lackschuh vor den andern gestellt", with Doege simplifying to "He was sitting, in semiprofile from Aschenbach's point of view, one foot in front of the other". All other translators use a variation of 'black patent-leather shoes'. I was unable to identify the second reference to shoes that Doege alludes to.

In terms of the translational tendencies seen in Chase, the addition of lexical material and countertranslation, the former is, unlike Doege's omissions, not noticeable from the word count, which was very close to the mean score of 28,430 tokens for all texts in the corpus. Doege's omissions, however, occur much more frequently in the units of analysis and, as much as it is possible to tell without a more thorough quantitative analysis, the wider text. Chase's lower-than-most detailed consistency scores on the other hand may be a reflection of both his addition of lexical items and countering. Additions introduce words that are independent of the ST. They may still be items that are shared between TTs, particularly if they are function or core content words. At the same time, additions mean that there is a good chance a translator will at least occasionally insert an item that is unique to his/her translation (in the phrase translated or even in the entire text), something that would lower the detailed consistency score. With countertranslation, meanwhile, it will depend on the exact form it takes whether the detailed consistency score is affected. A difference in the sentence structure or word order, e.g. shifting a lexical item or clause to a different position, may have little or even no impact by itself since detailed consistency calculations do not take location into account, while distinct word choices or tactics like Chase's grammatical rephrasing that involve word category transformations would result in less potential overlap. Two representative examples, each with a different type of countering, help illustrate these observations:

Example 6.1 The "Abgott" micrometaphor (see p. 283 for the English versions)

Er fand den Abgott nicht bei San Marco.

As noted on page 283, the translations for the micrometaphor are unusually similar – indeed, other than the two Burke versions being identical, Luke, Koelb, Appelbaum and Heim also use the exact same wording while several others differ only by one item, resulting in detailed consistency scores for the particular sentence that average between 66.36% (Lowe-Porter) and 85.12% (Luke, Koelb, Appelbaum and Heim).

Due to countering through distinct word choices ("demi-god", "failed to") as well as an addition (specifying "Piazza", something only Lowe-Porter and Neugroschel also do), Chase's mean is 55.45%, sharing between 40 and 60% of words with other individual TTs. In contrast, for the other TTs, the detailed consistency scores for individual pairings are never less than 60% (Doege and Neugroschel).

Example 6.2 The 'dumpfig/August' simile (see Appendix (F), example (2), for the English versions)

> Der Englische Garten, obgleich nur erst zart belaubt, war dumpfig wie im August.

The second example, previously discussed on page 187, takes, at first glance, a lot more varied forms in translation, particularly for the "obgleich nur erst zart belaubt" subordinate clause. However, if we shift our attention to "war dumpfig wie im August", a lot of overlap can be seen with the translation of the simile form and the word "August", whereas variation is present in the choice of the adjective to render "dumpfig" – as has already been noted in the Similes chapter. None of this is particularly surprising, given the dominance of certain simile markers in English and the fact that the terms for different months are essentially proper names and have limited exact synonyms ("eighth month" being perhaps the only possible, if odd, substitute in this case). Chase's countering has a significant impact. Rather than using the same grammatical construction as all other translators do, Chase removes the simile (and thus the commonly shared simile marker) and substitutes the verb (a conjugation of "to be" in all other texts but one, meaning that different tense forms result in at least some overlap between them) with "felt". The word category transformation, from noun to compound adjective ("August" → "late-summer"), also necessarily eliminates lexical items that are otherwise likely to be shared in retranslation: with no adjectival equivalent for "August", Chase resorts to a complete word change by converting the more generic "late summer" into an adjective coinage and removes the preposition (a shared word in all other TTs).

Countering is thus not merely a matter of a slight alteration but, particularly when it comes to grammatical rephrasing, will often have a wider effect. As one such change occurs, others – both lexical and syntactic – necessarily follow and become reflected in the statistical data. For the "war dumpfig wie im August" part of the example only, Chase's mean detailed consistency score is markedly low at 11.28% as the phrase shares zero words with six other translations (Burke 1, Burke 2, Koelb, Heim, Doege and Hansen & Hansen) and never more than two (equivalent of 36.4% of words with Luke or 40%, with Lowe-Porter). In comparison, the other TTs demonstrate a much greater overlap: they have detailed consistency means of at least 56.35% (Burke 1 and Burke 2) up to 63.99% (Koelb and Heim) and share a minimum of three words (either 54.5 or 60%, depending on the pairing) and three sets (Burke 1/Burke 2; Koelb/Heim; Appelbaum/Neugroschel) are completely identical.

Detailed consistency scores reflect the lexical relationships of texts in a corpus. These relationships are complex – as even the statistical analysis of two examples of no more than seven and five words each reveal – and not affected by a single factor or two only. There is variation, often a lot, between all the translations of the *Der Tod in Venedig* corpus, as each one at some point demonstrates unique word choices, omissions as well as additions of lexical material and grammatical transformations. Nonetheless, translational choices that are pervasive (as Doege's omissions are) or recurrent enough to become notable (Chase's additions and countering) are manifested in the data.

6.2.2 Limitations of statistical data: Appelbaum and Lowe-Porter

Not all translational patterns are reflected in statistical data. This already became apparent with Chase, whose additions of minor lexical material had no noticeable influence on the total word count, only – in combination with his particular countertranslation tactics – on the detailed consistency scores. Appelbaum's preference for similes, both in terms of the preservation of the device as well as the

inclusion of his own, if most basic, similes in his *Death in Venice* was also not evident from the figures, perhaps unsurprisingly, given that with only a small quantity of similes present the device was never an especially prominent feature in the novella to begin with. On the other hand, the statistical data – specifically the detailed consistency scores – for Lowe-Porter were striking, but not linked to any obvious patterns, at least not within the three units of analysis and also not beyond as much as was indicated by the general comparative reading of the whole corpus. What lies behind the lower shared word numbers between Lowe-Porter and the other *Venices?* The answer may be twofold: One, although there was no singular marked tendency in Lowe-Porter's version, her translational choices did often stand apart from that of most other texts in the corpus – for a range of reasons whose effect accumulated. These included some deletion and insertion of lexical material, the former involving, in contrast to Doege's omissions, the removal of whole, if usually short clauses and sentences (e.g. "der durch die Insel zum Hotel Excelsior gelegt ist"; "Eine vorbeugende Maßregel, verstehen Sie doch!"; "Und, wie so oft, macht er sich auf, ihm zu folgen."). Furthermore, there were also a number of distinct word choices and a few changes in the syntax, with Lowe-Porter being the only translator to shift whole sentence chunks – most notably in the opening sentence of Chapter 2 – which may occasionally have affected the detailed consistency scores also. Two, the second explanation for Lowe-Porter's low word mappings may not be the result of her translational choices alone, but also the decisions made by other translators in an actual effort to correct and improve her version or to actively reject it, or it may even be motivated by something else entirely. As Horton writes, Lowe-Porter's translations of Thomas Mann's works "do, indeed, contain a large number of errors" (*Thomas Mann in English* 7), but their mere 'catalogization' by Luke and other critics comes, with the exception of Boes's journal article, with little – if any – attempt of contextualisation, for example, in terms of systematically considering Lowe-Porter's choices within the Anglo-American translation culture of her own time, nor that of the other translators' more than half a century later. With regard to

Lowe-Porter's apparent misinterpretations, there is also minimal examination of the fact that she and Mann collaborated:

> From the very outset, Mann took a great interest in Lowe-Porter's work, and constantly sought to guide her and improve the quality of her output. In the latter stages of her work on the texts, Lowe-Porter often submitted questions to Mann for clarification. These queries related exclusively to questions of meaning (unknown words, phrases, or specialist terms) and cultural references. (Horton, *Thomas Mann in English* 35)[121]

Moreover, as disparate as Lowe-Porter's *Death in Venice* might be from the other texts in the corpus, this reality does not necessarily indicate anything about the nature and quality of the relationship between the ST and the other ten translations, all of which need to be studied further. Detailed consistency scores reflect something about the relationship between the TTs only (i.e. in terms of word choices). How these choices relate to the ST is a matter that must be explored separately and take into account, for each text, the norms and conventions of translation at the time that it was translated – considerations that may lead to different conclusions (e.g. that one or another later TT is also problematic or that Lowe-Porter's is perhaps less so than many critics thus far have argued).

The statistical figures calculated prior to the reading and close textual analysis of TIVC texts signal some of the patterns seen in specific translations. While they, as one would expect, do not give a full picture, they provide direction of where to investigate, whether to uncover a distinct preference in the translational choices or to determine how marked data might otherwise be explained. The data does not point to linguistic creativity in the corpus specifically, although there is a link between

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[121] This collaboration is, if we are to fully understand Lowe-Porter's translational choices, an important, but complex factor to study: the extent of communication between Mann and Lowe-Porter specifically about *Der Tod in Venedig* is uncertain; the literature seems divided about the exact nature of author-translator relationship and there are also suggestions that Mann's English had its limitations.

Doege's persistent deletion of lexical material and the loss of linguistic innovation seen in his translation. Similarly, the statistical data, examples from the three units of analysis and close reading of the wider text also appear to indicate Chase's countering, albeit most likely helped by the cumulative effect of his additions on the detailed consistency scores.

Both Doege and Chase are part of the second and distinctly largest group of retranslations, all of which essentially occupy the "same cultural and temporal location" (Gürçağlar 235). Pym suggests that such retranslations, which he calls "active", indicate "disagreements over translation strategies" (both *Method* 82–83), something which Doege's e-mails, and perhaps even his choice to self-publish without any restrictions imposed by publishers and editors as traditionally part of the translation process, also point to. There is little information available about Chase as a translator and his particular translation to explain his distinct position within the set of English *Venices*, although it is possible that his background of working in journalism (rather than only as a literary translator or academic) may have influenced his linguistic choices, including those resulting in countertranslation.

Chapter 7   Conclusion

7.1   Aims of the thesis

The aims of the thesis were threefold. It proposed to explore creativity in the use of language, to study an extended as well as complete set of retranslations and to bridge the gap between literary and corpus studies by using a corpus-based methodology.

With linguistic creativity being a complex topic, the focus was narrowed to distinct units of analysis as three rhetorical devices (neologisms, similes and metaphors) were selected. Neologisms were creative by definition, while similes and metaphors take both conventional and creative forms; only the latter were of interest here. The rhetorical devices also varied in terms of how their linguistic creativity operates. In the case of neologisms, linguistic creativity was realised at word level as coinages are concise lexical forms and consist, in the case of the examples analysed as part of this project, of single or (hyphenated) dual items and are processed through Sinclair's open choice principle. With similes, which comprise of a minimum of three words in the languages relevant here, the exploration of linguistic creativity extended to the phrase level and involved both the open choice principle and the idiom principle for encoding and decoding. Multi-word metaphors too were considered at this level but additionally also at that of the entire text.

The second aim rested on the text chosen for the project, Thomas Mann's 1912 novella *Der Tod in Venedig*, which saw a *Kometenschweif* of eleven English translations develop over the course of almost a century. Kenneth Burke (1924) and Helen-Tracy Lowe-Porter (1928) produced the earliest versions, followed by a revision of the former in 1970, before a surge of new translations from David Luke (1988), Clayton Koelb (1994), Stanley Appelbaum (1995), Joachim Neugroschel (1998), Jefferson S. Chase (1999), Michael Henry Heim (2004), Martin C. Doege (2007) and Thomas S. Hansen and Abby J. Hansen (2012). This set contained not only a considerable number of retranslations into the same language but, with

research thus far having focused almost exclusively on Lowe-Porter and only occasionally including a limited selection of the other renditions, the project offers an important contribution to Thomas Mann studies as the first to examine all currently available English *Venices*. The analysis of an extended set of translations also allowed for an opportunity to consider, at least briefly, the so-called Retranslation Hypothesis that proposes, among other things, that early and late versions differ in terms of their translational approach and, consequently, closeness to the source text. With a lot of variation across all TTs, it was not apparent that chronology played such a role in the translational choices made.

The third – to bridge the gap between literary studies and corpus linguistics – was driven by the recognition that corpus tools still remain underutilised by those working with literary texts, including translated literature, and proposed to show the advantages of a corpus-based approach, in particular for researchers with average rather than advanced level computer skills, as well as to highlight areas where further development may be needed. The thesis therefore relied on a methodology that was corpus-based in the use of a digital *Der Tod in Venedig* corpus, the retrieval of the three units of analysis as well as the assessment of their linguistic creativity. This computerised format considerably facilitated the comparative study of multiple texts of not insignificant size and offered, with the help of corpus tools, opportunities that a physical corpus would not have provided.

7.2   Summary of findings

7.2.1   Linguistic creativity in the ST

Mann's novella is not strikingly creative in its use of language in the sense that innovative forms abound. From a text of approximately 25,000 tokens, the project analysed a total of 107 neologisms, forty-two similes and eighty-seven metaphors, the first two of which were studied comprehensively, while for the third a selective

list of examples was used. For each one of the units of analysis, a working definition was developed, drawing on the relevant literature in the field and, as not all three rhetorical devices were inherently innovative, taking into account the project's focus on creative exemplars. With neologisms, a distinction was made in terms of newness in form, meaning and function, only form being of interest here. The six main word formation processes (*compounding, synthetic compounding, derivation, conversion, abbreviation* and *terminologisation*) applicable for both German and English were discussed in terms of their relevance for producing neologisms and specific criteria (productivity, level of innovation, origin, relative spread and frequency of usage) were established. For similes, typically seen as a minor figure alongside metaphors or even as a metaphor type but here regarded as a separate device with its own characteristics, the existing definitions (e.g. from Brogan, McCall, Braak, Kohl, various glossaries) were brief and insufficient. However, Brehmer's four basic simile components (*comparandum, comparatum, tertium comparationis, comparator*) were adopted for an expanded definition, together with a more extensive list of potential linguistic markers for both languages than normally available. A description of some obligatory, some optional features (simile marker, added insight through comparison, positive or negative register, extent, level of complexity, REAL+/REAL–, concreteness/abstraction) was added to aid simile identification. The five most important metaphor theories (comparison, interaction, pragmatic, conceptual and categorisation) were reviewed. Although the study did not subscribe to one particular view, it agreed with the shift of seeing metaphors as ordinary and pervasive in language rather than as special and decorative. It relied on Abrams's basic definition and borrowed Richards's phraseology of *tenor, vehicle* and *ground of metaphor*. In terms of creative metaphors, degrees of conventionality as manifested through conceptual mappings and their linguistic realisations were discussed, as well as specific models of metaphoricity/conventionality (Lakoff and Turner's Dead Metaphor Theory; Goatly's linguistic metaphor types; Deignan's corpus-based model), establishing a primary interest in linguistic forms. To assess creativity in the units of analysis, native speaker intuition was used at the first

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instance. Items were then examined further with questions – some pertinent for all devices, some only for subcategories – to determine the use of Sinclair's principles within them and supported by data from multiple corpus resources (dictionaries, an encyclopedia, general and specialised corpora, web search engines) containing both contemporary and historical language.

The rhetorical devices were classified into different categories, which were exclusive for neologisms but nonexclusive for similes and metaphors. The majority of neologisms were compound coinages, which were either hyphenated or non-hyphenated. The former category was further subdivided into spelling alternatives (SPA), nominalisations (NOM) and double adjectives (DADJ). Mann's neologisms also included derivations, conversions, a creative variant of an existing form as well as creative combinations involving two or more word formation processes. Similes were either simple creative similes (with a basic structure and limited or no tertium comparationis) or complex creative similes (increased level of complexity, extent and more details in the comparison basis), with a notable number within these categories also featuring abstract or allusive elements. With metaphors a distinction was made between single items (formed of a single tenor and vehicle) and metaphor multiples, the latter being either metaphor clusters (with two or more distinct metaphors or a metaphor of several, connected components) or megametaphors (composed of micrometaphors that were either linguistically creative or conventional). Allusions to Greek mythology also featured prominently in several examples. The rhetorical devices exhibited, as expected, varying degrees of creativity, both across the individual categories as well as within them. No attempt was made to systematically or quantitatively measure these degrees of creativity, although the fact that linguistic creativity operates on a cline was noted at relevant points of the discussion.

7.2.2 Rhetorical devices and linguistic creativity in the TTs

7.2.2.1 Preservation of neologisms, similes and metaphors and their creativity

The preservation rates for the three rhetorical devices differ. Neologisms are nearly always eliminated in translation, predominantly through normalisation rather than through a complete omission of the lexical material. Only an average of 7.05% of Mann's coinages are rendered creatively. The preservation rates are similar across all the TTs, ranging from 5.61% (for Neugroschel and Doege) at their lowest to 8.41% (Koelb) at their highest. Both the uniformity in approach and the high rate of normalisation contrasted starkly with Kenny's GEPCOLT research and her conclusion that normalisation did not occur "most of the time" (*Lexis and Creativity* 210), differences that, despite involving the same language pairs and translational direction (German to English), may be explained by the distinct composition of the corpora studied (i.e. a corpus of translated experimental literature versus a literary retranslation corpus). Furthermore, there is also no indication in TIVC, either from the preservation rates or the manner in which innovative lexical items are normalised, that there is any significant difference in the approaches to ST neologisms in terms of early or later translations as proposed by the Retranslation Hypothesis.

When neologisms are preserved in translation, their usage seems to be random: in most cases it is only one TT, or sometimes two, that feature a coinage. Interestingly, on the few occasions that most translators use an innovative form, little variation is seen among them as the same or very similar phrasing is utilised nearly always, meaning that within the context of retranslation, these seemingly creative forms become somewhat less striking. Furthermore, while ST neologisms fall into five distinct categories – although the majority are either hyphenated or non-hyphenated compounds – TT examples, without exception, take the form of hyphenated compounds. The investigation did not separately survey coinages that were included

in translation independent of the ST (i.e. instances where translators use a neologism although there is none in the original), but through the study of the other two rhetorical devices it became clear that such items did occur at times. All of these additions also were hyphenated compounds, however, a more complete and methodical investigation would be needed before any conclusions could be drawn about the TT neologisms in terms of whether 1) further creative forms were present, 2) these additions functioned as compensation for omitted examples in either one particular TT or several TTs and/or 3) their appearances were sufficiently numerous or only sporadic and ultimately inconsequential. Such an investigation would proceed similarly to the one used for identifying ST neologisms, commencing with the scrutinisation of each TT's individual wordlist (to draw up a list of potential coinages), followed by a cross-check against the ST (to ascertain those independently added) as well as against multiple corpus resources (to confirm their actual neologism status).

In contrast to neologisms, creative similes were much more likely to be kept in translation, with the rate of preservation averaging 80.23% and ranging, also somewhat more widely, from 72.50% (Chase) to 90% (Appelbaum). Each translator thus preserves the device most of the time and with each ST example nearly all translators also use the simile form as uniform or near-uniform removal occurs very rarely and in too few instances to determine any common pattern behind the choice. The preservation rate was not the only factor that had to be considered with respect to linguistic creativity as similes are not intrinsically creative in the manner that neologisms are. Further assessment on the basis of a number of guiding questions, the selective application of Sinclair's principles with consideration of its various features (restricted exchangeability, restricted lexical or syntactical variability, open slots, recursivity, extendability) and cross-checking with data from general corpus resources, however, revealed that the *Venice* translators adhere closely to the ST similes. The comparatum/comparandum associations typically remain unchanged and thus novel, although some shifts can be seen in the linguistic realisations of the

TT similes, in the form of addition as well as omission of textual material. In the case of additions, two patterns were observed. One, Chase in particular demonstrated a tendency to insert lexical items into similes, usually increasing the fluency of the translation and somewhat weakening the linguistic creativity of specific examples through the inclusion of empathic words and (semi-)prefabs such as prepositional phrases and idiomatic expressions. Two, explicitation was used with some allusive similes, also resulting in a – if slight – loss of creativity although the number of examples was too low to determine whether any translator had a particular preference for this tactic. With omissions, it was Doege's translation that stood out as textual material – usually no more than one to three words and never complete sentences – was removed on many occasions for no apparent reason. While omissions do not necessarily weaken linguistic creativity, in Doege's case they resulted in a flattening and increased the conventionalisation of many of Mann's similes.

Similes added independently of the ST were also explored. Two-hundred and one such similes were identified and are seen in all the English translations. Most were singular occurrences and typically used in one or sometimes two TTs, while similes added by a majority of translators were rare, suggesting that such additions were likely not motivated by a particular linguistic factor in the ST. Rather, it is probable that they are a stylistic preference on the part of an individual translator. The number of added similes varied per translation, amounting to as few as twelve (Heim) but up to a maximum of thirty-two items (Appelbaum). Interestingly, the target text with the highest number of simile additions was the same one that preserved ST devices most often. Similes were more likely to be added when the ST item was an adjective ending in '-artig', '-haft' or '-mäßig' or for adjectives in general, as well as neologisms and quasi-neologisms. Added similes were typically simple, demonstrating, with very few exceptions, only limited creativity as the tertium comparationis was rarely expanded or innovatively altered in any other manner.

No preservation percentage was calculated for creative metaphors as only a selection of examples was analysed although these seemed to be largely kept in translation. With single creative metaphors, the novel tenor-vehicle relationship remained intact most of the time. However, it was not uncommon for at least one translator to render the metaphor in a literal manner or use conventionalised metaphorical language instead. At the same time, slight translational shifts involving word play sometimes enhanced the linguistic creativity of specific examples. Both types of metaphor clusters were also generally preserved. Small semantic changes in the translation of metaphor clusters in some case resulted in a weakening, in others in an enhancement of the linguistic creativity that arises from the different parts of the cluster. No strong tendencies were obvious, neither in relation to how metaphor clusters are typically handled, nor with respect to a particular translator. The two megametaphors identified for *Der Tod in Venedig* – TADZIO IS A (DIVINE) WORK OF ART and ART IS WAR – are also present in the translations as the micrometaphors that compose them are largely preserved, in most instances by all translators. When removal by a large number of translators is seen, it tends to involve a conventionalised micrometaphor. Compensation is rare. There is, perhaps not surprisingly, no indication that any of the translators is cognisant of either one of the megametaphors. Finally, the novella's thirteen allusive metaphors are also nearly always kept in translation, with the allusion being eliminated entirely in only one instance and transformed into allusive similes in three cases. The occasional use of explicitation – including through the direct naming of the gods referenced and the addition of identifying details –, however, demonstrated a domesticating approach resulting in somewhat less creativity in translation for a few examples.

As with similes, additions and omissions in the metaphors analysed are notable with respect to specific translators. Additions appear in all TTs, but again most commonly in Chase. Their effect on linguistic creativity varies: as some additions involve emphatic words or prefabs, a number of metaphors become more fluent, while others are enriched, e.g. through alliteration that either arises or is intensified

by an added lexical item. One special form of addition is seen with a number of metaphor examples when words are newly coined in translation, independent of the ST. While none of these coinages is particularly innovative – all are hyphenated compounds and most are of the spelling alternatives kind –, they do raise questions about the conclusion drawn in Chapter 3 with respect to the predominant removal of ST neologisms. Omissions persist in particular in Doege. They are, again, limited to one to three words and include the substitution of more specific terms with general ones and the removal of details in a manner that flattens affected metaphors and, ultimately, reduces their linguistic novelty.

All things considered, neologisms, similes and metaphors are treated differently in translation. The first see overwhelming normalisation by the translators of *Der Tod in Venedig* as they are rendered with more fluent, conventional language, whereas the latter are much less likely to be so. The divergent handling may well have to do with the fact that neologisms are single-item units with inherent creativity, whereas similes and metaphors operate as phrases – sometimes greatly extended – which in translation can be retained in their rhetorical form with some level of fluency that will nonetheless allow for linguistic creativity to remain intact. The difference lies in the fact that with neologisms, which are processed through the open choice principle, the loss of creativity comes from the use of lexicalised words or phrases (i.e. involving both of Sinclair's principles), while phrase-level creative similes and metaphors require, in order to be comprehensible to the language speaker, the open-choice principle as well as the idiom principle from the very beginning. Their creativity is determined by several factors, most importantly whether the relationship between the device components (comparatum/comparandum and tenor/vehicle respectively) is novel, their lexical realisation is not predominantly or entirely reliant on prefabricated language but features some sort of originality and, additionally in translation, their rhetorical form is preserved.

7.2.2.2 Limitations in the model of linguistic creativity

With both phrase-level units of analysis the challenges and limitations of using a model of creativity based on Sinclair's principles became apparent, one, in terms of applying the principles and two, in terms of what they can in fact capture.

7.2.2.2.1 Applying the open choice principle and the idiom principle

While using Sinclair's principles with neologisms was straightforward – they are interpreted through the open-choice principle –, the same was not true for similes and metaphors as these are multi-word units. In the project, the principles were selectively applied on a manual basis to get some sense, but not a precise quantitative measurement of the creativity in language. Calculating the exact distribution of each principle in every example would perhaps have been preferable, but is time-consuming to do by manual annotation and comes with practical issues related to the units themselves. One solution would have been to use a computer programme that determines prefabs by comparing the units to data in a general corpus. As noted, such a programme does not currently exist, would require programming knowledge to design and extensive testing before it could be utilised. If successfully created, it would face other problems still, including the extraneous lexical material that makes the borders of some items difficult to define and language-specific features (like verb splitting and case inflections in German), which are not considered in Sinclair's original proposal. In the case that distribution percentages are worked out – whether manually or with the help of a computer programme – questions about their representativeness and comparability across languages inevitably come with them as only limited data – e.g. Erman and Warren's percentages for a sample of ten short written texts from a general corpus for English – is available for comparison. Moreover, a number is not a definite measurement of all aspects of linguistics creativity either, especially if we consider what the model was unable to capture.

7.2.2.2.2 Capturing linguistic creativity

The study acknowledged from the start that the concept of creativity is not easily defined and that even when narrowing the focus to creativity in language only, this creativity can take a wide range of forms. It also accepted that a model relying on the open choice principle and the idiom principle neither could nor was intended to capture every kind of linguistic creativity; indeed, the units of analysis were chosen with this thought in mind. Despite these considerations, the limitations of the model and, by extension, Sinclair's principles, became even more evident in the course of the study. It was not only creativity below word level that was not necessarily indicated, but also above word level, through the linguistic connections that arise within a text (both in the immediate context of its surrounding sentences and paragraphs, and in the work as a whole) as well as – in a retranslational corpus – between the different TTs. That the limitations are even greater than anticipated ultimately confirms that linguistic creativity (and creativity more generally) is complex, perhaps more so than any one model can describe and assess. At the same time, the inability to account for some types of creativity in language may also be a reflection of the fact that Sinclair's principles, which were developed following years of working with corpora and observing the recurrent and pervasive presence of prefabricated language, are more about encapsulating conventionality than innovation. Thus, while the principles can serve well to explain what constitutes formulaic language (whether in an entirely fixed form or with options of exchangeability and variability), they do not satisfactorily describe all aspects of linguistic creativity. It is also not surprising that retranslational creativity is not captured by the model as it is an unusual sort of creativity and not normally relevant to language users in general or even corpus linguists specifically: only researchers working with parallel corpora will read multiple translations side by side and potentially see it manifested.

7.2.3 Unexpected forms of creativity in the language in both the ST and the TTs

To ignore the unexpected innovative forms that were unaccounted for by the model of creativity seemed misguided: they were, on many occasions, linked to and enriching 'normal' forms of linguistic creativity, reasonably prevalent and, arguably, more interesting precisely because it was not possible to explain them with the model used. One form was the use of conventional language through connections arising between rhetorical devices, another the notion of countertranslation in sets of retranslated texts.

7.2.3.1 Conventional language as part of linguistic creativity: Metaphor clusters and megametaphors

The investigation of Mann's use of creative metaphors found that a significant number had connections to other metaphors, sometimes within their immediate context (in the case of metaphor clusters) but also across the entire novella (as with megametaphors). These connections involved elements that were, strictly speaking, not linguistically innovative.

Metaphor clusters were composed of two or more components appearing in the immediate vicinity of each other (i.e. *clustering* together). Although in some instances all the components of the metaphor clusters were creative, in others innovative elements were paired with linguistically conventional ones, utilising, for example, metaphorical language that is no longer recognised as such. The situation was similar with the two megametaphors of the novella – TADZIO IS A (DIVINE) WORK OF ART and ART IS WAR – as these were formed by both creative as well as conventional micrometaphors. While it was the innovative components that were detected initially as the study's interest lay in creativity, these soon led to the other connected micrometaphors. The items on their own – if considered in isolation of their immediate surroundings or, in case of micrometaphors, the wider text – were

linguistically ordinary. However, as part of metaphor clusters or megametaphors, not only was the meaning of the text altered (by developing an additional, subtle message over the course of *Der Tod in Venedig*), but through their association with other components a distinct – both collective and cumulative – type of linguistic creativity arose. With conventional components being persistently present, they were equally significant in their role as the creative parts of either the metaphor clusters or the megametaphors and thus cannot be disregarded.

It is possible that readers will miss a cluster component or a micrometaphor, with the latter being particularly likely as micrometaphors can be dispersed widely over a text and are easily overlooked. Indeed, readers may never notice a specific cluster or specific megametaphor at all, but for those who do, Mann's use of language and the novella itself become, thanks to the writer's skillful linguistic creativity, a richer experience.

7.2.3.2 Countertranslation: Linguistic creativity in retranslation

Countertranslation (or *countering*) was another form of creativity realised through the use of language that was not expected. Countertranslation arises in large sets of retranslations when a translator makes a choice that deviates from those of most or all other translators. It can take varied forms and may be seen, for example, in the diction, in the transformation of word categories or in changes in the sentence structure. As countertranslation is specific to retranslation, it is unlike normal linguistic creativity in several ways: while the latter is determined by its relation to all language usage, countertranslation measures itself in terms of novelty and differentiation within the much more restricted context of a text's other translations into the same language and is thus independent of the ST itself. Given its particular frame of reference, countertranslation also can and often will involve language that we would normally deem linguistically conventional. Indeed, at times, it may reveal that an item (e.g. a neologism) that would normally be considered creative is, when

used in the same or very similar form in several translations, not so innovative after all, while a conventional form can stand apart. Furthermore, countertranslation is not fixed as the release of a new translation can change the frame of reference entirely and is likely also not intentional as in most instances translators will not have read all or even any of the other TTs.

Countertranslation is more interesting to consider the longer a *Kometenschweif* is. It was, in this study, noticeably prominent in Chase's translation of neologisms, similes and metaphors, with indications that it is present in the text more generally (i.e. without focusing on any specific units of analysis), particularly in the form of what has been referred to here as *grammatical rephrasing*.

7.2.4 Corpus resources for studying retranslation and linguistic creativity

An important feature of the project was the use of a methodology that was corpus-based not only in the view of language it adopted, but with its reliance on digitised texts and multiple corpus resources both for the retrieval and the assessment of the selected units of analysis.

7.2.4.1 A digital corpus for retranslation

The digital corpus significantly facilitated the study of a large set of retranslation but was not without issues. Two separate corpora, TIVC-WST and TIVC-A, had to be compiled for the project when it became apparent that a single one was not suited for all aspects of the research. With the corpus based in WordSmith Tools (WST) it was possible to obtain some basic as well as more specialised statistical data (including total word count, type/token counts, TTR, number of sentences and detailed consistency scores) and programme options for linguistic analysis such as *WordList* and *Concord* were available. However, the software was unable to handle the alignment of the translations without crashing repeatedly, most likely due to the number of texts and the overall corpus size involved, and, when working, was

impractical to use due to the inflexibility of display and adjustment features. While running WST, a Windows-native programme, via a virtual machine on a Mac computer may have contributed to the crashing, the impracticality issue was related to the limitations of the software itself. An aligned corpus was thus created in MS Word, which, as a programme intended for word processing and not linguistic analysis, was very basic by design. The compilation and alignment had to be done manually with the copy/paste functions and there were no additional features other than a word query. The aligned corpus also had to be divided into parts (i.e. one file per chapter) as MS Word too was unable to process the 362,691 tokens of the complete retranslation corpus.

7.2.4.2 Linguistic creativity: Retrieving and assessing rhetorical devices with corpus tools

The corpus-based methods used for extracting the units of analysis were dependent on their specific characteristics. In the case of neologisms, inherent creativity and low usage meant that WST's *WordList* was used as a starting point for identification, similar to Kenny's approach to hapax legomena. With similes, their linguistic marker (comparator) could be utilised for querying the corpus on the basis of the expanded list of markers for both languages through WST's *Concord*, although in-text confirmation was required. Only metaphors posed a challenge as they have no common linguistic realisation or other feature that could be exploited for detecting them with corpus tools. While several corpus-based approaches for extracting metaphors do exist, usually relying on pre-defined lexical items (Goatly's metaphor markers; Hanks's sets of syntagmatic realisations; vocabulary from the source domain, target domain or both) or annotations (for semantic fields, domains and/or conceptual mappings), these were not suitable: the methods were either questionable, insufficiently tested and/or not effective for metaphor extraction from a text as small in size as *Der Tod in Venedig* or for items that are linguistically creative. Manual identification was used instead, compiling a limited rather than comprehensive list

of creative metaphors. This approach – as any that involves singling out "occurrences of unusuality" (Partington 148) – was of course subjective and the conclusions about the translators' handling of metaphors are inevitably restricted to the specific items chosen.

The use of corpus resources to assess linguistic creativity by cross-checking units as a whole (in the case of neologisms) or their different parts (with similes and metaphors) purposed to substantiate intuitive judgement with additional and more objective data, but came with its own challenges. One preferred corpus, the *Bank of English*, which is especially large at 650 million tokens (January 2016) and contains useful collocational data (including Mutual Information and t-scores), was not utilised due to access restrictions. More problematic were web search engines as queries highlighted shortcomings in data processing – many of them unique for this resource type – through the non-recognition of punctuation symbols, hyphens and spaces; as well as an inability to handle capitalisation and lemmas. Changing numbers of hits, empty or missing hits and significant data variation between *Google*, *Bing* and *Yahoo!* also became apparent. These limitations serve as a reminder that web search engines are clearly not designed for linguistic research. While there is no need to discourage their use completely, they should only be relied on – and never decisively – in combination with several other corpus resources that are varied in kind and carefully chosen for the project planned. Researchers should also bear in mind that search engines (indeed, perhaps all corpus resources) may be more useful for establishing a stretch of language as conventional rather than creative.

The degree and manner in which corpus tools can be applied for literary and retranslation research thus varies by a considerable amount and, as is evident from this project, a combined manual and corpus-based approach is often needed. While it is not possible for everything to be automated through computer technology, a combined methodology provides definite advantages all the same and will make some investigations practicable and may allow for observations that would

otherwise be difficult or even impossible with an entirely manual methodology in the traditional sense. The basic benefits – doing away with physical texts and the option for simple word searches – found even in the most bare-bones digital corpus (i.e. one without any linguistic annotations in a non-specialist programme like MS Word) should not be disregarded as they can still be helpful in situations when, as with metaphors, there is no adequate corpus-based method for retrieving the units of analysis. The two megametaphors illustrate the advantages well. While it is certainly possible to spot the megametaphors and trace all associated micrometaphors manually, the actual discovery of the items was not immediate and linear but a lengthy as well as disorderly process. Manual reading (although in a digital corpus) initially alerted myself to several of the more striking micrometaphors with conflict-related lexis (e.g. "so kriegerisch, so gerade ins Auge hinein, so offenkundig gesonnen, die Sache aufs Äußerste zu treiben, und den Blick des andern zum Abzug zu zwingen") at a very early stage of the project, long before the specific units of analysis were even chosen. Only much later did this realisation lead to returning to these metaphors and checking the *WordList* data to assemble a fuller list of conflict-related terms. This list was then used to search, with MS Word's *Find* function, the corpus and identify the exact location and usage of the items in the ST and the TTs. Wordlists for the translations were scrutinised in the same manner for potentially missed ST items as well as added conflict terms. The query function was also repeatedly used to find – much faster than turning even bookmarked paper pages – already confirmed micrometaphors during the analysis stage. In other words, uncovering and studying the two megametaphors was an elaborate process spread out over many months that involved the frequent retrieval of data, sometimes in one text, sometimes in more, all done with relative ease and speed thanks to the tools available in a manner that would not have been feasible if handling twelve paper-print *Venices*.

Furthermore, the statistical data provided by WST indicated some translational patterns with specific translators (in particular Doege, Chase and Lowe-Porter) that

were later identified through close textual analysis. Doege scored lowest on several measurements, including the word, type and sentence count, as well as placing second-lowest for mean detailed consistency relations. The word count revealed that Doege's version totalled 25,775 tokens, which was similar to the ST but significantly lower than all other translations. With the token mean at 28,430, Doege deviated by 2,675, using between 1,630 and 4,573 tokens less than the other English *Venices*. The close reading of Doege's version together with the ST and the other TTs showed that the difference in the word count was the result of omissions, both of singular tokens as well as slightly larger chunks of language, from not only neologisms, similes and metaphors but persistently throughout the text. The detailed consistency scores (both the overall mean of 55.17% and individual pairing positions with other versions) indicated less overlap with alternative translations than other TTs, something that was at least in part due to the eliminated textual material.

Detailed consistency scores were also interesting with respect to Lowe-Porter and Chase. While no clear pattern emerged for texts with the highest detailed consistency relations, pairings with Lowe-Porter and, somewhat less, Chase also clustered at the bottom end of the list (both in terms of pairing positions and mean detailed consistency percentages of 55.12 for the former and 57.5 for the latter). In the case of Lowe-Porter, close analysis revealed that no one translational choice explained how every *Death in Venice* published after hers shared fewer words with this particular version than any other. Rather, it seems to be the result of a number of factors including omissions, erroneous and/or inaccurate translations and syntactical alterations. These are all present to a more significant degree with Lowe-Porter than any other translator as, even in contrast to Doege, not just single words but small chunks of language are removed and several significant syntactical changes occur that will have had an effect on the scores. Ultimately, the low detailed consistency score also confirms the status of Lowe-Porter's *Venice* as the most disputed text: Luke and likely others may have taken a "polemical translation" approach, to correct

and/or reject Lowe-Porter's version − whether because of actual flaws, different norms and conventions (i.e. time factor) or both.

While corpus data must always be combined with close textual analysis and while not every striking pattern in the data will lead to something interesting in the text (and, vice versa, not every pattern − like Appelbaum's comparative partiality for similes − will be necessarily be captured by the data), corpus tools can, depending on how and when they are utilised, lead researchers in the direction of what to investigate and/or partially or fully corroborate conclusions drawn through traditionally manual analysis.

7.3   Scope for further research

7.3.1   Linguistic creativity beyond neologisms, similes and metaphors

Considering the various limitations of a PhD project, the focus of this investigation into linguistic creativity was on just three rhetorical devices. Conclusions drawn were specific to these units of analysis, although some may play out more widely. As is likely true for many retranslational sets, the English *Venices* on the whole demonstrated a great amount of variation in translation, resulting in a complex network of relationships between Mann's and the various TTs as well as between the latter. Variation was evident both through the translators' efforts to differentiate themselves by means of choices that were anything from vastly dissimilar to minute alterations (e.g. the use of particular punctuation marks or italicisation in situations when translated phrases are otherwise the same) as well as 'mix-and-match' overlaps (a TT sharing a word with one translation on one occasion and a short phrase with a different one on another). This characteristic "verwickelte Intertextualität und Interliterarizität innerhalb eines Kometenschweifs" (Frank and Schultze 88) made it challenging to detect translational patterns, even more so beyond the units of analysis selected. While texts like Doege's or Chase's were

distinctive, others were nondescript. However, it is well possible that studying other rhetorical devices would have led to different observations. To obtain a fuller picture of linguistic creativity in the *Venice* translations, other than considering independently added forms of all devices already studied (something that is at least feasible with neologisms and, perhaps selectively, also with metaphors), further units of analysis should be included. These would come each with their own challenges as some potential units of analysis operate below or above word level and may thus not necessarily be captured by Sinclair's principles (e.g. the sound-related devices of alliteration, assonance and consonance, as well as repetition), may occur relatively infrequently and may not be present in the corpus studied (e.g. oxymorons) or, similar to metaphors, have no characteristic linguistic realisation (symbols) and may thus not be easily, if at all, retrievable by corpus tools.

7.3.2 Contextualising findings from TIVC

The project's findings are based on a single retranslational corpus and a wider frame of reference is much needed for its findings. Although Kenny's research offered some comparable data for neologisms, there was little available in the discussion of similes and metaphors, even less so – and this limitation also applied for creative coinages – with respect to retranslational research. In TIVC, TT word totals were all higher, many notably so, while the translation with the profile numerically most similar to the original contained unmistakable omissions. On the other hand, type counts, TTR scores and mean word lengths were, without exception, lower in the translations. Were these figures the result of general intrinsic linguistic differences between the language pairs involved (e.g. German lexis is characterised by many more inflections due to cases and verb conjugation rules) or – without reducing the discussion to translation universals – were there also translational factors at work here (e.g. conventions that remained the same over the nearly ninety-year time span between Burke 1 and Hansen & Hansen)? There are also questions that need answering with respect to the detailed consistency scores (and I repeat from section

2.5.4.2 here). How do the percentages of shared words compare to other retranslational corpora? How typical is the range of overlap (a 14.2% difference) and the detailed consistency mean? Texts within a *Kometenschweif* share the same starting point as all renditions derive from and are bound, to a significant degree, to one source text after all.[122] There are only so many options to express the same thing in one language, making some overlap inevitable unless a translator is willing to produce a particularly marked version. This potential for overlap is also greater the more retranslations exist, in particular when it relates to smaller linguistic units (shared individual words or short linguistic units rather than longer phrases or sentences).

Bosseaux's corpus-based research on the two Virginia Woolf novels does not include detailed consistency scores for its (much smaller) retranslation sets. Figures are also not available for the Göttinger *Kometenschweifstudien*, although Frank and Schultze remark about their retranslational corpus of seven different American short stories that

> spätere Übersetzer oft ältere Übersetzungen für die verschiedensten Zwecke herangezogen haben: indem sie viele Einzelheiten oder auch lange Passagen stillschweigend in die eigenen Übersetzung übernommen haben ... es gibt Übersetzungen, die regelrechte Montagen aus Textmaterial von Vorläuferübersetzungen sind; andererseits wurden aber auch gelegentlich frühere Übersetzungslösungen ... konsequent gemieden, offentsichtlich um übersetzerische Originalität zu zeigen. (87–88)

Other GÖB projects have come to similar conclusions in terms of the often extensive borrowing of later translations, but these observations seem to contrast the qualitative TIVC findings, where, neither in the specific units of analysis nor in the texts as a whole, there is no copying of "lange Passagen" and no straightforward

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[122] The only exception are translations via a third language, whose relationship with the source text is more indirect.

intertextual link between any two translations apparent, but only an effort to differentiate.

More research is additionally needed in terms of countertranslation. This applies in terms of how, for example, Chase's countering features in the entire novella and also beyond, as countertranslation is, at this point, a proposal based largely on several specific units of analysis in a single corpus. Although a good number of countering examples were noted apart from the three rhetorical devices studied, a more thorough listing of items still needs to be done. Furthermore, what kind of data do other complete sets of retranslation provide? In what manner is the notion of countertranslation as a particular form of retranslational creativity a useful concept to consider when studying complete *Kometenschweife*? It is probable that retranslational corpora will always exhibit a great deal of variation between the TTs, making it difficult to determine definite instances and, even more so, patterns of countertranslation. And yet, the proposal offers a fresh way of looking at texts in such a corpus and may lead to new insights, both for individual translations that otherwise might be dismissed as deviant or flawed and for connections between alternate versions. Examining a translation with the contextual frame of its fellow TTs may not only illustrate when the conventional becomes creative (as in countertranslation) but also when the creative becomes conventional – as some of the identical or nearly identical creative translations of neologisms showed. Such shared translational choices may be indicators of conventions in language usage and/or translation at certain moments in time.

7.3.3 Digital texts in research

The project utilised a digital retranslation corpus containing mostly texts that existed in traditional print form and had to be digitised, but also several (both the *Buchausgabe* and the *Hundertdruck* version of the source text as well as the translations by Luke, Heim, Doege and Hansen & Hansen) that were already

available electronically – indeed, Doege's, a self-published work, was conceived as an online text from the start. These digital texts signify a shift from static words on the paper page to more dynamic ones on the electronic screen, affecting, among other things, the act of translation and the revision process. Furthermore, different forms of textual metadata and possibilities of interaction between writer, translator and reader can develop from digitisation. With these changes new questions arise, in particular with regard to the status of the text – questions that have been barely hinted at so far here and have much scope for exploration. Burke's original translation from 1924 and his revised version from 1970 can easily be studied alongside each other, however, electronic texts complicate the matter. While it can usually be assumed that there are substantial motivating factors present when a print translation is reworked and republished, revisions in digitised literature can be undertaken more easily and frequently and may also be minimal.[123] Indeed, unlike with print editions, which – however limited a print run may be – will produce a physical object, revisions in digital works can be invisible and even untraceable as changes may be made without announcement and earlier versions may be taken offline and completely deleted. Hansen & Hansen and Doege illustrate these increasingly less transparent scenarios: the former was revised when the print publication of the centennial translation was digitised, as is briefly stated in the e-book (Mann, *Death in Venice*). The latter, meanwhile, has seen multiple revisions, something that is not indicated anywhere in the text that readers can access online but was only revealed through personal e-mail communications with the translator himself. Even though it is therefore possible to compare the two Hansen & Hansen versions and verify, as the translators write, that changes included "correcting punctuation and improving style at the word level" (Mann, *Death in Venice*), the same cannot be done for Doege as his earlier *Venices* are not available. In cases like

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[123] The ease of revision will of course vary also with digital texts, depending, for example, on whether a work is published as a more tightly controlled e-book or as a fantranslation on a website where continuous editing is a distinct possibility.

the latter readers – researchers – may never realise that a text was revised, once or even repeatedly. If any statement is made, readers have to take the translator's word for the kind and extent of modifications done – Doege's *Venice* corrections are perceived as "mostly minor" by himself (via e-mail 14 Oct. 2013). This assessment is not unlike the one Doege made about his ST cuts and highlights the subjectivity that may be rooted in such translator's commentary.

When compiling TIVC, the issue of the dynamic and potentially indeterminate nature of digital revision was never considered; however, retrospectively, questions emerge – not just for the English *Venices* but any translation corpus including digitised texts: how should digital revisions be studied in a (re)translation corpus? does each revision, however slight, constitute a new version of the text? must each version of the text be studied separately, or if one is selected, what kind of criteria should be applied when deciding whether a particular revision constitutes a 'text' and when not? what kind of implications do 'invisible' changes have?

7.4   Final thoughts

Creativity is a complex concept. This is not only, as was noted in the Introduction, because the term itself is hazy and not easily definable due to the various ways – from plot events to a text's physicality – and the differing degrees to which it can be realised. Even when narrowing the focus to creativity in the use of language, it is difficult to delineate with a single model of creativity. Although Sinclair's principles do capture language as it is innovative and conventional, the study of Thomas Mann's *Der Tod in Venedig* and its many English translations highlights that linguistic creativity also operates below word level as well as above, making cross- and intertextual connections. Furthermore, it can even involve language that we normally describe as conventional. While these realisations of linguistic creativity mean that the model used has its limitations, they lead to new insights into Mann's but also the *Venice* translators' innovative use of language – discoveries that confirm

that creativity is ultimately an encounter with what we do not readily expect or foresee.

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Appendix (A)   Chapter Summaries for *Der Tod in Venedig*

In Thomas Mann's *Der Tod in Venedig* the protagonist and third person narrator, Gustav von Aschenbach, is a middle-aged German writer who travels to Venice. He meets Tadzio, a beautiful, fourteen-year-old boy vacationing with his family. The writer is instantly charmed by the youngster, who, for Aschenbach, embodies the perfect, divine beauty that art must strive for. The artist's love for his muse becomes his downfall.

The carefully structured narrative consists of five chapters of different lengths, summarised here for those unfamiliar with the novella.

Chapter 1

The first chapter introduces Gustav von Aschenbach as a writer in his fifties that lives in Munich. There, Aschenbach decides to go for a walk one afternoon in May. During the walk he observes a tall, thin stranger with red hair and pale, freckled skin who strikes him as having the air of a foreigner and of coming from afar. When the man looks at Aschenbach menacingly, he averts his eyes in response. The writer feels restless and suddenly realises his desire to travel. He imagines a wild, tropical landscape but decides that he will go somewhere not quite so distant. As he heads home, he looks for the stranger again, who has, however, disappeared.

Other than profession and approximate age the chapter provides few details about the protagonist, but instead focuses on the feelings Aschenbach experiences in relation to his craft. His walk comes after a tiresome morning of writing. His general fear that – as an aging writer – he might not achieve his artistic ambitions is mentioned, as well as the discontent with his own work. Mann also notes Aschenbach's the daily struggle to write.

Chapter 2

The second chapter centres on Aschenbach both as a writer and a person. It provides the titles of some of his works and notes his descent from, on his father's side,

people who have diligently served the king and the state, and, on this mother's side, a more sensual and fiery element, with Mann noting the importance of this mixed background for the protagonist's writing. Aschenbach's talent as an adolescent and his fame growing over time – including being awarded nobility – are described. Mann points to Aschenbach's disciplined and self-sacrificial approach to art, but also a physical weakness that saw him educated at home, separating him from society. The hero also expresses the wish to become old as he believes a true artist must go through all stages of life with his art.

The final paragraphs of the chapter shift to facts about Aschenbach the man: he settled in Munich, married but was soon widowed and left only with a daughter, now living with her husband. A physical description is also given: the writer is of delicate built, with greyed hair and gold-framed glasses that rest on a bold, heavy nose. Mann concludes that Aschenbach's face is, however, marked by his art: the stories he has written are carved into his strained features.

Chapter 3

In the third chapter Aschenbach experiences a gamut of emotions as he travels and finally arrives in Venice. He heads for an Adriatic island first, but quickly decides he is out of place and sets out again. During the journey Aschenbach meets several peculiar individuals. A somewhat irritating man sells him his ticket for the sea passage. On the boat itself he encounters a man that is with a group of young people but who is not young himself: rather, the man only pretends to be so. Beneath heavy make-up, youthful clothes and behaviour there is an old, wrinkled man. Aschenbach is perplexed by this sight as well as by the fact that no one else seems to notice this deception. When the boat reaches Venice, the false youth wishes Aschenbach – much to his embarrassment – a pleasant stay.

The writer continues his onward journey with a black gondola. Initially, he feels relaxed but soon realises the gondolier is heading the wrong direction. His instructions to the taciturn man are completely ignored. For a moment Aschenbach fears the boat ride will become his last journey, but eventually he arrives at the Lido. There, the overbearing gondolier quickly vanishes.

Aschenbach settles into his hotel room; his feelings of uncertainty remain. Unnerved by all the encounters during his journey, he does not know whether to stay or leave. In the evening, he waits in the hotel lobby prior to dinner and notices a governess with four children, of a Polish family, the youngest of whom is a divinely beautiful boy. Aschenbach is immediately struck by this sight, with Mann describing the child in detail. The next morning Aschenbach awakens to an overcast sky and again feels dejected. As he leaves breakfast, he briefly runs into the boy, who again is described in detail. The morning is spent at the beach, where Aschenbach observes the other vacationers, which soon include the boy. He thinks to himself that he will stay in Venice after all and learns the boy's name: it is Tadzio. A third encounter follows in an elevator. As Aschenbach finally sees the boy from up close, he detects, for the first time, Tadzio's human flaws: bad teeth that make him believe the boy is sickly. During an afternoon walk through the city Aschenbach is overwhelmed by disagreeable humidity and smells. He announces to hotel staff that he will be departing the following day. However, when he is greeted by a beautiful morning, he immediately regrets the decision. He has a leisurely breakfast. When he sets off, running late already, he sees Tadzio again, feeling more regretful still. At the train station he discovers his luggage has been sent to the wrong destination and returns to the hotel to wait for his suitcases there. Looking out of the window of his new hotel room, Aschenbach sees Tadzio on the beach and smiles.

Chapter 4

The chapter begins with a description of sunrise in the form of an allusive metaphor, which resurfaces at later points of the chapter. The extended metaphor indicates the passing of time to reveal the routine of Aschenbach's days as Mann details the character's inner feelings more so than concrete events. The protagonist receives his lost luggage back and stays on in Venice. He sees Tadzio all the time and everywhere: at the hotel, on the streets of Venice, during boat rides along the canals, but most of all on the beach. There, Aschenbach spends several hours each day and observes the boy. He likens the youngster's physical beauty to that of a Greek statue, while his voice sounds like music to him. His perfect form is Aschenbach's inspiration: in the presence of Tadzio, he has the desire to create and strive for perfect beauty through his art. After writing, Aschenbach, however, experiences

exhaustion as well as pangs of conscience. He longs to talk to the boy whenever he sees him and feels his heart pounding. He also fears the Polish family might soon leave Venice. When he observes the boy on the beach, playing with other children, in particular his close friend Jaschu, he is reminded of the divine hero Hyacinth from Greek mythology. He feels envious.

One day the governess and the children are absent from the evening meal. Aschenbach see them arrive at the Lido by boat; Tadzio smiles. The writer is profoundly shaken and utters the words "I love you" in his mind.

Chapter 5

After four weeks in Venice, Aschenbach begins to notice a number of odd things. He realises that the number of guests, in particular German-speaking ones, is falling despite the fact that it is the high season. At the barbershop he is asked a disconcerting question – whether he does not fear the illness. When he inquires what is meant by the question, he receives no explanation. Aschenbach also senses a strange smell in the air, but again his inquiries lead to nothing.

The writer now begins to follow Tadzio as he is no longer satisfied with only chance encounters. He accompanies the Polish family to church one Sunday, but when hurrying back to the hotel after them – on foot and by boat – he quickly feels overwhelmed and exhausted. Aschenbach is both exhilarated as well as dismayed by his own actions and wonders what his dutiful ancestors would think of him. He justifies to himself that he, as an artist, is a warrior and that he, like them, is serving.

Aschenbach investigates further. He finds the German newspapers in coffee houses full of contradictions. The manager of his hotel also reveals nothing to him. One evening, a music group performs at the hotel, led by a peculiar man, who is, like the stranger in Munich, red-haired. During the music performance, Aschenbach observes Tadzio, noting that the boy looks unwell. When an opportunity arises later, he asks the street musician about the situation in Venice and is given a cryptic answer. The next day, he again makes inquiries, this time at a travel bureau, where he is finally told the truth: an illness is taking over Venice. He is warned to leave

immediately. Aschenbach considers alerting the Polish family, but decides to say nothing. That night, he has a terrible dream. More and more people leave, but the Polish family, as well as Aschenbach, remain.

The writer visits a barbershop again, where he has a make-over. His grey hair is dyed black and make-up is used to revive his face as he now transforms into a false youth himself. When he later follows Tadzio and his family through the city, he is soon left behind at a square, exhausted.

A few days after he heads to the sea in the morning, seeing the family's luggage assembled in the hotel lobby. On the beach he watches Tadzio fighting and losing to his close friend. Upset, Tadzio stands by the water, like a vision in the sun. Aschenbach wants to get up and follow the boy, but sinks into his chair. Later that day his death is announced to the world.

Appendix (B) Sentence with Different HD and BA Versions

Hundertdruck (second revision, published last)	*Buchausgabe* (final revision, published second)
Er sah nämlich, als Beispiel gleichsam für alle Wunder und Schrecken der mannigfaltigen Erde, die seine Begierde sich auf einmal vorzustellen trachtete, – sah wie mit leiblichem Auge eine ungeheuere Landschaft, ein tropisches Sumpfgebiet unter dickdunstigem Himmel, feucht, üppig und ungesund, eine von Menschen gemiedene Urweltwildnis aus Inseln, Morästen und Schlamm führenden Wasserarmen. Die flachen Eilande, deren Boden mit Blättern, so dick wie Hände, mit riesigen Farnen, mit fettem, gequollenem und abenteuerlich blühendem Pflanzenwerk überwuchert war, sandten haarige Palmenschäfte empor, und wunderlich ungestalte Bäume, deren Wurzeln dem Stamm entwuchsen und sich durch die Luft in den Boden, ins Wasser senkten, bildeten verworrene Waldungen. Auf der stockenden, grünschattig spiegelnden Flut schwammen, wie Schüsseln groß, milchweiße Blumen; Vögel von fremder Art, hochschultrig, mit unförmigen Schnäbeln, standen auf hohen Beinen im Seichten und blickten unbeweglich zur Seite, während durch ausgedehnte Schilffelder ein klapperndes Wetzen und Rauschen ging, wie durch Heere von Geharnischten; dem Schauenden war es, als hauchte der laue, mephitische Odem dieser geilen und untauglichen Öde ihn an, die in einem ungeheuerlichen Zustande von Werden oder Vergehen zu schweben schien, zwischen den knotigen Rohrstämmen eines Bambusdickichts glaubte er einen Augenblick die phosphoreszierenden Lichter des Tigers funkeln zu sehen - und fühlte sein Herz pochen vor Entsetzen und rätselhaftem Verlangen.	Seine Begierde ward sehend, seine Einbildungskraft, noch nicht zur Ruhe gekommen seit den Stunden der Arbeit, schuf sich ein Beispiel für alle Wunder und Schrecken der mannigfaltigen Erde, die sie auf einmal sich vorzustellen bestrebt war: er sah, sah eine Landschaft, ein tropisches Sumpfgebiet unter dickdunstigem Himmel, feucht, üppig und ungeheuer, eine Art Urweltwildnis aus Inseln, Morasten und Schlamm führenden Wasserarmen, – sah aus geilem Farrengewucher, aus Gründen von fetten, gequollenem und abenteuerlich blühendem Pflanzenwerk haarige Palmenschäfte nah und ferne emporstreben, sah wunderlich ungestalte Bäume ihre Wurzeln durch die Luft in den Boden, in stockende, grünschattig spiegelnde Fluten versenken, wo zwischen schwimmenden Blumen, die milchweiß und groß wie Schüsseln waren, Vögel von fremder Art, hochschultrig, mit unförmigen Schnäbeln, im Seichten standen und unbeweglich zur Seite blickten, sah zwischen den knotigen Rohrstämmen des Bambusdickichts die Lichter eines kauernden Tigers funkeln - und fühlte sein Herz pochen vor Entsetzen und rätselhaftem Verlangen.

Appendix (C)   Detailed Consistency Scores for TT Pairs

	Target Text 1	Target Text 2	Overlap (1.00 = 100%)
1	Lowe-Porter	Doege	0.503
2	Lowe-Porter	Chase	0.527
3	Luke	Doege	0.538
4	Lowe-Porter	Hansen & Hansen	0.546
5	Chase	Doege	0.548
6	Heim	Doege	0.552
7	Neugroschel	Doege	0.553
8	Burke 1	Doege	0.554
9	Lower-Porter	Appelbaum	0.554
10	Lowe-Porter	Heim	0.555
11	Burke 2	Doege	0.556
12	Burke 1	Lowe-Porter	0.557
13	Lowe-Porter	Burke 2	0.559
14	Burke 1	Chase	0.562
15	Lowe-Porter	Neugroschel	0.562
16	Doege	Hansen & Hansen	0.563
17	Burke 2	Chase	0.566
18	Lowe-Porter	Koelb	0.572
19	Burke 1	Luke	0.574
20	Koelb	Doege	0.574
21	Appelbaum	Doege	0.576
22	Lowe-Porter	Luke	0.577
23	Neugroschel	Chase	0.578
24	Burke 2	Luke	0.579
25	Burke 1	Neugroschel	0.584
26	Luke	Neugroschel	0.584
27	Burke 1	Heim	0.585
28	Luke	Chase	0.588
29	Chase	Heim	0.588
30	Burke 1	Hansen & Hansen	0.589
31	Burke 2	Neugroschel	0.589
32	Burke 2	Heim	0.591
33	Appelbaum	Chase	0.593
34	Burke 2	Hansen & Hansen	0.594
35	Luke	Hansen & Hansen	0.594
36	Chase	Hansen & Hansen	0.598

37	Luke	Appelbaum	0.601
38	Koelb	Chase	0.602
39	Burke 1	Koelb	0.603
40	Luke	Koelb	0.603
41	Burke 1	Appelbaum	0.604
42	Burke 2	Koelb	0.609
43	Burke 2	Appelbaum	0.61
44	Neugroschel	Hansen & Hansen	0.612
45	Heim	Hansen & Hansen	0.614
46	Koelb	Neugroschel	0.615
47	Koelb	Heim	0.617
48	Appelbaum	Hansen & Hansen	0.618
49	Luke	Heim	0.624
50	Koelb	Hansen & Hansen	0.624
51	Koelb	Appelbaum	0.63
52	Appelbaum	Neugroschel	0.632
53	Appelbaum	Heim	0.645
54	Neugroschel	Heim	0.645
55	Burke 1	Burke 2	0.955

Appendix (D) Neologisms Lists: L1, L2 and L3

Note: Items are given in base form.

List 1 (L1): 353 items		List 2 (L2): 153 items		List 3 (L3): 107 items	
1.	Abendanzug				
2.	Abendtracht	1.	Abendtracht	1.	Abendtracht
3.	Abschattung				
4.	Abschiedshonneur	2.	Abschiedshonneur	2.	Abschiedshonneur
5.	Absurde (das)				
6.	Abweichende (das)				
7.	Acheloos				
8.	Allerweltsferienplatz	3.	Allerweltsferienplatz	3.	Allerweltsferienplatz
9.	Alltäglichste (das)				
10.	Alltagsstätte	4.	Alltagsstätte	4.	Alltagsstätte
11.	Altarkerze				
12.	Amethyst-Geschmeide	5.	Amethyst-Geschmeide	5.	Amethyst-Geschmedie
13.	Amorette				
14.	Amtlich-Erzieherische (das)	6.	Amtlich-Erzieherische (das)	6.	Amtlich-Erzieherische (das)

#	Begriff	#		#	
15.	ängstlich-übermütig	7.	ängstlich-übermütig	7.	ängstlich-übermütig
16.	Ansteckungsstoff				
17.	antithetisch				
18.	Astracha				
19.	Aufrechthaltende (der/die)	8.	Aufrechthaltende (der/die)	8.	Aufrechthaltende (der/die)
20.	Aufschlagen (das)				
21.	Aufsetzen (das)				
22.	Augenwelt	9.	Augenwelt		
23.	Aumeister				
24.	Ausbreiten (das)				
25.	Ausdingen (das)				
26.	Ausharren (das)				
27.	Ausschiffung				
28.	Ausschlafen (das)				
29.	Ausschweifung				
30.	Aussegnungshalle				
31.	ausstürmend	10.	ausstürmend	9.	ausstürmend
33.	Austauschbedürfnis	11.	Austauschbedürfnis		

34. Ausübende (der)		
35. Badeleben	12. Badeleben	
36. Bäder-Hotel	13. Bäder-Hotel	10. Bäder-Hotel
37. Bäderinsel	14. Bäderinsel	
38. Balkan-Idiom	15. Balkan-Idiom	11. Balkan-Idiom
39. balladesk		
40. Bambusdickicht		
41. Bänkelsänger		
42. Banne (der)		
43. Bariton-Buffo		
44. Barschaft		
45. Bartfliege	16. Bartfliege	12. Bartfliege
46. bäumend		
47. Befallene (der)	17. Befallene (der)	13. Befallene (der)
48. Befremdlichste (das)		
49. Befremdung		
50. bemänteln		
51. bemeistern (sich)		

52.	berücken			
53.	Berückte (der)	18.	14.	Berückte (der)
54.	Bettelvirtuose (der)	19. Bettelvirtuose (der)	15.	Bettelvirtuose (der)
55.	beutelschneiderisch	20. beutelschneiderisch	16.	beutelschneiderisch
56.	Bewunderungswürdige (das)			
57.	Bildsäule			
58.	blaßgrün			
59.	blauleinen	21. blauleinen		
60.	Bläulichgelockte (der)	22. Bläulichgelockte (der)		
61.	Blusenanzug			
62.	Bogenlampe			
63.	bräunlich-ledern	23. bräunlich-ledern	17.	bräunlich-ledern
64.	breitgeästet	24. breitgeästet	18.	breitgeästet
65.	breitschattend	25. breitschattend	19.	breitschattend
66.	Brettersteg			
67.	Bugspriet			
68.	Bürgersinn			
69.	Croupiergewandtheit	26. Croupiergewandtheit	20.	Croupiergewandtheit

70.	Dämmerblässe	27.	Dämmerblässe	21.	Dämmerblässe
71.	dämmergrau				
72.	dämmergrau				
73.	Dampferbrücke				
74.	dickdunstig	28.	dickdunstig	22.	dickdunstig
75.	dienstfertig				
76.	Dornauszieher				
77.	dumpf-süß	29.	dumpf-süß	23.	dumpf-süß
78.	Dunstschicht				
79.	Durchbildung				
80.	Durchführung				
81.	Einsam-Stumme (der)	30.	Einsam-Stumme (der)	24.	Einsam-Stumme (der)
82.	Einsam-Wache (der)	31.	Einsam-Wache (der)	25.	Einsam-Wache (der)
83.	Einzelinspiration	32.	Einzelinspiration	26.	Einzelinspiration
84.	Enthusiasmierte (der)	33.	Enthusiasmierte (der)	27.	Enthusiasmierte (der)
85.	entkörpern				
86.	Entstehungsbedingung				
87.	Entwaffnende (das)				

88.	Eßlust				
89.	Eulenspiegelei				
90.	Fackelbrand	34.	Fackelbrand		
91.	Fallkragen				
92.	Fallreepstreppe				
93.	Farrengewucher	35.	Farrengewucher	28.	Farrengewucher
94.	Fäulnisdunst	36.	Fäulnisdunst	29.	Fäulnisdunst
95.	Federwölkchen				
96.	Fellgewand				
97.	feurig-festlich	37.	feurig-festlich	30.	feurig-festlich
98.	Fieberdunst	38.	Fieberdunst	31.	Fieberdunst
99.	Freitreppe	39.	Freitreppe		
100.	Fremdenfälle	40.	Fremdenfälle		
101.	Fremdengewerbe	41.	Fremdengewerbe		
102.	Fremdenpoesie	42.	Fremdenpoesie	32.	Fremdenpoesie
103.	Friedhofsinsel				
104.	Friedrich-Roman	43.	Friedrich-Roman	33.	Friedrich-Roman
105.	Frisiermantel				

106.	Ganges-Delta				
107.	Garküche				
108.	Gassenhauer				
109.	Gasthofssitte	44.	Gasthofssitte	34.	Gasthofssitte
110.	Gebärdenspiel				
111.	gefährlich-lieblich	45.	gefährlich-lieblich	35.	gefährlich-lieblich
112.	gefallsüchtig				
113.	Gefühlsfrevel				
114.	Gefühlsspannung	46.	Gefühlsspannung		
115.	Gehrock				
116.	Geistesprodukt				
117.	Geldschneiderei				
118.	Gelegenheitsmacher				
119.	Gepäckbeförderungsamt	47.	Gepäckbeförderungsamt	36.	Gepäckbeförderungsamt
120.	Gesangsnummer				
121.	Geschäftsgasse	48.	Geschäftsgasse		
122.	Geschäftsgebaren				
123.	Geschäftsgeist				

124.	Geschliffen-Herkömmliche (das)	49.	Geschliffen-Herkömmliche (das)	37.	Geschliffen-Herkömmliche (das)
125.	Glasbläserei	50.	Glasbläserei		
126.	Glastür				
127.	Glockenturm				
128.	Glücksfrist	51.	Glücksfrist	38.	Glücksfrist
129.	gluthauchend	52.	gluthauchend	39.	gluthauchend
130.	Goldbrille				
131.	Goldletter				
132.	Gondel-Halteplatz	53.	Gondel-Halteplatz	40.	Gondel-Halteplatz
133.	Gottesgedanke				
134.	gottgleich				
135.	Göttlich-Nichtssagende (das)	54.	Göttlich-Nichtssagende (das)	41.	Göttlich-Nichtssagende (das)
136.	Granatapfel-Getränk	55.	Granatapfel-Getränk	42.	Granatapfel-Getränk
137.	grauweiß				
138.	Greisenlippe	56.	Greisenlippe	43.	Greisenlippe
139.	grundsonderbar	57.	grundsonderbar		
140.	grünschattig	58.	grünschattig		
141.	gutmütig-häßlich	59.	gutmütig-häßlich	44.	gutmütig-häßlich

142.	Hafenstraße				
143.	Halbdame	60.	Halbdame	45.	Halbdame
144.	halbgeflüstert	61.	halbgeflüstert	46.	halbgeflüstert
145.	Halbprofil				
146.	Halbschurke	62.	Halbschurke	47.	Halbschurke
147.	Halbwüchsige (der)				
148.	Handstreich				
149.	heilig-nüchtern	63.	heilig-nüchtern	48.	heilig-nüchtern
150.	heilig-schattig	64.	heilig-schattig	49.	heilig-schattig
151.	Herbstlichkeit	65.	Herbstlichkeit		
152.	Herde				
153.	himbeerfarben				
154.	Himmelsgegend				
155.	Hinabgesunkene (der)	66.	Hinabgesunkene (der)	50.	Hinabgesunkene (der)
156.	hochherzig-unwirtschaftlich	67.	hochherzig-unwirtschaftlich	51.	hochherzig-unwirtschaftlich
157.	honigfarben				
158.	Hospitalgeruch				
159.	Hotel-Angestellter	68.	Hotel-Angestellter	52.	Hotel-Angestellter

160.	Hotel-Personal	69.	Hotel-Personal	53.	Hotel-Personal
161.	Inselwildnis	70.	Inselwildnis		
162.	Instinktverschmelzung	71.	Instinktverschmelzung	54.	Instinktverschmelzung
163.	Isolierbaracke				
164.	Jugendhauch	72.	Jugendhauch		
165.	Jünglingsentführerin	73.	Jünglingsentführerin	55.	Jünglingsentführerin
166.	Jünglingserkenntnis	74.	Jünglingserkenntnis	56.	Jünglingserkenntnis
167.	Jünglingssehnsucht	75.	Jünglingssehnsucht		
168.	Karawanenverkehrs				
169.	katzbuckelnd				
170.	keck-behaglich	76.	keck-behaglich	57.	keck-behaglich
171.	keimbekämpfend	77.	keimbekämpfend	58.	keimbekämpfend
172.	Keuschbaumblüten	78.	Keuschbaumblüten		
173.	kirschengroß	79.	kirschengroß		
174.	kleinweltlich	80.	kleinweltlich	59.	kleinweltlich
175.	Klippenpartie	81.	Klippenpartie		
176.	komisch-heilig	82.	komisch-heilig	60.	komisch-heilig
177.	komisch-traumartig	83.	komisch-traumartig	61.	komisch-traumartig

178.	Kopfstimme		
179.	Korallenschnur		
180.	körperhaft-geistig	84.	körperhaft-geistig	62.	körperhaft-geistig
181.	korridorartig	85.	korridorartig	
182.	Krähenfuß		
183.	Kratzfuß		
184.	Kratzfüßen		
185.	Kreisstadt		
186.	kreuzschlagend		
187.	Kunstlachen	86.	Kunstlachen	63.	Kunstlachen
188.	Künstlerfurcht	87.	Künstlerfurcht	64.	Künstlerfurcht
189.	Künstlernaturell	88.	Künstlernaturell	
190.	Kurgesellschaft		
191.	Kursbuch		
192.	Kußhand		
193.	Lach-Refrain	89.	Lach-Refrain	65.	Lach-Refrain
194.	Lackschuh		
195.	Lebehoch	90.	Lebehoch	66.	Lebehoch

196.	Leibesbeschaffenheit				
197.	leidend-tätig	91.	leidend-tätig	67.	leidend-tätig
198.	Lesetisch				
199.	Liftboy				
200.	Löwenbalkon	92.	Löwenbalkon	68.	Löwenbalkon
201.	Löwenbild				
202.	Lustort				
203.	lustwandeln				
204.	Maja-Welt	93.	Maja-Welt	69.	Maja-Welt
205.	Märchentempel	94.	Märchentempel		
206.	Massenzutrauen	95.	Massenzutrauen	70.	Massenzutrauen
207.	mattschwarz				
208.	Medizinalbeamter				
209.	Meeresstille				
210.	Meeresstrich				
211.	Meerluft				
212.	Meerrausch	96.	Meerrausch		
213.	menschenarm				

No.	Term		
214.	Menschengeschiebe	97. Menschengeschiebe	
215.	milchweiß		
216.	Mitleidssatz		
217.	Mittelgröße		
218.	Mitwisserschaft		
219.	Morgen-Eleganz	98. Morgen-Eleganz	71. Morgen-Eleganz
220.	morgenfrisch		
221.	Morgentraum		
222.	Müßiggänger		
223.	Mustergültig-Feststehende (das)	99. Mustergültig-Feststehende (das)	72. Mustergültig-Feststehende (das)
224.	naßkalt		
225.	Nebelhaft-Grenzenlose (das)	100. Nebelhaft-Grenzenlose (das)	73. Nebelhaft-Grenzenlose (das)
226.	nonnenähnlich	101. nonnenähnlich	
227.	obrigkeitlich		
228.	Öldunst		
229.	Opferduft		
230.	Palmenschaft	102. Palmenschaft	
231.	pechartig		

232.	Pelzwerk				
233.	perlengeschmückt				
234.	plastisch-dramatisch	103.	plastisch-dramatisch	74.	plastisch-dramatisch
235.	Plauderwort	104.	Plauderwort	75.	Plauderwort
236.	pomadisiert				
237.	Prachthof				
238.	Promenadenquai	105.	Promenadenquai	76.	Promenadenquai
239.	Prosa-Epopöe	106.	Prosa-Epopöe	77.	Prosa-Epopöe
240.	Puppenstand				
241.	quinkelierend				
242.	Raumeswüste	107.	Raumeswüste	78.	Raumeswüste
243.	Reise-Schreibmappe	108.	Reise-Schreibmappe	79.	Reise-Schreibmappe
244.	Reiselust				
245.	Reiselustige (der)				
246.	Rippenstoß				
247.	Rohrtischchen	109.	Rohrtischchen		
248.	Romanteppich	110.	Romanteppich	80.	Romanteppich
249.	Rosenstreuen	111.	Rosenstreuen	81.	Rosenstreuen

250.	rostfarben			
251.	rostrot			
252.	rotbewimpert	112.	rotbewimpert	82.	rotbewimpert
253.	rotseiden			
254.	Rückwärtsarbeiten (das)			
255.	Ruheverlangen	113.	Ruheverlangen		
256.	Rundbank			
257.	Rundmarsch			
258.	Rundtanz			
259.	Salzhauch			
260.	Sandwurf	114.	Sandwurf		
261.	sargschwarz	115.	sargschwarz	83.	sargschwarz
262.	scharfspähend			
263.	Schattentuch	116.	Schattentuch		
264.	Schellentrommeln			
265.	schieferfarben			
266.	Schifferknecht			
267.	Schiffsinnern			

268.	Schlendern (das)				
269.	Schollern (das)				
270.	Schriftwort				
271.	schwarzgepolstert	117.	schwarzgepolstert	84.	schwargepolstert
272.	schwergeschmückt	118.	schwergeschmückt		
273.	schwermütig-enthusiastisch	119.	schwermütig-enthusiastisch	85.	schwermütig-enthusiastisch
274.	Sebastian-Gestalt	120.	Sebastian-Gestalt	86.	Sebastian-Gestalt
275.	Seelennot				
276.	Seemanns-Überjacke	121.	Seemanns-Überjacke	87.	Seemanns-Überjacke
277.	Seeseite				
278.	Selbstzucht				
279.	Seufzerbrücke				
280.	Sichauftichten				
281.	Siegelring				
282.	Sinneslust				
283.	Sinnlichwerden				
284.	Sklavenmanieren	122.	Sklavenmanieren		
285.	Sommeranzug				

286.	Sonnenglast				
287.	sonnenlos				
288.	Sonntagskind				
289.	stadtväterlich				
290.	starkfarbig				
291.	Stegreifdasein	123.	Stegreifdasein	88.	Stegreifdasein
292.	Strandbild				
293.	Strandsperre	124.	Strandsperre		
294.	stutzerhaft				
295.	Sündenweg				
296.	süßlich-offizinell	125.	süßlich-offizinell	89.	süßlich-offizinell
297.	Tagedieberei	126.	Tagedieberei	90.	Tagedieberei
298.	Tagesblatt				
299.	Tagesregel				
300.	Tagewerk				
301.	Tapfer-Sittliche (das)	127.	Tapfer-Sittliche (das)	91.	Tapfer-Sittliche (das)
302.	Torweg				
303.	Traumbann	128.	Traumbann		

304.	traumglücklich				
305.	Traumworte				
306.	Tressenmütze				
307.	turbanartig				
308.	u-Laut	130.	u-Laut		
309.	u-Ruf	131.	u-Ruf		
310.	Übelbefinden				
311.	Überlebtheit				
312.	übermodisch	132.	übermodisch		
313.	Überschauende (das)				
314.	Ufersaum				
315.	Unbärtige (der)	133.	Unbärtige (der)	93.	Unbärtige (der)
316.	unbotmäßig				
317.	Ungererstraße				
318.	Unkenntnis				
319.	unkleidsam				
320.	unmaßgeblich				
321.	üppig-untauglichen	134.	üppig-untauglichen	94.	üppig-untauglichen

304.	traumglücklich	129.	traumglücklich	92.	traumglücklich

322.	Urteilsaustausch	135.	Urteilsaustausch	95.	Urteilsaustausch
323.	Urweltwildnis (2x)	136.	Urweltwildnis (2x)	96.	Urweltwildnis (2x)
324.		137.		97.	
325.	Verheißungsvoll-Ungeheure (das)	138.	Verheißungsvoll-Ungeheure (das)	98.	Verheißungsvoll-Ungeheure (das)
326.	vernunftwidrig				
327.	Versuchsaufenthalt	139.	Versuchsaufenthalt	99.	Versuchsaufenthalt
328.	Vertrauenswürdigen				
329.	Verwaltungsfunktionär	140.	Verwaltungsfunktionär		
330.	vollreif				
331.	Vormittagsstunde				
332.	vorwärtskehrend	141.	vorwärtskehrend	100.	vorwärtskehrend
333.	Vorzugskind	142.	Vorzugskind		
334.	Wanderergestalt	143.	Wanderergestalt	101.	Wanderergestalt
335.	Wandererhafte (das)	144.	Wandererhafte (das)	102.	Wandererhafte (das)
336.	Wankelmut				
337.	Waschstoff				
338.	Wasserarm				
339.	Wasserstadt				

340.	weißbeschienen	145.	weißbeschienen	103.	weißbeschienen
341.	Weitherkommende (der)	146.	Weitherkommende (der)	104.	Weitherkommende (der)
342.	Weltbummelei	147.	Weltbummelei	105.	Weltbummelei
343.	weltgültig				
344.	Weltverkehr				
345.	Wetterkragen				
346.	Willensverzückung	148.	Willensverzückung	106.	Willensverzückung
347.	Wohllaut				
348.	wunderlich-wundersam	149.	wunderlich-wundersam	107.	wunderlich-wundersam
349.	Zeitungstisch				
350.	ziegenbärtig	150.	ziegenbärtig		
351.	Zufallsbeobachter	151.	Zufallsbeobachter		
352.	zungengeläufige	152.	zungengeläufige		
353.	Zweifelsinn	153.	Zweifelsinn		

Appendix (E)   Full List of ST Similes

Note: Similes have been sorted alphabetically. The chapters in which they appear are also indicated.

(1) "Amor fürwahr tat es den Mathematikern gleich, die unfähigen Kindern greifbare Bilder der reinen Formen vorzeigen: So auch bediente der Gott sich, um uns das Geistige sichtbar zu machen, gern der Gestalt und Farbe menschlicher Jugend, die er zum Werkzeug der Erinnerung mit allem Abglanz der Schönheit schmückte und bei deren Anblick wir dann wohl in Schmerz und Hoffnung entbrannten." (Ch. 4)

(2) "Aschenbach war problematisch, war unbedingt gewesen wie nur irgendein Jüngling" (Ch. 2)

(3) "aus der Marmormasse der Sprache die schlanke Form befreite, die er im Geiste geschaut und die er als Standbild und Spiegel geistiger Schönheit den Menschen darstellte" (Ch. 4)

(4) "Begeisterten heulten den Ruf aus weichen Mitlauten und gezogenem u-Ruf am Ende, süß und wild zugleich, wie kein jemals erhörter: hier klang er auf, in die Lüfte geröhrt, wie von Hirschen" (Ch. 5)

(5) "beim Schreiben den Wuchs des Knaben zum Muster zu nehmen, seinen Stil den Linien dieses Körpers folgen zu lassen, der ihm göttlich schien, und seine Schönheit ins Geistige zu tragen, wie der Adler einst den troischen Hirten zum Äther trug" (Ch. 4)

(6) "»Bestürzt«, dachte er, »bestürzt wie ein Hahn, der angstvoll seine Flügel im Kampfe hängen läßt" (Ch. 4)

(7) "Blätter, so dick wie Hände" (HD only, Ch. 1)

(8) "Blumen, die milchweiß und groß wie Schüsseln waren" (Ch. 1, my emphasis)

(9) "Blumen, die milchweiß und groß wie Schüsseln waren" (Ch. 1, my emphasis)

(10) "Das Bewußtsein seiner Mitwisserschaft, seiner Mitschuld berauschte ihn, wie geringe Mengen Weines ein müdes Hirn berauschen" (Ch. 5)

(11) "das Reisen nichts anders, denn als eine hygienische Maßregel" (Ch. 1)

(12) "Das seltsame Fahrzeug, aus balladesken Zeiten ganz unverändert überkommen und so eigentümlich schwarz, wie sonst unter allen Dingen nur Särge es sind" (Ch. 3)

(13) "daß seine Gedanken und Funde gewissen scheinbar glücklichen Einflüsterungen des Traumes glichen, die sich bei ernüchtertem Sinn als vollständig schal und untauglich erweisen" (Ch. 3)

(14) "Dem Abenteuernden war es, als tränke sein Auge dergleichen Üppigkeit, als würde sein Ohr von solchen Melodien umworben" (Ch. 5)

(15) "Der Englische Garten, obgleich nur erst zart belaubt, war dumpfig wie im August" (Ch. 1)

(16) "der gedehnten Zeile der Capannen, auf deren Plattformen man wie auf kleinen Veranden saß" (Ch. 3)

(17) "der Hauch, der auf einmal so sanft und bedeutend, höherer Einflüsterung gleich" (Ch. 4)

(18) "Der, welcher dies Lächeln empfangen, enteilte damit wie mit einem verhängnisvollen Geschenk" (Ch. 4)

(19) "die lebendige Gestalt, vormännlich hold und herb, mit triefenden Locken und schön wie ein zarter Gott, herkommend aus den Tiefen von Himmel und Meer, dem Elemente entstieg und entram" (Ch. 3)

(20) "ein Hauch wie von faulenden Wassern" (Ch. 5)

(21) "er saß aufgerichtet wie zum Versuche der Abwehr oder Flucht" (Ch. 5)

(22) "er Venedig wie ein Fliehender hatte verlassen müssen" (Ch. 3)

(23) "er war wie Dichterkunde von anfänglichen Zeiten, vom Ursprung der Form und von der Geburt der Götter" (Ch. 3)

(24) "gottgleiches Antlitz" (Ch. 4)

(25) "hüpften die Wellen empor als springende Ziegen" (Ch. 4)

(26) "ihm war, als ob sein Gewissen wie nach einer Ausschweifung Klage führe" (Ch. 4)

(27) "ihr bläuliches Geäder ließ seinen Körper wie aus klarerem Stoffe gebildet erscheinen" (Ch. 4)

(28) "kam ein Gefühl von Benommenheit ihn an, so, als zeige die Welt eine leichte, doch nicht zu hemmende Neigung, sich ins Sonderbare und Fratzenhafte zu entstellen" (Ch. 3)

(29) "kindliche Wolken, verklärt, durchleuchtet, schwebten gleich dienenden Amoretten im rosigen, bläulichen Duft" (Ch. 4)

(30) "lag das Meer in stumpfer Ruhe, verschrumpft gleichsam, mit nüchtern nahem Horizont und so weit vom Strande zurückgetreten, daß es mehrere Reihen langer Sandbänke freiließ" (3)

(31) "Man hatte sich gehütet die Schere an sein schönes Haar zu legen; wie beim Dornauszieher lockte es sich in die Stirn, über die Ohren und tiefer noch in den Nacken" (Ch. 3)

(32) "nonnenähnlichen Schwestern"" (Ch. 4)

(33) "Reiselust, nichts weiter; aber wahrhaft als Anfall auftretend und ins Leidenschaftliche, ja bis zur Sinnertäuschung gesteigert" (Ch. 1)

(34) "schon riefen Frauenstimmen nach ihm von den Hütten, stießen wiederum diesen Namen aus der den Strand beinahe wie eine Losung beherrschte"" (Ch. 3)

(35) "sein Herz, vielleicht auch vom schnellen Gang, wie ein Hammer schlägt" (Ch. 4)

(36) "seine Achselhöhlen waren noch glatt wie bei einer Statue" (Ch. 4)

(37) "so sind wir [Dichter] wie Weiber, denn Leidenschaft ist unsere Erhebung, und unsere Sehnsucht muß Liebe bleiben, das ist unsere Lust und unsere Schande" (Ch. 5)

(38) "von eigentümlich spröder Durchsichtigkeit, wie zuweilen bei Bleichsüchtigen" (Ch. 3)

(39) "während durch ausgedehnte Schilffelder ein klapperndes Wetzen und Rauschen ging, wie durch Heere von Geharnischten" (HD only) (Ch. 1)

(40) "Weiße Federwölkchen standen in verbreiteten Scharen am Himmel gleich weidenden Herden der Götter" (Ch. 4)

(41) "Wie wäre die berühmte Erzählung vom »Elenden« wohl anders zu deuten, denn als Ausbruch des Ekels gegen den unanständigen Psychologismus der Zeit, verkörpert in der Figur jenes weichen und albernen Halbschurken, der sich ein Schicksal erschleicht, indem er sein Weib, aus Ohnmacht, aus Lasterhaftigkeit, aus ethischer Velleität, in die Arme eines Unbärtigen treibt und aus Tiefe Nichtswürdigkeiten begehen zu dürfen glaubt?" (Ch. 2)

(42) "zeigte das Weiße der Augen, als sei er blind" (Ch. 5)

Appendix (F)   Similes with Countertranslation

For details, refer to the respective section in the chapter.

(1) "seine Achselhöhlen waren noch glatt wie bei einer Statue"

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
seine Achselhöhlen waren noch glatt wie bei einer Statue,	His armpits were still as smooth as those of a statue;	His armpits were still as smooth as a statue's,	His armpits were still as smooth as those of a statue;	his armpits were still as smooth as those of a statue,	his armpits were still as smooth as those of a statue,	his armpits were still as smooth as a statue's;	his armpits were still as smooth as a statue's	his armpits ran smooth as a statue's,	the armpits were still as smooth as a statue's,	his armpits were still as bare as in a statue	His armpits were still as smooth as those of a statue

B1, LP, B2, L, K, A, N, H and HH: "were [...] smooth".

D: "were [...] bare".

CH: "ran smooth".

(2) "Der Englische Garten, obgleich nur erst zart belaubt, war dumpfig wie im August"

Edition / Translator	Text
Frankfurter Ausgabe	Der Englische Garten, obgleich nur erst zart belaubt, war dumpfig wie im August
Burke (1924)	The English Gardens, although the foliage was still fresh and sparse, were as pungent as in August
Lowe-Porter (1928)	The English Gardens, though in tenderest leaf, felt as sultry as in August
Burke (1970)	The English Gardens, although the foliage was still fresh and sparse, were as pungent as in August
Luke (1988)	The Englischer Garten, although still only in its first delicate leaf, had been as sultry as in August
Koelb (1994)	The Englischer Garten, although only beginning to come into leaf, was as muggy as in August
Appelbaum (1995)	The English Garden, although its trees still bore only a few leaves, yet, had been as muggy as in August
Neugroschel (1998)	The English Garden, though only tender leaves as yet, had been as muggy as August
Chase (1999)	Though the leaves were hardly out, the Englischer Garten had nonetheless felt summer late-sultry
Heim (2004)	The Englischer Garten, though as yet in tender bud, was muggy as in August
Doege (2007)	The Englische Garten, although only slightly leafy, was humid as in August
Hansen Hansen (2012)	Although its delicate foliage was just starting to bud, the English Garden was as steamy as in August

B1, B2, L, K, A, N, H, D, HH: "(as) + ADJ + as + in August".

LP: "felt as sultry + as + in August".

CH: "felt late-summer sultry".

(3) "ein Bettler ... zeigte das Weiße der Augen, als sei er blind"

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
ein Bettler,	a beggar	a beggar	a beggar	a beggar	a beggar	a beggar	a beggar,	A beggar	a beggar, in	a mendicant	a crouching
daraufkauernd,	squatted	squatted	squatted	squatted on	crouching	squatting	squatting	who	affirmation	cowering on	beggar
sein Elend	there,	displaying	there,	them,	there and	there,	there,	squatted	of his	them	proclaimed
beteuernd,	protesting his	his misery to	protesting his	protesting	asserting his	attesting to	proclaiming	upon them	indigence,	presented	his misery by
hielt seinen	misery,	view,	misery,	his misery,	miser: held	his destitute	his poverty,	protesting	squatted	his hat and	showing the
Hut hin und	holding out	showing the	holding out	holding out	out his hat	state, held	held out his	his misery	with his hat	showed the	whites of his
zeigte das	his hat, and	whites of his	his hat, and	his hat and	and showed	out his hat	hat and	held out his	out and	white of his	eyes as if he
Weiße der	showing the	eyes,	showing the	showing the	the whites	and showed	showed the	hat and	showed the	eyes like a	were blind
Augen, als sei	whites of his	holding out	whites of his	whites of his	of his eyes	the whites	whites of his	showed the	whites of his	blind man,	and holding
er blind;	eyes as	his hat for	eyes	eyes as if he	as if he were	of his eyes	eyes as if he	whites of his	eyes as if he		out his hat.
	though he	alms.	though he	were blind;	blind;	as if he were	were blind;	eyes as if he	were blind.		
	were blind.		were blind.			blind;		were blind.			

B1, LP, B2, L and HH: "showing".

K, A, N, H, D: "showed".

CH: "displayed".

A stronger example of countertranslation is seen in this case with Doege, who translates "like a blind man" when others write "as though he were blind" (B1, B2), "as if he were blind" (L, K, A, N, H, HH) and "as if blind" (CH). (Lowe-Porter omits the part.)

(4) "die schlanke Form ... als Standbild und Spiegel geistiger Schönheit"

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
die schlanke Form ... als Standbild und Spiegel geistiger Schönheit den Menschen darstellte?	some slender form ... as a statue and a mirror of intellectual beauty?	the slender forms ... as the mirror and image of spiritual beauty?	some slender form ... as a statue and a mirror of intellectual beauty?	that slender form ... as a mirror and sculptured image of intellectual beauty?	a slender form ... as image and mirror of spiritual beauty?	the slender form ... as an icon and mirror of intellectual beauty?	the slender form ... as an idol and mirror of spiritual beauty?	that sleek form ... as a model and mirror of sublime beauty?	the slender form ... as an effigy and mirror of spiritual beauty?	that slender shape ... as an example and mirror of intellectual beauty?	slender form ... as an image and reflection of spiritual beauty

B1, B2, L, A, D: "intellectual beauty".

LP, K, N, H, HH: "spiritual beauty".

CH: "sublime beauty" (different word choice).

Source	Text
Frankfurter Ausgabe	die lebendige Gestalt, vormännlich hold und herb, mit triefenden Locken und schön wie ein zarter Gott, herkommend aus den Tiefen von Himmel und Meer, dem Elemente entstieg und entrann
Burke (1924)	this living figure, graceful and clean-cut in its advance, with dripping curls, and lovely as some frail god, came up out of the depths of sky and "sea," rose and separated from the elements
Lowe-Porter (1928)	The sight of this living figure, virginally pure and unripe, with dripping curls, and lovely as a tender young god, emerging from the depths of sea and sky, outrunning the element
Burke (1970)	this vital figure, graceful and virginally unripe, with dripping curls, and lovely as some slender god, came up out of the depths of sky and sea, rose and separated from elements
Luke (1988)	this living figure, lovely and austere in its early masculinity, with dripping locks and beautiful as a young god, approaching out of the depths of the sky and the sea, rising and escaping from the elements
Koelb (1994)	this lively adolescent figure, lovely, acrid as new wine, in its sweet and acrid adolescent masculinity, on the verge of manhood, emerging from the depths of the sea with dripping locks and escaping the clutches of the elements
Appelbaum (1995)	that living figure, lovely, acrid as new wine in its foretaste of adolescent masculinity, with dripping curls and sprinting from the beautiful as a delicate coming, rising from the sky and sea, dripping and escaping, escaped from the watery element
Neugroschel (1998)	the living figure, with the grace and austerity yet precociously dour manhood, locks dripping, fair, from the as a gentle element, god, beautiful locks, from the depths of sky and sea, emerging from the liquid element, absconding from it
Chase (1999)	this mortal figures, boyishly fair and austerity of early manhood, dripping, fair handsome as beautiful, with dripping, emerging the youthful god, beautiful, like a tender sea and sky, escaping the watery depths of sky and sea: sight conjured up mythic images.
Heim (2004)	so vibrant a figure, with pretty and harsh in a not-yet-manly way, with dripping curls and locks and as handsome a, from the god, ascended from the watery depths of sky and sea: sight
Doege (2007)	the lively figure, lovely and austere in his adolescence, with dripping locks and beautiful as a delicate god, emerging from the depths of sky and sea, rising from the water
Hansen Hansen (2012)	this living figure – lovely and austere in his... and running

Example "Lebendige Gestalt":

B1, LP, B2, L, K, A, N, H, D and HH all use adjectives describing something with *life*: "living/vital/vibrant/lively + figure".

CH uses an adjective describing something related to *death*: "mortal figures".

Example "Himmel und Erde":

B1, B2, L, K, A, N, D, HH: "sky and sea".

LP, H: "sea and sky" (change in word order).

CH: "air and sea" (different word choice with "air").

(6) " »Bestürzt«, dachte er, »bestürzt wie ein Hahn, der angstvoll seine Flügel im Kampfe hängen läßt. "

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
»Bestürzt«, dachte er, »bestürzt wie ein Hahn, der angstvoll seine Flügel im Kampfe hängen läßt.	"Downed," he thought, "downed like a rooster, with his wings hanging miserably in the battle.	"I was like the gamecock that lets his wings droop in the battle.	"Downed," he thought, "downed like a rooster, with his wings hanging miserably in the battle.	'Crestfallen,' he thought, 'spirits dashed, like a frightened cock hanging its wings in a fight!	"We've been quite confounded," he thought, "and now we're as crestfallen as a gamecock that lets its wings droop during a fight.	"Dumbfounded," he thought, "as a fighting cock that frightened rooster droops its wings in fear during the fight.	Bewildered, he thought, bewildered like a gamecock too frightened to raise its wings during a fight.	Felled, he thought, felled like a gamecock too scared to raise its wings during a fight.	"Daunted," he thought, "daunted like a gamecock lets its wings hang limply in a drooping its wings in battle.	"Aghast like a cock who lets his wings hang limply in a fighting cock trailing his wings thought.	Foiled," he thought, "foiled like a terrified fighting cock trailing his wings on the ground.

B1, LP, B2, L, K, A, N, H, D, HH all translate literally, using a verb or verb phrase indicating *downward* movement, i.e. "wings hanging", "wings droop", "hanging its wings", "droops its wings", "drooping its wings", "wings hang", "trailing its wings on the ground".
CH rephrases using a verb signifying *upward* movement: "too scared to *raise* its wings" (my emphasis).

(7) "er war wie Dichterkunde von anfänglichen Zeiten, vom Ursprung der Form und von der Geburt der Götter."

Source	Text
Frankfurter Ausgabe	er war wie Dichterkunde von anfänglichen Zeiten, vom Ursprung der Form und von der Geburt der Götter.
Burke (1924)	it was like some poet's recovery of time at its beginning, of the origin of forms and the birth of gods.
Lowe-Porter (1928)	it was like a primeval legend, handed down from the beginning of time, of the birth of form, of the origin of the gods.
Burke (1970)	it was like some poet's recovery of primitive age, a tale of the origins of form and of the birth of the gods.
Luke (1988)	It was like a sight belonging to poetic legends from the beginning of times, the origin of form and the birth of the gods.
Koelb (1994)	it was a sight poetic message telling of primordial times, about the origins of form and of the birth of the gods.
Appelbaum (1995)	it was like a poetic legend about primordial times, about the origins of form and the births of the gods.
Neugroschel (1998)	It was like a something from a poetic legend about primordial times, about the origins of form and the births of the gods.
Chase (1999)	It was like something from a poetic saga about dawn of time, when the universe was originally given form end the gods were born.
Heim (2004)	it was enough to inspire ancient mythical associations, like the lay of a bard about times primeval, about the origin of form and the birth of the gods.
Doege (2007)	he was like a poem about message beginning of birth of form and the genesis of the gods.
Hansen Hansen (2012)	It was like the poet's message from the beginning of the time about the origin of form and birth of the gods.

B1, LP, B2, L, K, A, N, H, D, HH: "N + of + (the) + N", specifically "birth/origin/genesis + of + (the) + gods".

CH uses grammatical rephrasing (N → V): "the gods were born".

(8) "ein Gefühl von Benommenheit … so, als zeige die Welt eine leichte, doch nicht zu hemmende Neigung, sich ins Sonderbare und Fratzenhafte zu entstellen"

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
kam ein Gefühl von Benommenheit ihn an, so, als zeige die Welt eine leichte, doch nicht zu hemmende Neigung, sich ins Sonderbare und Fratzenhafte zu entstellen	and a feeling of numbness came over him again, as though the world were displaying a faint but irresistible tendency to distort itself into the peculiar and the grotesque	there came over him once more a dazed sense, as though things about him were just slightly losing their ordinary perspective, beginning to show a distortion that might merge into the grotesque	a feeling of numbness came over him again, as though the world were displaying somehow, slightly yet uncontrollably, a faint but irresistible tendency to distort itself some kind of into the bizarre and grotesque	once more a sense of numbness came over him, a feeling that the world was displaying a slight but uncontrollable tendency to sliding into distort, bizarre and grotesque derangement	was once again seized by a feeling of giddiness, as if the world were displaying a slight but uncontrollable tendency to inclination to deform itself into the bizarre and sneering aspect	once again a feeling of giddiness came over him, as if the world were showing an uncontrollable tendency to become bizarre and gargoylish odd and grotesque	overwhelmed with a sense of numbness, as if the world were showing an uncontrollable tendency to warp the bizarre and gargoylish	once again felt dazed, a feeling of numbness came over him, relentlessly as if the world were beginning to warp toward the bizarre and fragmentary	once more a feeling of unreality, numbness came over him, as if the world showed a small but definite tendency to ever so slightly yet intractably a towards a strange and grotesque warping,	again he got a feeling of feeling came over him, as if the world were showing a slight, but inexorable tendency to slip into the transform itself peculiar and into grotesque;	then a lightheaded feeling overcame him, as if the world were showing a slight, but inexorable tendency to transform itself into something strange and macabre

B1, B2, L, K, A, N, H, D: "N + of + N", i.e. "feeling/sense of numbness/giddiness/unreality".

LP, HH: "ADJ + N" ("dazed sense" for LP and "lightheaded feeling" for HH).

CH: "ADJ + ADJ" ("felt dazed").

(9) "Blumen, die milchweiß und groß wie Schüsseln waren"

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
zwischen	between	mammoth	between	milk-white	amidst	amid	bowl-sized,	between	amidst milk-	milk-white,	milk-white
schwimmenden	floating	milk-white	floating	blossoms	floating	floating	milky white	floating,	white	bowl-sized	blossoms
Blumen, die	flowers	blossoms	flowers	floated as	flowers that	flowers as	flowers	milky-white	flowers	flowers were	floated, as
milchweiß und wie	which were	floated	which were	big as plates	were white	white		flowers the	bobbing like	floating	big
groß	milk-white		milk-white		as milk and	milk and as		size of	bowls,		saucers.
Schüsseln	and large as		and large as		big as	large as		plates,			
waren	dishes		dishes		platters;	platters,					

All translators use either a simile construction with "as", an "ADJ + ADJ + N" construction or a combination of both.

Chase changes the lexis and uses grammatical rephrasing for the "groß wie Schüsseln" part by making it "*the size of* plates" (my emphasis).

(10) "Der, welcher dies Lächeln empfangen, enteilte damit wie mit einem verhängnisvollen Geschenk"

Frankfurter Ausgabe	Burke (1924)	Lowe-Porter (1928)	Burke (1970)	Luke (1988)	Koelb (1994)	Appelbaum (1995)	Neugroschel (1998)	Chase (1999)	Heim (2004)	Doege (2007)	Hansen Hansen (2012)
Der, welcher dies Lächeln empfangen, enteilte damit wie mit einem verhängnisvollen Geschenk.	He had received this smile, and he hurried away as though he carried a fatal gift.	Aschenbach received that smile and turned away with it as though entrusted, with a fatal gift.	He had received this smile, and he hurried away as though he bore a fatal gift.	He who had received this smile carried it quickly away with him like a fateful gift.	He who had been the recipient of this smile rushed away with it as if with a gift heavy with destiny.	He who had received this smile dashed away with it as with some fatal gift.	The man receiving this smile hurried away with it as with a fateful gift.	The man on the receiving end of this smile spirited it away like a fatal gift.	The recipient of that smile ran away with it as if it were a fatal gift.	The addressee of this smile hurried off with it as if with a calamitous gift.	The recipient of this smile hurried off with it as though bearing a fateful gift.

B1, LP, B2, L, A, N: "received/receiving + determiner + smile".

K, H, D and HH: "N + of that smile" (with N being "recipient" for K, H and HH and "addressee" for D).

CH: "on the receiving end of this smile."

Appendix (G)   Added TT Similes

Annotation: If embedded in a longer phrase or sentence, ST item that is translated as a simile is underlined. The simile used in translation is also underlined.

	ST item	Similes in TTs	Number of additions per instance
(1)	"Aber das Gelächter, der heraufwehende Hospitalgeruch und die Nähe des Schönen verwoben sich ihm zu einem Traumbann" (Ch. 5)	"But the laughter, the hospital smell wafting up to him, and the nearness of the beauty coalesced in a dream like spell" (N) "But the laughter, the wafting hospital odor and the closeness of the beautiful boy immobilized him like an inescapable spell" (D)	2
(2)	"Aber der Tag, der so feurig-festlich begann, war im ganzen seltsam gehoben und mythisch verwandelt." (Ch. 4)	"But the day, which began so festive and fiery, was mysteriously exalted, was metamorphosed as in a myth" (N)	1
(3)	"am pechartig zähe gewordenen Blut" (Ch. 5)	"blood became as thick as glue" (B1, B2) "his blood grows thick like pitch" (LP) "his blood would thicken like pitch" (L) "his blood as viscous as pitch" (K) "blood that had become as thick and sticky as pitch" (A)	10

No.	German	English translation(s)	Count
		"his pitch-like blood" (N) "blood as thick as pitch" (CH) "his own blood, now thick as pitch" (H) "blood, which has become as thick as pitch" (HH)	
(4)	"auf dem Rasen aber, der sanft abfiel, so daß man im Liegen den Kopf hochhalten konnte" (Ch. 4)	"on the grass, which was like a pillow gently sloping to the head" (B1, B2)	2
(5)	"bedeutet … Aufatmen ein Seufzen" (Ch. 4)	"an intake of breath was like a kind of sighing" (L)	1
(6)	"berührte ihn das Gefühl des Schwimmens" (Ch. 3)	"he felt as though he were swimming" (B1, B2)	2
(7)	"Blütendolden, weiß und purpurn, nach Mandeln duftend" (Ch. 5)	"They were white and purple and smelled like almonds." (K)	1
(8)	"das Göttlich-Nichtssagende" (Ch. 3)	"what had been as inexpressive as a god" (A)	1
(9)	"das märchenhaft Abweichende" (Ch. 3)	"as out of the ordinary as a fairy tale" (K) "incomparable, different as a fairy tale," (A) "somewhere fairy tale-like" (CH) "fairy-tale-like location" (H)	4
(10)	"das Wandererhafte" (Ch. 1)	"wayfarer-like" (D)	1
(11)	"der Adler" (Ch. 4)	"eagle-like Zeus" (D)	1
(12)	"Der Berückte ging, traumglücklich, verwirrt und furchtsam" (Ch. 5)	"He walked away, fascinated he was happy as in a dream, timid and bewildered." (B1, B2) "Aschenbach went off as in a dream, dazed between joy and fear" (LP)	8

		"And the spellbound lover departed, confused and timorous but happy as in a dream." (L) "The beguiled lover went out, happy as in a dream, yet confused and timid." (K) "The enchanted man left, as joyful as in a dream, confused and fearful." (N) "The spellbound lover left, agitated and confused, yet as happy as in a dream." (H) "Aschenbach left like a man under a spell – euphoric, confused, and fearful." (HH)	
(13)	"der Gott, der ... unserm stolzen Sinn so gänzlich zu Boden drückt" (Ch. 4)	"the Love-God himself, that ... weighs our proud spirits low as the ground" (LP)	1
(14)	"der Solist mit großem Talent zu täuschendster Lebendigkeit zu gestalten wußte" (Ch. 5)	"the soloist in particular showing great talent in his life-like rendering of it" (L)	1
(15)	"der Spitze hellebardenartig" (Ch. 3)	"halberdlike tip" (B1, B2) "its tip like a halberd" (L) "its halberdlike beak" (K) "tip like a halberd" (A) "its tip like a halberd" (N) "prow ... spiked like a halberd" (CH) "the tip like a halberd" (H) "tip ... like a spear" (D)	10

		"its tip like a halberd" (HH)	6
(16)	"die Gesichter nonnenhaft leer und nichtssagend" (Ch. 3)	"vacant expression, like a nun's" (LP) "a nun-like emptiness and expressionlessness" (L) "their faces seem as empty and inexpressive as a nun's" (A) "their faces as vacant and vacuous as a nun's" (N) "their faces as vacant and inexpressive as a nun's" (H) "a nun-like, vacuous and insipid look" (HH)	
(17)	"die lachende Gesellschaft" (Ch. 5)	"they … laughed as though possessed" (LP)	1
(18)	"die ungeheure Scheibe des öden Meeres" (Ch. 3)	"The sea, empty, like an enormous disk" (B1, B2)	2
(19)	"Die Vorstellung, einem Verbrecher in die Hände gefallen zu sein, streifte träumerisch Aschenbachs Sinne" (Ch. 3)	"The idea of having fallen into criminal hands flashed through Aschenbach's mind like a dream" (CH)	1
(20)	"dies meist leidend seitwärts geneigte Haupt" (Ch. 2)	"his head, which usually leaned sideways as if in pain" (A) "this head, which he usually held at somewhat of an angle, as though in pain" (CH)	2
(21)	"dieser sargschwarz lackierte, mattschwarz gepolsterte Armstuhl" (Ch. 3)	"that armchair painted black like a coffin and upholstered in a dull black" (A)	1
(22)	"Ein kleiner Platz, verlassen, verwunschen anmutend" (Ch. 5)	"A small, deserted square, which looked as if it had been placed under a curse" (A)	1
(23)	"ein ziegenbärtiger Mann von der Physiognomie eines	"a man with a beard like a goat's" (LP)	2

	German	English	
	"altmodischen Zirkusdirektors" (Ch. 3)	"a goateed man sat behind a table with a face like that of an old-fashioned circus impresario" (CH)	1
(24)	"eine Art Urweltwildnis aus Inseln, Morasten und Schlamm führenden Wasserarmen" (Ch. 1)	"it was like the portrait of a primitive world of islands, morasses and silt-laden rivers." (A)	1
(25)	"eine heftig wegwerfende, sich abwendende Bewegung" (Ch. 3)	"shrugging his shoulders as if to discard something and get away from it" (K)	1
(26)	"einem fix gewordenen Lächeln" (Ch. 5)	"a rictus-like smile" (L)	1
(27)	"einen Palast durch eine Hintertür betreten heiße" (Ch. 3)	"like entering a palace from the rear" (B1, B2) "like entering a palace by the back door" (L) "like entering a palace by the back door" (LP) "like entering a palace by a back door" (K) "like entering a palace through a back door" (A) "like entering a palace through a back door" (N) "like entering a palace through one of the back doors" (CH) "tantamount to entering a palace by the back door" (H) "like entering a palace through the servants' entrance" (D) "like entering a palace through the back door" (HH)	11
(28)	"einer höhlenartigen, künstlich erleuchteten Koje" (Ch. 3)	"to an artificially lit cave-like cabin" (L) "a cave-like, artificially-lit berth" (D)	3

No.	German	English translation(s)	Count
		"a cave-like, artificially lighted compartment" (HH)	1
(29)	"eines langen Atems" (Ch. 2)	"as it were all in one breath" (LP)	1
(30)	"er ...ja schnellte elastisch auf" (Ch. 5)	"he ... uncoiled like a spring to his full height" (L) "he ... in fact, bounced up like rubber" (A)	2
(31)	"er abwesend war, und, nach der Weise der Liebenden, seinem bloßen Schattenbild zärtliche Worte zu geben" (Ch. 5)	"loverlike" (LP) "in his absence, and as lovers do, whisper tender words of devotion even to his shadow" (HH)	2
(32)	"er schrieb große Krähenfüße" (Ch. 3)	"He inscribed great letters like crane's feet" (K)	1
(33)	"erschütterte von innen fast krampfhaft seine Brust" (Ch. 3)	"shook him almost as with a spasm" (LP) "seized his breast from within like a spasm" "moved him almost as in a fit" (D) (K)	3
(34)	"Es war ein Mann ... seemännisch blau gekleidet (Ch. 3)	"The man ... wore blue clothes like a sailor's" (LP) "He was a man ... dressed in blue like a sailor" (A)	2
(35)	"gefesselt stehen blieb" (Ch. 1)	"that he stood as if rooted" (L) "he stopped short as if rooted to the spot" (A)	2
(36)	"Gerüche, die ... in Schwaden standen ohne sich zu zerstreuen" (Ch. 3)	"smells ... hung low, like exhalations, not dissipating" (LP) "odors... hung like wisps of smoke without being dispersed" (A) "odors ... hovered like fumes without dispersing" (H) "odors ... remained fixed like clouds without dispersing"	4

	(D)		
(37)	"gleichgültiger Fremdheit" (Ch. 4)	"constrained to act like strangers" (LP)	1
(38)	"goldene Speere zuckten" (Ch. 4)	"quivering thrusts like golden lances" (LP)	1
(39)	"grüßendem Handschütteln" (Ch. 5)	"wagging of his hand as if in greeting" (L)	1
(40)	"hatte seine Haltung etwas herrisch Überschauendes" (Ch. 1)	"standing there as though at survey" (LP) "like that of a lord surveying his domain" (A)	2
(41)	"in bildmäßigem Abstand" (Ch. 3)	"as a distant image" (L) "from a distance like a picture" (K) "as a work of art that one views at a given distance" (A) "as a distant work of art" (H)	4
(42)	"jener … seinen Blick erwiderte und zwar so <u>kriegerisch</u>" (Ch. 1)	"the other one … returning his glances and in such a <u>war-like fashion</u>" (D)	1
(43)	"Kette kirschengroßer, mild schimmernder Perlen bestand" (Ch. 3)	"chain of softly glowing pearls, as large as cherries" (B1, B2) "necklace of gently shimmering pearls as big as cherries" (L) "strand of softly shimmering pearls, each as big as a cherry" (L) "necklace of quietly gleaming pearls as big as cherries" (A) "strands of gently shimmering pearls, as big as cherries" (CH)	7

(44)	"klösterliche Tracht" (Ch. 3)	"strand of delicately shimmering pearls as large as cherries" (HH) "cloisterlike costumes" (B1, B2) "frocks of cloister-like plainness" (LP) "habitlike half-length dresses" (K) "conventlike garb" (A) "habitlike, slate-colored, knee-length dresses" (H)	6
(45)	"klösterlicher Stille des äußeren Daseins" (Ch. 2)	"their external activities may be as quiet as a cloister" (B1) "their external existence may be as quiet as a monk's" (B2) "his external existence is one of cloisterlike calm" (A) "the most cloister-like atmosphere" (D)	4
(46)	"komisch-traumartiges Abenteuer" (Ch. 3)	"whimsical as any dream" (LP) "how like a dream in its bizarre comedy" (L) "comic and dream-like adventure" (HH)	3
(47)	"korridorartigen Speisesaal" (Ch. 3)	"corridorlike dining hall" (B1, B2) "a corridor-like saloon" (LP) "corridorlike dining hall" (K) "corridorlike dining room" (A) "corridor-like dining hall" (D) "corridor-like dining room" (HH)	7

(48)	"leiterartige Treppe" (Ch. 3)	"ladderlike steps" (B1, B2) "ladder-like stairs" (LP) "ladder-like gangway" (L) "ladderlike gangway" (K) "ladderlike gangway" (A) "runglike steps" (N) "ladderlike gangway" (CH) "ladderlike steps" (H) "ladder-like stairs" (D) "ladder-like steps" (HH)	11
(49)	"mit schauspielerischer Verbeugung" (Ch. 3)	"a bow like an actor's" (A)	1
(50)	"nach sonderbarer Übereinkunft beantwortet" (Ch. 5)	"received an answer ... as if by an arcane code" (HH)	1
(51)	"Reiselust ... ja bis zur Sinnestäuschung gesteigert" (Ch. 1)	"an urge to travel .... it was like a delusion of the senses" (A)	1
(52)	"ruhte die Blüte des Hauptes" (Ch. 3)	"the head was poised like a flower" (LP) "there, like a flower in bloom, his head was gracefully resting" (L) "his head floated ... like a flower in bloom" (CH)	3
(53)	"Schattenhaft sonderbare Gestalten" (Ch. 3)	"Odd, shadelike figures" (A) "strange and shade-like creatures" (D)	2
(54)	"schienen Windgeister üblen Geschlechts im Raume ihr	"as though evil wind-spirits were haunting the place"	6

	Wesen zu treiben"	(B1, B2) "as though storm-spirits were abroad" (LP) "as if wind spirits of an evil breed were stirring about in space" (A) "as if the most evil wind spirits were haunting the area" (N) "as if wind spirits of an evil kind were at work" (D)	
(55)	"schoß das kleine eilfertige Fahrzeug seinem Ziele zu" (Ch. 3)	"went like a shot to its goal" (LP)	1
(56)	"Sein bleiches, stumpfnäsiges Gesicht ... durchpflügt von Grimassen und Laster" (Ch. 5)	"His pale, snub-nosed face ... was wrinkled as if from grimacing and vice" (A)	1
(57)	"sein Gesicht sich zum Ausdruck physischer Übelkeit verzerrte" (Ch. 5)	"made him wince with a revulsion that was like physical nausea" (LP)	1
(58)	"seine Haut war marmorhaft gelblich geblieben wie zu Beginn" (Ch. 4)	"His skin was the same marble-like yellow color it had been from the beginning" (K) "his skin had remained as yellowish as marble since the beginning" (N) "his skin had stayed marble-like yellowish as in the beginning" (D)	3
(59)	"seine Lippen, blutarm soeben noch, himbeerfarben schwellen" (Ch. 5)	"His lips, bloodless a little while past, became full, and as red as raspberries" (B1, B2) "his lips, pale and bloodless only a moment a ago, swell like raspberries" (K)	3

(60)	"seinen Arm, mit dem er rudernd ausholte" (Ch. 3)	"his arm striking out like an oar" (LP) "his arm rising paddlelike" (H)	2
(61)	"sklavisches Wesen" (Ch. 5)	"acting like a slave" (A)	1
(62)	"süßlich-offizinellen Geruch" (Ch. 5)	"The smell was sweetish and druglike" (B1, B2)	2
(63)	"turbanartigem Kopftuch" (Ch. 5)	"turbanlike kerchief" (B1, B2) "turban-like head-cloth" (L) "turbanlike headdress" (K) "turban-like headdress" (A) "turbanlike headgear" (N) "a kerchief wrapping her head like a turban" (CH) "her turbanlike kerchief" (H) "turban-like kerchief" (D) "turban-like headscarf" (HH)	10
(64)	"und Hyakinthos war es, den, er zu sehen glaubte und der sterben mußte, weil zwei Götter ihn liebten" (Ch. 4)	"it was as if he were watching Hyacinthos, who had to die because two gods loved him" (K)	1
(65)	"unholdes Gevögel des Meers, das des Verurteilten Mahl zerwühlt" (Ch. 5)	"like ugly sea birds digging into the condemned one's food" (D)	1
(66)	"Unter den verwitterten, unregelmäßig hohen Häusern in der Runde erschien eines palastartig, mit Spitzbogenfenstern, hinter denen die Leere wohnte, und kleinen Löwenbalkonen" (Ch. 5)	"one like a palace" (B1, B2) "one that looked like a palazzo" (L) "one that resembled a palazzo" (A)	7

		"one stood out like a palace" (CH) "one resembling a palazzo" (H) "one stood out, like a palace" (D)	1
(67)	"unter der Maske ärgerlicher Resignation die ängstlich-übermütige Erregung eines entlaufenen Knaben verbarg" (Ch. 3)	"hid his anxious but merry excitement, like that of a boy who has run away, beneath a mask of vexed resignation" (A)	1
(68)	"untergeordnete Steifheit" (Ch. 3)	"rigidity, almost like that of an underling" (A)	1
(69)	"unterwürfigen Sklavenmanieren" (Ch. 3)	"submissive serf-like manners" (N)	1
(70)	"von diesen Augen vorwärts gelockt, am Narrenseile geleitet von der Passion" (Ch. 5)	"lured on by those eyes like a puppet on passion's strings" (CH)	1
(71)	"weckte ihn ein zart durchdringendes Erschrecken" (Ch. 4)	"he awoke suddenly, as though from a light shock" (CH)	1
(72)	"Weißlich seidiger Glanz" (Ch. 4)	"A sheen, like white satin" (LP)	1
(73)	"Weitherkommende" (Ch. 1)	"as of someone who had come from distant parts" (L)	1
(74)	"wunderlich ungestalte Bäume" (Ch. 1)	"trees, mis-shapen as a dream" (LP)	1
(75)	"zeitweilig ging neblichter Regen nieder" (Ch. 3)	"with spurts of fine, mistlike rain" (LP) "at times a fog-like drizzle fell" (D)	2
Total number of added similes:			201

Appendix (H) Body-related Lexis

Note: Lexis is given in lemma form and with frequency of occurrence.

Achselhöhle (1), Achsel (2), Adamsapfel (2), Antlitz (7), Arm (10), Auge (51), Augenlid (1), Blut (4), Brust (14), Figur (2), Finger (9), Fingerspitze (1), Fleisch (2), Fuß (11), Fußballen (1), Fußspitze (1), Genick (1), Gesicht (21), Gesichtshaut (1), Gesichtszug (1), Gestirn (1), Glieder (1), Haar (18), Halbprofil (1), Hals (5), Hand (36), Haupt (20), Haut (4), Herz (16), Hüfte (1), Kinn (3), Knie (6), Knieende (1), Kniekehle (1), Kopf (24), Körper (12), Krähenfuß (1), Kratzfuß (3), Kreuz (3), Kußhand (1), Leib (8), Lid (3), Lippe (14), Locke (3), Mund (13), Mundwinkel (4), Nacken (5), Nase (4), Obergebiß (1), Oberkörper (2), Rücken (9), Rückgrat (1), Rückseite (1), Rumpf (1), Scheitel (1), Schenkel (2), Schläfe (5), Schnurrbart (2), Schnurrbärtchen (1), Schoß (5), Schulter (6), Stirn (10), Stirnseite (1), Unterarm (2), Unterlippe (1), Wange (6), Wangenpartie (1), Wirbel (1), Zahn (10) , Zahnfleisch (1), Zeh (1), Zehenspitze (1), Zeigefinger (2), Zunge (7).

Appendix (I)   Full List of ST Metaphors Analysed

N.B. Metaphors have been divided into *main metaphors* and *megametaphors composed of micrometaphors*. The tables have been sorted alphabetically but the chapter where each item appears is also provided.

Main metaphors

(1) "Aber ein Wehen kam, eine beschwingte Kunde von unnahbaren Wohnplätzen, daß Eos sich von der Seite des Gatten erhebe, und jenes erste, süße Erröten der fernsten Himmels- und Meeresstriche geschah, durch welches das Sinnlichwerden der Schöpfung sich anzeigt." (Ch. 4)
(2) "Aber während Europa zitterte, das Gespenst möchte von dort aus und zu Lande seinen Einzug halten, war es, von syrischen Kauffahrern übers Meer verschleppt, fast gleichzeitig in mehreren Mittelmeerhäfen aufgetaucht, hatte in Toulon und Malaga sein Haupt erhoben, in Palermo und Neapel mehrfach seine Maske gezeigt und schien aus ganz Kalabrien und Apulien nicht mehr weichen zu wollen." (Ch. 5)
(3) "als sei er entrückt ins elysische Land, an die Grenzen der Erde, wo leichtestes Leben den Menschen beschert ist, wo nicht Schnee ist Winter, noch Sturm und strömender Regen, sondern immer sanft kühlenden Anhauch Okeanos aufsteigen läßt und in seliger Müße die Tage verrinnen, mühelos, kampflos und ganz nur der Sonne und ihren Festen geweiht." (Ch. 4)
(4) "Angestrahlt von der Pracht des Gottes saß der Einsam-Wache" (Ch. 4)
(5) "[Aschenbach] am Narrenseile geleitet von der Passion" (Ch. 5)
(6) "aus Meerrausch und Sonnenglast spann sich ihm ein reizendes Bild" (Ch. 4)
(7) "das Meer weiß blendend in Morgenträumen lag" (Ch. 4)
(8) "Das war Venedig, die schmeichlerische und verdächtige Schöne, – diese Stadt, halb Märchen, halb Fremdenfalle, in deren fauliger Luft die

Kunst einst schwelgerisch aufwucherte und welche den Musikern Klänge eingab, die wiegen und buhlerisch einlullen." (Ch. 5)

(9) "daß wir Dichter den Weg der Schönheit nicht gehen können, ohne daß Eros sich zugesellt und sich zum Führer aufwirft" (Ch. 5)

(10) "daß zu Lande, auf dem Bahnhof in Venedig anlangen, einen Palast durch eine Hintertür betreten heiße" (Ch. 3)

(11) "dem Fortschwingen des produzierenden Triebwerkes in seinem Innern, jenem »motus animi continuus«" (Ch. 1)

(12) "der geduldige Künstler, der in langem Fleiß den figurenreichen, so vielerlei Menschenschicksal im Schatten einer Idee versammelnden Romanteppich, »Maja« mit Namen, wob" (Ch. 2)

(13) "die Gestirne droben ihren Reigen schritten und das Murmeln des umnachteten Meeres, leise heraufdringend, die Seele besprach" (Ch. 4)

(14) "Die Göttin nahte, die Jünglingsentführerin, die den Kleitos, den Kephalos raubte und dem Neide aller Olympischen trotzend die Liebe des schönen Orion genoß." (Ch. 4)

(15) "die Konzeption »einer intellektuellen und jünglinghaften Männlichkeit« sei, »die in stolzer Scham die Zähne aufeinanderbeißt und ruhig dasteht, während ihr die Schwerter und Speere durch den Leib gehen.«" (Ch. 2)

(16) "die Lichter eines kauernden Tigers funkeln"/"die phosphoreszierenden Lichter des Tigers funkeln" (Ch. 1, in BA and HD respectively)

(17) "dies Mißgeschick, das, wie er sich sagte, ein Sonntagskind nicht gefälliger hätte heimsuchen können" (Ch. 3)

(18) "[du] mich hinterrücks mit einem Ruderschlage ins Haus des Aides schickst" (Ch. 3)

(19) "Ein Rosenstreuen begann da am Rande der Welt, ein unsäglich holdes Scheinen und Blühen, kindliche Wolken, verklärt, durchleuchtet, schwebten gleich dienenden Amoretten im rosigen, bläulichen Duft, Purpur fiel auf das Meer, das ihn wallend vorwärts zu schwemmen schien, goldene Speere zuckten von unten zur Höhe des Himmels hinauf, der Glanz ward zum Brande, lautlos, mit göttlicher Übergewalt wälzten sich Glut und Brunst und lodernde Flammen herauf, und mit raffenden Hufen stiegen des Bruders heilige Renner über den Erdkreis empor." (Ch. 4)

(20) "ein Unwetter zorniger Verachtung sein Gesicht überzog" (Ch. 3)

(21) "eine übermütige Sonne goß verschwenderischen Glanz über ihn aus" (Ch. 4)

(22) "Er gedachte des schwermütig-enthusiastischen Dichters, dem vormals die Kuppeln und Glockentürme seines Traumes aus diesen Fluten gestiegen waren" (Ch. 3, metaphor underlined)

(23) "Er hatte dem Geiste gefröhnt, mit der Erkenntnis Raubbau getrieben, Saatfrucht vermahlen, Geheimnisse preisgegeben, das Talent verdächtig, die Kunst verraten" (Ch. 2)

(24) "Es war das Lächeln des Narziß, der sich über das spiegelnde Wasser neigt, jenes tiefe, bezauberte, hingezogene Lächeln, mit dem er nach dem Widerscheine der eigenen Schönheit die Arme streckt, – ein ganz wenig verzerrtes Lächeln, verzerrt von der Aussichtslosigkeit seines Trachtens, die holden Lippen seines Schattens zu küssen, kokett, neugierig und leise gequält, betört und betörend." (Ch. 4)

(25) "Flattern, Klatschen und Sausen umgab das Gehör, und dem unter der Schminke Fiebernden schienen Windgeister üblen Geschlechts im Raume ihr Wesen zu treiben, unholdes Gevögel des Meers, das des Verurteilten Mahl zerwühlt, zernagt und mit Unrat schändet." (Ch. 5)

(26) "fühlte er, wie der lässige Gruß vor der Wahrheit seines Herzens hinsank und verstummte, – fühlte die Begeisterung seines Blutes, die Freude, den Schmerz seiner Seele" (Ch. 3)

(27) "fürchterliche Gewitter am Abend das Licht des Hauses löschten" (Ch. 4)

(28) "geleugnet und vertuscht fraß das Sterben in der Enge der Gäßchen um sich" (Ch. 5)

(29) "Haupt und Herz waren ihm trunken, und seine Schritte folgten den Weisungen des Dämons, dem es Lust ist, des Menschen Vernunft und Würde unter seine Füße zu treten" (Ch. 5)

(30) "Hyakinthos war es, den, er zu sehen glaubte, und der sterben mußte, weil zwei Götter ihn liebten." (Ch. 4)

(31) "Ja, er empfand Zephyrs schmerzenden Neid auf den Nebenbuhler, der des Orakels, des Bogens und der Kithara vergaß, um immer mit dem

"Schönen zu spielen; er sah die Wurfscheibe, von grausamer Eifersucht gelenkt, das liebliche Haupt treffen, er empfing, erblassend auch er, den geknickten Leib, und die Blume, dem süßen Blute entsprossen, trug die Inschrift seiner unendlichen Klage…" (Ch. 4)

(32) "Noch lagen Himmel, Erde und Meer in geisterhaft glasiger Dämmerblässe; noch schwamm ein vergehender Stern im Wesenlosen" (Ch. 4)

(33) "Nun lenkte Tag für Tag der Gott mit den hitzigen Wangen nackend sein gluthauchendes Viergespann durch die Räume des Himmels, und sein gelbes Gelöck flatterte im zugleich ausstürmenden Ostwind." (Ch. 4)

(34) "ruhte die Blüte des Hauptes in unvergleichlichem Liebreiz, das Haupt des Eros" (Ch. 3)

(35) "Sein Geist kreißte, seine Bildung geriet ins Wallen, sein Gedächtnis warf uralte, seiner Jugend überlieferte und bis dahin niemals von eigenem Feuer belebte Gedanken auf." (Ch. 4)

(36) "Seine Stirn verfinsterte sich, sein Mund ward emporgehoben, von den Lippen nach einer Seite ging ein erbittertes Zerren, das die Wange zerriß, und seine Brauen waren so schwer gerunzelt, daß unter ihrem Druck die Augen eingesunken schienen und böse und dunkel darunter hervor die Sprache des Hasses führten." (Ch.3)

(27) "Stärkerer Wind erhob sich, und die Rosse Poseidons liefen, sich bäumend, daher, Stiere auch wohl, dem Bläulichgelockten gehörig, welche mit Brüllen anrennend die Hörner senkten." (Ch. 4)

Megametaphor: TADZIO IS A (DIVINE) WORK OF ART

Annotation: Individual words and/or phrases forming the micrometaphor in the clause or larger sentence are underlined.

(1) "Auch persönlich genommen ist ja die <u>Kunst</u> ein erhöhtes <u>Leben</u>" (Ch. 2)

(2) + (3) "aus der Marmormasse der Sprache die schlanke Form befreite, die er im Geiste geschaut und die er als <u>Standbild</u> und Spiegel geistiger Schönheit den Menschen darstellte? <u>Standbild</u> und <u>Spiegel</u>!" (Ch. 4)

(4) "<u>brachte</u> dann, ein Paar hoher Wachskerzen in silbernen Leuchtern zu Häupten des Manuskripts, <u>die Kräfte</u>, die er im Schlaf gesammelt, in zwei oder drei inbrünstig gewissenhaften Morgenstunden <u>der Kunst zum Opfer dar</u>" (Ch. 2)

(5) "das edle <u>Menschenbild</u>" (Ch. 3)

(6) "das Haupt des Eros, vom <u>gelblichen</u> Schmelze parischen Marmors" (Ch. 3)

(7) "den Mathematikern gleich, die unfähigen Kinder <u>greifbare</u> Bilder der reinen Formen vorzeigen: So auch bediente der Gott sich, um uns das Geistige sichtbar zu machen, gern der Gestalt und Farbe menschlicher Jugend, die er zum Werkzeug der Erinnerung mit allem Abglanz der Schönheit schmückte" (Ch. 4)

(8) "den verehrt, der die Schönheit hat, ja, ihm <u>opfern</u> würde, wie einer <u>Bildsäule</u>, wenn er nicht fürchten müßte, den Menschen närrisch zu scheinen" (Ch. 4)

(9) "den zart <u>gemeißelten</u> Arm in den Sand gestützt" (Ch. 4)

(10) "Der strenge und reine Wille jedoch, der, dunkel tätig, dies <u>göttliche</u> Bildwerk ans Licht zu treiben vermocht hatte, – war er nicht ihm, dem <u>Künstler</u>, bekannt und vertraut?" (Ch. 4)

(11) "die feine <u>Zeichnung</u> der Rippen, das Gleichmaß der Brust traten durch die knappe Umhüllung des Rumpfes hervor"(Ch. 4)

(12) + (13) "die <u>Form</u> als <u>Gottesgedanken</u>, die eine und reine Vollkommenheit, die im Geiste lebt und von der ein menschliches <u>Abbild</u> und Gleichnis hier leicht und hold zur Anbetung aufgerichtet war." (Ch. 4)

(14) "die Haut seines Gesichtes stach weiß wie Elfenbein" (Ch. 3)

(15) "ein kostbares Bildwerk der Natur" (Ch. 3)

(16) "er war wie Dichterkunde von anfänglichen Zeiten, vom Ursprung der Form und von der Geburt der Götter" (Ch. 3)

(17) "Gut, gut! dachte Aschenbach mit jener fachmännisch kühlen Billigung, in, welche Künstler zuweilen einem Meisterwerk gegenüber ihr Entzücken, ihre Hingerissenheit kleiden. " (Ch. 3)

(18) + (19) "im Angesicht des Idols und die Musik seiner Stimme im Ohr" (Ch. 4)

(20) "in bildmäßigem Abstand" (Ch. 3)

(21) "Man hatte sich gehütet die Schere an sein schönes Haar zu legen; wie beim Dornauszieher lockte es sich in die Stirn, über die Ohren und tiefer noch in den Nacken. " (Ch. 3)

(22) + (23) "Sein Antlitz, bleich und anmutig verschlossen, von honigfarbenen Haar umringelt, mit der gerade abfallenden Nase, dem lieblichen Munde, dem Ausdruck von holdem und göttlichem Ernst, erinnerte an griechische Bildwerke aus edelster Zeit, und bei reinster Vollendung der Form war es von so einmalig persönlichem Reiz, daß der Schauende weder in Natur noch bildender Kunst etwas ähnlich Geglücktes angetroffen zu haben glaubte." (Ch. 3)

(24) + (25) "seine Achselhöhlen waren noch glatt wie bei einer Statue, seine Kniekehlen glänzten, und ihr bläuliches Geäder ließ seinen Körper wie aus klarerem Stoffe gebildet erscheinen." (Ch. 4)

(26) "Seine ebenmäßigen Brauen zeichneten sich schärfer ab" (Ch. 4)

(27) "seine Haut war marmorhaft gelblich geblieben wie zu Beginn" (Ch. 4)

(28) "während seine Bildwerke die gläubig Genießenden unterhielten" (Ch. 2)

Megametaphor: Art Is War

Annotation: Individual words and/or phrases forming the micrometaphor in the clause or larger sentence are underlined.

(1) "Anderthalb Wochen nach seiner Ankunft auf der Insel trug ein geschwindes Motorboot ihn und sein Gepäck in dunstiger Frühe über die Wasser in den Kriegshafen zurück, und er ging dort nur an Land, um sogleich über einen Brettersteg das feuchte Verdeck eines Schiffes zu beschreiten, das unter Dampf zur Fahrt nach Venedig lag." (Ch. 3)

(2) + (3) + (4) "Auch er hatte gedient, auch er war Soldat und Kriegsmann gewesen, gleich manchem von ihnen, - denn die Kunst war ein Krieg, ein aufreibender Kampf, für welchen man heute nicht lange taugte." (Ch. 5)

(5) "das Gespenst möchte von dort aus und zu Lande seinen Einzug halten" (Ch. 5)

(6) "das Seine zu schützen gegen den Fremden, den Feind des gefaßten und würdigen Geistes" (Ch. 5)

(7) + (8) "daß jener seinen Blick erwiderte und zwar so kriegerisch, so gerade ins Auge hinein, so offenkundig gesonnen, die Sache aufs Äußerste zu treiben, und den Blick des andern zum Abzug zu zwingen" (Ch. 1)

(9) "den heilig-nüchternen Dienst seines Alltags" (Ch. 4)

(10) "der Alltagsstätte eines starren, kalten und leidenschaftlichen Dienstes" (Ch. 1)

(11) + (12) "Die jungen Polesaner, patriotisch angezogen auch wohl von den militärischen Hornsignalen, die aus der Gegend der öffentlichen Gärten her über das Wasser klangen, waren auf Deck gekommen und, vom Asti begeistert, brachten sie Lebehochs auf die drüben exerzierenden

Bersaglieri aus." (Ch. 3)

(13) "diese Augen, müde und tief durch die Gläser blickend, hatten das blutige Inferno der Lazarette des Siebenjährigen Krieges gesehen" (Ch. 2)

(14) "Er ... ließ mit einem Schauder des Widerwillens vom Angriff ab." (Ch. 1)

(15) "Er dachte an seine Arbeit, dachte an die Stelle, ... die weder geduldiger Pflege noch einem raschen Handstreich sich fügen zu wollen schien." (Ch. 1)

(16) + (17) "es bedeutete recht eigentlich den Sieg seiner Moralität, wenn Unkundige die Maja-Welt oder die epischen Massen, in denen sich Friedrichs Heldenleben entrollte, für das Erzeugnis gedrungener Kraft und eines langen Atems hielten, während sie vielmehr in kleinen Tagewerken aus aberhundert Einzelinspirationen zur Größe emporgeschichtet und nur darum so durchaus und an jedem Punkte vortrefflich waren, weil ihr Schöpfer mit einer Willensdauer und Zähigkeit, derjenigen ähnlich, die seine Heimatprovinz eroberte, jahrelang unter der Spannung eines und desselben Werkes ausgehalten und an die eigentliche Herstellung ausschließlich seine stärksten und würdigsten Stunden gewandt hatte." (Ch. 2)

(18) "Hinter dieser Stirn waren die blitzenden Repliken des Gesprächs zwischen Voltaire und dem Könige über den Krieg geboren" (Ch. 2)

(19) "im leeren und strengen Dienste der Form" (Ch. 2)

(20) "wir Dichter ... ja mögen wir auch Helden auf unsere Art und züchtige Kriegsleute sein" (Ch. 5)

(21) + (22) "Zwar liebte er ihn und liebte auch fast schon den entnervenden, sich täglich erneuernden Kampf zwischen seinem zähen und stolzen, so oft erprobten Willen und dieser wachsenden Müdigkeit, von der niemand wissen und die das Produkt auf keine Weise, durch kein Anzeichen des Versagens und der Laßheit verraten durfte. Aber verständig schien es, den Bogen nicht zu überspannen und ein so lebhaft ausbrechendes Bedürfnis nicht eigensinnig zu ersticken." (Ch. 1)