

Qualitative
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Nexus III

Mechthild Kiegelmann
and Leo Gürtler (Eds.)

**Research Questions
and Matching Methods
of Analysis**

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Mechthild Kiegelmann and Leo Gürtler (Eds.)
with Ramón Pérez Pérez

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Content

Preface 7

Part One: Don Quixote as "Data"

The Qualitative-Heuristic Method of Text Analysis:
Chapter I of Cervantes' Don Quixote as Example 9
Gerhard Kleining

Methods of Qualitative Research for the Interpretation
of Chapter I of Don Quixote 23
Antonio Medina and Concepción Domínguez

Illustrating the Voice Method Using the Example
of Cervantes' Don Quixote 49
Mechthild Kiegelmann

A Quantitative Approach to the Analysis of
Cervantes' Don Quixote 61
Günter L. Huber

Preparations for the Redemption of the World:
Distribution of Words and Modalities
in Chapter I of Don Quixote 71
Harald Schweizer

Part Two: Group Sessions

Workgroup 1

A Qualitative-Heuristic Study of Feeling 109
Thomas Burkart

CHICAM (Children in Communication About Migration):
An Intercultural Research Project Exploring the
Possibilities of Intercultural Communication through
Children's Media Productions 125
Peter Holzwarth und Björn Maurer

The Educational Value of Chapter I of Cervantes'
Don Quixote: Inter-Disciplinary Development
and Analysis of Teachers' Discourse 141
*Antonio Medina, María Conchita Domínguez,
Ramón Pérez and Tiberio Feliz*

Workgroup 2

- Gender Differences as Relational Processes:
Reflecting reality Constructions in Interviews 157
Julia C. Nentwich
- Gender-Specific Aspects of Coming to Terms with
Sexual Abuse: Results of a Qualitative Study 171
Silke-Birgitta Gableitner
- Using a Feminist Approach in Researching
Disability Issues 183
Levan Lim and Annette Ullrich

Workgroup 3

- Classical Test Theory Revised: A Critical Discussion
from a Constructivist Position Using Buddhist
Psychological Considerations 199
Leo Gürtler
- Questions about New Technologies and Qualitative
Educational Research in Cyberspace 221
Daniel Domínguez Figaredo
- Using Qualitative Methods to Evaluate Learning Software:
The Example of a Problem-Oriented Patient Simulation 235
Thomas Link and Michael Schmidts

Roundtables and Discussion

Comments on Hermeneutic Approaches in Qualitative Analysis <i>Harald Schweizer</i>	251
Ethics in Qualitative Research - Next Steps <i>Silke-Birgitta Gahleitner</i>	253
Subject Index	259
Author Index	262
About the Authors	267

Preface

This third volume of the Qualitative Psychology Nexus documents the contributions and discussions at the third international workshop on qualitative psychology, organized by the Center for Qualitative Psychology under the title "Research Questions and Matching Methods of Analysis." The meeting took place in October 2002 in Perlora, Spain. The ongoing efforts of our Spanish colleagues, especially Ramón Pérez Pérez and Olga Pérez, made it possible for this meeting to take place at a wonderful retreat center in Perlora — just weeks before its beautiful beach was polluted by an oil spill.

The opening section of this book documents how we began our discussion on matching research questions with methods of analysis: several authors illustrated their approach by analyzing the first chapter of Cervantes' book *Don Quixote*. The various methods and research results presented in this opening panel provided an illuminating start for the ongoing discussions of how to apply research methods that are appropriate to the research question chosen.

Then, during intensive parallel workgroups, speakers presented and discussed their individual papers in depth, using their own work to exemplify how they matched methods and research questions. The papers from these workgroups follow those analyzing Cervantes.

Since a primary purpose of the Center for Qualitative Psychology is for researchers in this field to collaborate and to network, the third section of this issue of *Qualitative Psychology Nexus* includes documents produced within roundtable discussions at the workshop. These roundtables are a forum for researchers to connect, to discuss common interests, and to begin new joint projects.

Because all the authors in this book use English as a second language, they were required to have their submitted manuscript proofread by a native speaker of English. Thus many of the authors credit a proofreader at the beginning of the article. In addition, the financial support of the Hans-Böckler-Foundation made it possible to engage a professional editor to provide a final round of editing for the whole book. I thank Helen Snively for her excellent job in correcting the language and style of all the manuscripts — except one, which was submitted too late — and giving the book a coherent texture. Günter L. Huber has once again spent countless hours in formatting the whole book and designing the cover. Without his enthusiasm and support, *Qualitative Psychology Nexus* would not exist. The same can be said of Ingeborg Huber, our highly professional and very helpful publisher. Because so much of the work on this project went into

organizing the meeting in Perlorá, we honor Ramón Pérez Pérez as a major contributor to this edition of *Qualitative Psychology Nexus*. Leo Gürtler, the co-editor of this volume, has also invested great effort in this project.

We are already busy preparing for the fourth workshop of the Center for Qualitative Psychology, which will take place in October 2003 in Blaubeuren, Germany. This year, a special focus on research design will guide our discussion and collaboration.

Tübingen, Sept. 24, 2002

Mechthild Kiegelmann

The Qualitative-Heuristic Method of Text Analysis:
Chapter I of Cervantes' Don Quixote as Example

Gerhard Kleining

In this paper I describe, and give examples of, the two main methods of the heuristic approach to text analysis: the qualitative *experiment* and the qualitative *observation*. I offer some guidelines to researchers interested in the qualitative analysis of complex historic texts.

Literature of this sort is not a normal topic of text analysis for psychologists and social scientists who would rather concern themselves with everyday texts closer to their own daily experience. Highly literary productions some hundred years old and from distant societies are a challenge to any method of text analysis, particularly those in the social sciences. Such texts can test their methods' capacities to discover and describe literary and cultural structures in general. Their methods should produce results which allow a critical comparison with findings gained from other forms of text analysis, such as literary history, linguistics, and philosophy as well as poetry, journalism, and art criticism. Of course there are different ways of dealing with texts, particularly in the arts. For those who claim a scientific approach, however, methods developed within the social sciences should insist on tests of validity which lead beyond interpretative fantasy on the part of the researcher and plausibility on the part of the reader. Within the social sciences we can argue that if the method succeeds when applied to works of art, it should also allow us to analyze other forms of verbal expression within a certain society, such as popular culture or everyday language in speech or writing. On the other hand, if a method seems to work with everyday texts but fails when applied to highbrow literature, the researcher should be careful not to overestimate the ability of the method *per se*. Analyses of highly complex texts are a crucial test for any method of text analysis as they must be well enough developed to deal adequately with them but also apply to the more simply structured texts as well. The reverse, however, is not necessary.

Cervantes' Don Quixote is a good test example. The text is quite well known, at least in some parts. It seems easy to read and has been published, translated, discussed, interpreted, and studied repeatedly for centuries. In fact it is one of the few European classical texts regarded as representative of world literature. In this paper I restrict myself to a description of the qualitative-heuristic methodology and give examples of applications of the methods. Any findings on Cervantes' concepts of reality and humor will be published elsewhere (see Kleining, 2003).

The methodology

The qualitative-heuristic method of data collection and analysis aims to *discover structures* and can be applied to any topic in the human sciences. Four basic rules govern the method.

- Openness of the researcher. During the research process the researcher should change preconceptions, opinions or hypotheses if the topic requires doing so.
- Openness of the research object. Its definition is preliminary and may change during the investigation.
- Maximal structural variation of perspectives. The topic should be investigated from as many different sides as possible.
- Similarities within differences of data. Similarities, not differences, is the key word directing the analysis.

The research process has four characteristics:

1. It is "dialogical" (occurring within a descriptive behavioral context) or "dialectical" (naming the basic process). The researcher asks questions and receives "answers" from the research topic as a basis to ask new questions, thus gradually adjusting the questions to the answers.
2. The two major research techniques are qualitative observations and qualitative experiments.
3. The starting point of the process is arbitrary; it ends when further questioning and variation does not produce additional information.
4. The process begins with a subjective view but the reliability of the findings increases as different points of view are incorporated into the analysis. Thus the subjective beginning will lead to an intersubjective pattern. In this process, validity becomes "inner validity." At the same time, the range of validity should become obvious: results are only valid within a certain cultural pattern.

These methods have been described and applied in a number of publications (Kleining, 1982, 1994; Kleining & Witt, 2000, 2001). In the case of Cervantes' text, I suggest the following starting procedure.

- Make yourself familiar with the text.
- Begin with observations, which are usually easier to handle than experiments.
- Ask a question that comes to mind. For example, "How is the person described?"
- Try to answer it *by citing* one or several parts of the text, not relying on your opinion about the meaning or your idea of

the intention of the text. Try to avoid interpretations, which tend to emphasize prejudices. Try to modify or give up your pet ideas if they are not in accordance with the text.

- If possible, stay with the Spanish original, to avoid misleading interpretative translations. For example the phrase "no quiero acordar me" in the first sentence of Chapter One was transformed into "ich mich nicht entsinnen kann" [I cannot remember] by Ludwig Tieck whereas Ludwig Braunfels more precisely translated it as "ich mich nicht erinnern will" [I don't want to remember]. Although these are both famous historical translations, this difference is crucial, as I will show in the section on qualitative experiments below.
- Modify your question so you can focus on an appropriate amount of text as "answers." You might narrow your question to focus on the appearance of the person, and later question about further characteristics. Be flexible in adjusting the questions to the text. If one segment of the text seems too difficult for you at the moment switch to another question.
- Try to find the *similarities* between the "answers." This is key. Do not let obvious differences make you nervous. Insist on searching for analogies and similarities. Start with those that strikes you as most similar, a part of the text which reminds you of another part. Make notes, then look for other similarities. Gradually the similarities of similarities will appear and form a pattern.
- If necessary adjust your question again and repeat the process.
- Try a different question, if one comes to mind during the analysis.
- If you cannot answer a question clearly enough using the text, you might have to look for "answers" in areas beyond the text, starting with those close to the text like the following chapters or the following book. As Chapter One is a "first" (except for the various prefaces) you might also look at the "final" chapter(s). You could also try other works of Cervantes and of his historical period. Your progress will be indicated by the questions which the selected text could answer. Do not be afraid to read and learn more about Cervantes, that will help you ask better questions.

Summary. The qualitative-heuristic methodology is a general procedure that keeps the reader discover the structures of any topic in the human sciences. Its rules govern the researcher, the research topic, data collection, and data analysis, the principle of dialogic procedure (question-answer sequence) and the process of validating or evaluating of the findings. The two major research techniques are (qualitative) observations and (qualitative) experiments.

A qualitative text experiment

In any scientific application, the experimenter alternates a certain part of the research object under defined conditions. In the humanities *qualitative experiments* (Kleining, 1986) change a certain part of a text to study its characteristics. In the heuristic methodology the emphasis is on *exploration*; this implies that early findings are *preliminary* and must be confirmed (or validated) by further *explorative research* until the *structure* of the text emerges. Text experiments have a narrow range and a clear effect and are suitable for investigating a limited part of a text. For an overview, the method of *text observations* is better suited.

In the case I describe, however, the question in the mind of the researcher pointed to a seemingly small peculiarity: why did the narrator not name the village of la Mancha? The researcher thought that this could be easily and quickly explained. Although his hope proved to be unfounded, the method of text experiment was chosen.

The first sentence of Chapter One (3.1-3.3)¹ reads: (see references for the origin of text versions).

- En un lugar de la Mancha, de cuyo nombre no quiero acordarme, no ha mucho tiempo que vivía un hidalgo ...
- In a village of la Mancha, the name of which I have no desire to call to mind, there lived not long since one of those gentlemen ...
- In einem Ort der Mancha, an dessen Namen ich mich nicht erinnern will, lebte vor nicht langer Zeit ein Junker ...

We make contact with the text by asking it a question. A starting point might be a detail or phrase which seems strange or curious to the researcher. It need not be "the" question, something "important." Our question, in this sentence, referred to the expression "*the name of which I have no desire to call to mind.*"

¹ Miguel de Cervantes Saavedra, first published: *El ingenioso hidalgo Don Quixote de la Mancha* in 2 Volumes in Madrid in 1605. Throughout this paper I refer to English and German translation of Don Quijote: Ormsby, J. (1885/ 1997). *Don Quixote by Miguel de Cervantes [Saavedra]*, translated by John Ormsby. Project Gutenberg's Etext of Don Quixote by Miguel de Cervantes [Etext #996]. http://www.csd.tamu.edu/cervantes/english/ctxt/DQ_Ormsby/ Translated by Braunfels, Ludwig (1848) *Don Quijote: Der sinnreiche Junker von der Mancha*. Düsseldorf / Zürich: Artemis & Winkler.

Question: Why doesn't the text name the place?

The experiment manipulates this part of the text and observes what happens. Many changes are possible. In this case, we *eliminate* the text in question. Then it reads:

- En un lugar de la Mancha no ha mucho tiempo que vivía un hidalgo ...
- In a village of la Mancha there lived not long since one of those gentlemen ...
- In einem Ort der Mancha lebte vor nicht langer Zeit ein Junker ...

How does that sound? It may sound like the *beginning of a fairy tale*: Once upon a time, in a small village, there lived, etc.

If we put the dependent clause back into the text we can observe *four effects*: 1. The text *introduces a narrator* ("no quiero" in English "I") or rather makes us aware that there is a narrator who not only tells the story but also makes decisions about what to tell and not to tell. 2. The narrator refers to *two levels* – the level of the *narration*, what he tells or does not want to tell and 3. the level of *reality* represented by the real name of the place which actually seems to exist and which the narrator seems to know but does not tell. 4. The two levels are *not in accordance* with each other. That is, the name exists in reality but the narration represses it.

The experiment indicates that the story deals with *various levels of reality* which are *not in accordance with each other*:

- The level of the *narrator* (as a person, acting);
- the *level of the narration* or what the narrator tells us; and
- the level of "*reality*" to which the narrator refers.

Here I put "reality" in quotation marks to remind the reader that the three "realities" are products of the poet and his historical world; we readers have our own realities. The name of the place is handled differently within these three *poetic* realities: in the story it is *not given*, in "reality" *it exists* and the narrator *knows it* but *does not want to tell*.

This is quite a lot of analysis for seven words in the Spanish text. Did we overdo the analysis?

Somewhat later (3.19 – 3.24), the narrator appears again as a person discussing the credibility of other authors dealing with Don Quixote. He doubts their conclusions regarding the "real" name of the hero (three names are in question). The narrator says the name "is of but little importance to our tale" (3.26 – 3.27):

- ... basta que en la narración dél no se salga un punto de la verdad.
- ... it will be enough not to stray a hair's breath from the truth in the telling of it.

- ... genug, dass in deren Erzählung nicht um einen Punkt von der Wahrheit abgewichen wird.

Here the narrator confirms, besides the reality of his own judgment, the two other reality levels mentioned earlier: "la narración" / "the telling of it" or the level of the narration and "la verdad" / "the truth" or the level of "real reality" as we might say, what his actual name was. As the text repeats the pattern of three reality levels we can take the first pattern as either being validated by it or vice versa; in any case it was not a meaningless phrase. Also we notice that the reality concepts again are opposing each other. The quote above demands *conformity* between narration and truth but the author *does not follow his own rule*, as he does not tell us the real name of the hero or of the place where he lived.

If we remain sensitive to the *reality concepts* the text might present later, we will find ample proof.

The next example (4.1 ff) describes why and how the *hero* lost his wits (7.1), making the fantasies of his old books of chivalry into his own reality. It will clash with the "real" reality of the world in which he actually lives. Later the reality of the *narrator* will become one of the main topics of the book. The reader may be inclined to believe the narrator, who claims to be telling the truth. But then a *second narrator* turns up, replacing and questioning the first. Later still a "*translator*" enters the scene, questioning some of the "translations" from the Arabs, the Asians regarded as big story tellers etc. The narrator – or one of the narrators, – is called Sidi Hamét Benengeli. The realities become more and more confused: who is who and who tells "*la verdad*"? Weich (2001) describes this turbulence well. The second volume even confronts the protagonists of the first. Don Quixote and Sancho cannot fully agree with their images presented in the first volume: the level of the "real" persons is played against the narration about them.

Throughout the text Cervantes creates confrontations of fantasy (*imaginación*) taken as "reality" ("*verdad*") on the one hand side and the "real reality" of the actual world (of the poetry) on the other. He confirms my finding that this difference and its interplay is a structural pattern. I believe this is not a description of "multiple realities" as Alfred Schütz has suggested (1945, 1954) but rather a multi-faceted-interpretation of the one and only reality which, whenever tested, will show its power. By reading too much of the wrong literature the hero really became crazy (*loco*), and his fantasies are failing repeatedly when confronted by the real world - in the story that is.

The strange remark in the first sentence turns up again at the end of the story. Sidi Hamét, the narrator in this part, says he did not want to give credit to one particular place in La Mancha, to

keep all places from fighting over the honor of the hero being theirs, as the Greek cities fought over the origin of Homer.

This is a very curious "explanation." It was presented about 1000 pages and ten years after the early statement, at the very end of the book's second volume (Chapter 74, vol. 2, published in 1615). What would the argument been worth if Cervantes had not written another volume or forgotten to come back to the riddle? In any case the explanation could have had no effect on contemporary readers. And even then the narrator does not reveal the name of the place. This goes beyond any logical reasoning.

Actually the "explanation" is another pun, continuing to play with the different levels of narration and "reality." The so-called "famous" *hidalgo* of the novel is confronted with the *really* famous Homer. A *serious* comparison would compare two poets, like Cervantes himself and Homer, but not a creation of fantasy or a poetic product like Don Quixote to a poet like Homer! And Cervantes compares one of the funniest failures in world literature with the most highly esteemed laureate of ancient times. Again we see the pattern of various reality levels as poet and poetry, imagined "reality" and "real" reality. They are actually different but presented as comparable. Here we have a glimpse of the structure of Cervantes' *humor*.

Summary. Because of their precision, text experiments are best performed after the researcher has gained an overall impression of the text. As an example we questioned the dependent clause in the first sentence of chapter one: "the name of which I have no desire to call to mind" Analysis indicates three levels: that of the *narrator*, the *narration*, and the assumed "*reality*" behind the narration. The levels are incongruent. The name in the narration is *not given*; in "*reality*" *it exists* and the narrator *knows it* but *does not want to tell*.

Later parts of the text confirm this relationship as well as the contrast between *imagination* and "*reality*." The experiment thus suggests the value of observing this topic and studying how it presents itself in the text. It also indicates that although the text is complex, it has a certain structure.

Qualitative Text Observations

I now give two examples of qualitative observations of text, looking at changes in Chapter One of Don Quixote, then the headline of that chapter, and finally comparing those findings.

Observation of changes in Chapter One

As a method of text analysis, observations are very flexible and widely applicable. The method can handle larger amounts of text.

The research question might be: What happens in Chapter One? The difference between *imagination* and "reality" was a finding from the text experiment. This dichotomy as a frame of reference will easily demonstrate the change. The chapter describes a *sequence*: it starts by describing the "reality" of the normal life of the protagonist, then names the influence on his imagination: too much reading of books on chivalry. As a result his mind dries out and he engages in crazy actions based on his fictional world, deciding to become "a knight-errant of himself, roaming the world over in full armor and on horseback in quest of adventures. He re-names his horse and himself and selects a lady to adore. "Verdad" in the description of his person and life in the first paragraph changes to "*la imagination era verdad*," a structural change from *acceptance of reality* to *imagination taken as reality*. A reader who keeps this question in mind will have no problem experiencing these changes.

Observation of the headline as a description of Chapter One

The content of the first chapter, as given in the headline, is said to describe the hero.

- Capitulo primero. Que trata de la condición y ejercicio del famoso hidalgo don Quixote de la Mancha.
- Chapter 1. Which treats of the character and pursuits of the famous gentleman Don Quixote of La Mancha.
- 1. Kapitel. Welches vom Stand und der Lebensweise des berühmten Junkers Don Quijote von der Mancha handelt.

We "observe" in which way the heading reflects the text and take the first paragraph as its basis.

Question: Which characteristics describe the hero?

As a first step we list all the characteristics and group them tentatively using our own phrases for naming each group. We keep in mind, however, that in any further analysis we may have to go back to the original wording and/or rearrange the grouping. The description of the hero starts with:

The location (un lugar de la Mancha / a village of La Mancha) (3.1)
 The time (no ha mucho tiempo /not long since) (3.3)
 The social status (hidalgo / gentleman) (3.3)
 The symbols of his status (lanza en astillero, adarga antigua, rocín flaco, galgo corredor / lance in a lance rack, old buckler, lean hack, greyhound) (3.5 – 3.6)
 His food (olla de algo más vaca que carnero / olla of more beef than mutton ... (3. 7)
 etc. etc.

To find similarities we might try different combinations. As we already know the importance of the levels of the narration and "*verdad*" we might arrange the descriptions according to what *we think* would be a good – or not so good – proof of "*la verdad*." For each of the details given in the narrative, we ask how well it is legitimized as "truth" or "reality."

Question: How well do the characteristics describe the "truth" of the text?

To answer this question we can simply make a list.

Description of the hero	Level of legitimation of truth
Symbols of social status (la lanza etc.)	well, many details
Food (una olla etc.)	well, many details
Clothing (sayo de velarte etc.)	well, many details
Income distribution (las tres partes etc.)	well, quite precise
Household / subjects and main function (una ama, una sobrina, que ... etc.)	well, complete description
Physical appearance and condition (complexión recia etc.)	quite well, enough to represent his looks
His age (frisaba con los cincuenta años)	poorly, not very precise
Time of the events (no ha mucho tiempo etc.)	poorly. How long ago?
Location (un lugar de la Mancha)	poorly. Name is repressed
Social status (un hidalgo de los ...)	poorly. "One of those ..."
Name (Quijada or Quesada or Quejana)	poorly. Which was the name of the famous person?

Applying our present-day judgment on what *we* would consider a precise or more vague description, qualitatively and/or quantitatively, we observe a strong difference on what we think to be "hard facts": time and place of the event, the hero's correct name, his exact age, his looks including his physiognomy and distinguishing marks. These characteristics are actually kept rather vague. In contrast we get more precise information on such items as what the hero eats on Fridays, whether his shoes match his holiday outfit, whether he likes to get up early or owns an old buckler. As the author insists on "*la verdad*," this is a *curious incongruity between what he claims and which facts he presents to*

make us believe that his narration is factual. We cannot quite say he is lying but he presents us with information quite different from what we would expect from his claim to tell us the truth. If it is important for the "truth" about this person, his character and pursuits, to know the ingredients of his soup, it is not the complete truth about the hero, to say the least. The narrator seems not to be a very reliable reporter, as he elaborately describes what seem to be quite irrelevant facts, quickly setting aside what we might think to be of importance, like the real name of the hero, or his village's name. After all he is said to be a "ingenioso hidalgo," a famous knight or gentleman.

The – tentative – finding of the text observation is that *what we think would be important* in telling the "truth" about a person is *exactly contrary* to what the narrator presents as "truth."

Alas, we may be on the wrong track. We only may be incorporating *our present-day* concept of what we think is a "hard fact" and what should legitimate the "truth" in a report. The text under study is nearly 400 years old. Therefore we should know – and ask another question:

Question: How was "truth" legitimated in 1605?

We cannot answer the question for 1605 and there may be no Cervantes text of this year other than the one we have. But, by sheer luck, he did publish a text eight years later (Cervantes 1613) in which he describes himself. I take the liberty of defining both texts as being written "about the same time" implying that there was no basic change in his character or way of thinking between the two productions. The description is in his famous "Preface to the Reader" in his *Novelas Ejemplares*, addressing the reader as well as his patron and intended sponsor. He again is concerned with the "truth" of the report as he certainly wants to communicate a positive impression about himself.

As before, we read the text, write down the various statements, and group them. We may identify several levels of legitimation and arrange them in a hierarchy according to our impression of how strongly he legitimates the "truth" of his claims.

High up on the ladder as "most convincing" or "certainly correct" we place his poetic works. He presents himself *as the author* of *Galatea*, *Don Quixote of La Mancha*, *Journey on the Parnassus* and some other writings. He says he is the first author to write *novelas* (short stories) using the Castilian language. His stories, he says, aim to amuse the reader but the reader also will find something useful in every one of them. As a reader in 1615 and also today we tend to believe that what he says is true. Also we could test at least one of his claims: he actually *is* the author of *Galatea*, *Don Quixote* etc.

At the next level of "truth" he *presents himself as a person*. This description underlines his authorship. As there is no picture

of him in the book, he says, he gives a detailed description of his facial appearance (sharply cut), his hair (chestnut brown), his forehead, eyes, nose, beard, mustache, mouth (small), teeth, skin color, complexion etc. etc. including distinguishing marks (his left hand is smashed). We also tend to believe that he speaks the truth; at least he tries to be as objective as he can.

His *biography* may be regarded as the next level of credibility. He adds his private history which is interwoven into a general history of the period and well known to his contemporaries. For many years he was a soldier, for five and a half years he was a prisoner of war; he was wounded at the sea battle of Lepanto fighting for a son of Charles V, etc.

The most fundamental level of legitimizing the "truth" and certainly crucial to credibility is his "face sheet" in which he presents his *legal identity*: his full name (Miguel de Cervantes Saavedra), his age (55 plus 9), the town where he wrote the preface (Madrid), the exact date (July 14, 1613) and his signature. There is no doubt about the identity of the author and his claim that he "stands behind his work." Put differently, he legitimizes his poetry by saying who he is, and what he looks like. He then gives his name, age, social standing and the place and time of this statement.

Comparing the description of Don Quixote in the first chapter of the book with Cervantes' description of himself in the preface of his "novelas," we learn that the "truth" in Don Quixote is just a *reversed legitimation* of the "truth" in his own biographical description. His poetic work is presented as produced by a real person characterized by various and substantial facts, whereas all the characteristics of the narrator in Don Quixote are shaky. Unlike to the writer in *Novelas Ejemplares*, the narrator in Don Quixote is given a pseudo legitimation of a pseudo reality. And, we will later see that the narrator himself is a pseudo-narrator as no one can actually be sure who he is. We will find additional proof of that "top-to-bottom" legitimation throughout the book.

Summary and similarity of findings

We see that text observations produce "answers" to questions confronting the text. They can cover a wide field. The first observation showed a structural change throughout Chapter One: The hero, living in everyday routine reality, having read too many books about chivalry, begins to accept imagination and then to engage in silly actions as an imagined knight in an imagined world. This is a change from "reality" to "fantasy taken as reality" or from "*verdad*" to "*imaginación*." The second observation shows that the legitimation of the hero's "actual reality" is shaky. This is in sharp contrast to the author's legitimation of his poetic work, in a brief document written not long after the publication of the first volume of Don Quixote. This comparison shows that the pseudo-

legitimation of reality (and of the names and the narrator(s)) must be an intended characteristic of the novel *Don Quixote*. The text deals in many facets with the relations between different aspects of "reality," which can be described in more detail based on this finding.

These examples apply the methods of qualitative experiments and text observations to some parts of the text under study. They cannot be generalized unless other parts of the text confirm their validity. One rule of the heuristic methodology requires us to test the range of the validity of the findings by "maximally structurally varying the perspectives." But for the time being we can claim that the conditions we found do actually exist within the text.

A note on further research

These examples of applying two qualitative methods can demonstrate one way to begin an analysis of the text. The next step could be formulating questions based on this analysis, searching for different aspects in other parts of the text. One topic within the first chapter could be why the hero became "mad" how his madness relates to "reality." Another topic could be the way he constructs his own reality and the technique he uses to *name* the important figures. This would require a more detailed knowledge of the meaning of the phrases (Weich 2001, pp.32-33) to understand what the Spanish names both directly communicate and indirectly suggest. This topic is very interesting as names refer to reality and indicate it, but also have their own aura.

Prominent topics for further research could be the Cervantes' hero *reality-concept* and the structure of the *humor* of the novel. I believe that topics like this can be analyzed using the methodology and the techniques presented here.

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Methods of Qualitative Research
for the Interpretation of Chapter I of Don Quixote*

Antonio Medina and Concepción Domínguez

Introduction

For qualified investigators, after their analysis of The Quixote's first chapter, this novel is an essential work due to its dense content and its great incidence in human stereotypes. After our deep analysis, we question three main aspects of the novel.

- 1) *What is the novel "The Quixote's" about?* Cervantes gives us a way to understand the real human needs. Particularly, this book is about a person's ravings about chivalric values due to an excess of reading books of knights. In fact, this delirium leads to a loss of reason. The names of clever knights give clues about the character's personality.
- 2) *What is Cervantes' contribution?* There is a presentation of the way of living of the knights. Actually, there is similarity between the author's life and his character's (autobiographical feature), because Cervantes went to the army so he knew the chivalric code.
- 3) *Why does the author situate the action in an unknown place located in La Mancha?* La Mancha presents an idyllic world full of farm houses, windmills and big houses.

The main aim of this presentation is to create an efficient methodology for the didactic goal to comprehend, analyze and interpret fictions. In fact, this method is based on literary knowledge, analysis of the content of texts and the shared dialogue among professors who teach our literature master pieces.

Our aim in this phase is essentially methodological with a qualitative orientation. Following Glaser's and Strauss' vision (1967), Dick's works, Clandinin and Connelly (2000) and our own works (Medina & Domínguez 1988, 1995, 2001, and 2002), we attempt to give reasonable approximations about the study of the fist chapter of Cervantes' book. Actually, taking into account other multiple perspectives of interpretation, our main contribution gives an artistic innovation in the way of teaching.

Context and text of the linguistic discourse of "The Quixote":
Cervantes' life

The Quixote's novel emerged from Cervantes' complete literary maturity due to his age (57 years old), older than the average one of his time, in 1605. Sevilla and Rey (1994) describe Cervantes as an old man and, in a certain way, a loser. In fact, Cervantes' life,

obviously adventurous, with five years of captivity in a Algerian jail (1575-1580), gave him experience and a way of search and knowledge, recognized as to be patient among multiple adversities.

Cervantes' life is between the historical fact of Lepanto war and the construction of the Armada Invencible. The essayists cited above think that Cervantes' idea of writing "The Quixote" was conceived in one of his imprisonment (in 1597). Lately, the novel was written between 1598 and 1604 which was finished in Valladolid.

From 1605 to 1615 Cervantes had particularly a rich creative period. The literary world of his time, characterized in political difficulties in general and socio-economic ones particularly at least, presented great writers such as Góngora, Quevedo and, especially, Lope de Vega with whom Cervantes had a fierce competence due to Lope's great success in theatre and his genesis of a new created typical Spanish genre called picaresque novel with works such as Guzmán de Alfarache, Lazarillo de Tormes.

Now we will look at some of the causes of literary importance of Don Quixote, cited by the authors, Sevilla and Rey (1994):

- a) Period of invention and own creation against imitation, fear at amusement against the potentiality and transcendentality of the past mystique like San Juan de la Cruz and the rising of new literary concepts and forms.
- b) The writers of the time took the Baroque style and, sometimes, the concept of despair.
- c) The death of the Spanish king Phillip II and his way of government gave a more relaxed atmosphere to the life in Court.
- d) The emergence of a literary atmosphere and the promotion of the Spanish literature of the period and its European and world-wide view. The consequences of this emergence changed the literary vision of the chivalric novels and even the way of living of the human beings.
- e) Don Quixote can just be understood by a complete biographical, historical and literary vision because Cervantes' implication in his society, as a known writer, influenced his contemporaries.

The necessity of a deep search of identity, a sense of loss of self and the recovery of what is necessary are some of the characteristics from the literary donation that has two real archetypes:

- The quixotesque utopia and illusion.
- Realism and good Sancho's manners.

There is also a permanent search of a difficult balance between contrasts that Antonio Machado questions: "Who is your comple-

ment? Your opposite.' Fuentes (1994) considers "The Quixote" as the first novel that talked about disenchantment: 'The adventure of a marvelous mad man who recovers a sad sanity... .' In fact, this scholar confirms that this disenchantment of this time is defined the best by this novel. Besides, this novel has two visions:

- The general context of thinking.
- The double experience of a loss of values in Cervantes' personal life and the delirium of a sick mind, the Quixote's, that explains the continuous adventures.

The main essayists think that the ecosystem of the novel are based on metaphors of failing, disenchantment, and a generalized loss that are used to understand this work.

Cervantes' composition of "The Quixote" is between the recognition of the most utopical chivalric values, represented by the knight, the life and the ecosystem of farm houses, spaces of gathering for the most different characters of their time: farmers, pig feeders, butchers, prostitutes, etc.. Actually, at the end of the first chapter and at the beginning of the second one, Cervantes wants to re-value or at least to make understandable a new space for the wide La Mancha in order to gain the sense of genuineness and ordinary. Therefore, there is a fight between the recognition of the chivalric values and the rising of the strong and popular appearance of the scoundrels who fight for their survival ('Your majesty has a superior category than Lazaro de Tormes').

Cervantes chooses a narrative style that makes the reader to gather a new innovative attitude and welcome him/her to see the reality with an utopian-delirious and realist perspective. This permanent dialogue between illusion and reality is one of the main dimensions of Cervantes' work. Moreover, the author uses a rich and exuberant language that shows a complex, difficult and hard vital experience in the other chapters.

Cervantes is a master of the picaresque narration, because he shows different points of view of the reality like in his work "Rinconete y Cortadillo" that presents different options in the environment of his time. Some of the sentences like 'folly is in man's morality' are, perhaps, too excessive. In fact, folly must be understood as nothing, the emptiness.

This vision must be seen together with the efforts for freedom and the implication of the diverse roles that humans had in a critical and holistic knowledge of reality. Moreover, Sevilla and Rey (1994) defend that there must be less effort and a need for aspiration of creating an own literary style, based on perspective, irony, distance and always in an open and tolerant relation between life and literature.

Don Quixote follows a main literary line of creation of a narration opposed to the classic style and the installation of a permanent dialogue between contrasts. Therefore, the main sense

of the novel, based on chivalric values, are the wish for freedom and the respect to others.

One of the Cervantinian experiences is his biographical projection in the novel, he had a series of adventures from Lepanto to Algiers; and, perhaps, his captivity for five years in the latter place gave a great importance of the need of freedom that he values highly. Sevilla and Rey (1994) say that the aesthetical values of freedom, based on his life, and the renaissance of the humanism and the classical literary tradition create and integrate the basis of the novel. Don Quixote represents the compromise for freedom of speech and also the union of the most celebrated values of the chivalric knowledge and life. Moreover, he gives new ways of understanding the reality that was lived by farmers, *venteros*, people of life, etc.

We could summarize the author's idea in a sentence: 'The invented fantasy comes true and erases the hypothetical borders that divide them.' Cervantes values highly the artistic task because he makes the readers to discover an illustrated reality, but the readers give life to this reality and also their own perspective creating an authentic discourse. In fact, this novel can be parallel with reality.

Cervantes creates his work in an air of freedom and permanent search. La Mancha is an open and wide space to live. Actually, Cervantes, in his travels from Madrid to Andalucía, observed the villagers who believed in freedom, human quality and the reality of the human beings of the XVII century. Actually, these ideas are based on the chivalric tradition and go together with fidelity, honor, effort, openness, and capacity of sacrifice for understanding the obstacles of life.

Cervantes' narration is both utopical and realistic; and his emergent, complex and unpredictable dialogue creates the archetypes of the knight of that time and the practical and realistic farmer Sancho Panza.

A methodology of the qualitative analysis of Cervantes' discourse is seen in the first chapter and requires understanding the author's world based on the most prominent facts of his life and the historical, aesthetic and socio-economical background that he lived. The methodology of analysis of the discourse must be the comprehension of this plural reality.

This reality is conscious of a discourse based on the balance of contrasts: utopia-reality, knight-farmer, ordinary life and party life, great knowledge of the chivalric and the farmers' language. This diverseness of languages, due to the historical context and the genesis of Nebrija's diction which grew in the depths of the Hispano-American ecosystem, created a great emphasis in Europe. The most coherent methodological vision of this context are the socio-economical and the hermeneutic studies that the potent discourse of The Quixote has. All of this is triggered by symbolical interaction and perspective of analysis of content. This

vision of the Quixote's richness in language is in a process of a frame of multi-meanings which give a contextualized sense of how we investigate.

From the literary hermeneutic to the didactic study –
similitudes and differences

The analysis of the novel is a new reading of it from the point of view of the researcher's goals; and the literary world that is generated values the projection and the possible actuality in the present time.

One of the disciplines that has improved the hermeneutic is linguistics and its consecrated aesthetic in literature.

The hermeneutic is a rich perspective and is in a permanent change in a detailed description; it is the vision of totality, the structural analysis and the determinant use of the comprehensive method, based on the actors' vital experience.

The comprehension (*Verstehen*) is the emphasis and the collective-mental identification as a deep vision and inter-subjective valuation of reality that we need to understand. Besides, there is an holistic experience and a singular world of human beings expressed orally or well thought written texts. In fact, we try to understand the sense and the most genuine symbols of the human experience.

The reality of the texts must be valued in a diachronic (through time) and in a historical context; both parameter the evolution... One and the socio-cultural have the most transformative and expressive dimensions of reading a text in its context. Due to the universal language of actors of the novel and the main line of composition which generates a dialectic process between questions and answers that make the readers question about the sense and the reality which represents the Quixote's time.

The effort to comprehend places us in an emergence of feelings, emotions, values, intentions and a complete integrated thinking of inter-relation that is given in human beings when they contemplate complex realities created by their psycho-somatic forces and the contrast between the reality of the socio-cultural and the historical ecosystem.

What do the hermeneutic dimension and the new horizon of interpretation give us to our didactic frame of texts? They give us the richness of language and the necessity to understand it in a reality where each person lives, shares and uses it.

The comprehension of the process of teaching-learning is made in the meta-teaching of master literary works like *The Quixote*, which make us asking ourselves and keeping our research in a inter-cultural frame. This approach leads to the following questions:

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- What does a basic work like *The Quixote* contribute to the processes of teaching and learning?
 - Which role does the discourse and the use of this work by the teacher have?
 - What kind of contribution does the domination of discourse make to the process of teaching and learning?
 - What can we say about the hermeneutic and the comprehensive method for answering to the creative and emphatic process of teaching?

These are some of the most important questions about the analysis of the processes for teaching-learning in a formative way and the teachers' tasks of research that go with the creative work due to the discourse which is an essential way for developing a teaching of quality. The analysis of the discourse is a long way for the didactic thinking (Titune, 1986; Cazden, 1986; Medina, 1988; Medina & Domínguez, 1995; Stocklmayer, Gose & Bryant, 2001). This analysis of the discourse gives its own methodology of research based on the following processes:

- Identification of the basic texts and clearance of its frequency and inter-relation.
- Selection of key words and their inter-dependence.
- Particular and exhaustive description of these words.
- Interpretation of these words, in their context and projection.
- Transference of meanings and valuation of symbols for the students and teachers.
- Estimation of the inter-relation of the sense of texts, key words and sense of oral discourse in the socio-relational climate of the educational center and the classroom.

We present a sequence, never followed by the cited scholars, focused on the oral discourse of the teachers, but it is widening in a deep meaning of the textual theory or a literal transcription of the oral discourse and its recording on tape creating an 'ad hoc' methodology for understanding the complexity and widening, the multi-culture of the class and the necessity of a new understanding.

We wonder not only about the method of research, but also about the transformational sense of the research for improving the processes of teaching and learning.

We will present in the second work the aims in some of the areas of knowledge about the role of the discourse; and was used of master literary works for the development of a didactic knowledge and its improvement in the processes of teaching and learning.

Why do we think that the process of creation of knowledge comes from its comparison with the narrative form?

Didactics, especially at the teachers' formation, study autobiography (Medina, 1996; Medina et al., 2001) which is the combination of the narration and the professional teachers' experience.

Professors and students record their dialogues with cameras, computer and tapes to widen their knowledge. Particularly, this record has different ways of expression:

- Diary and self-report: professors' self-reflection about their professional life.
- The narration, biograms or the field notebook, which gives a reasonable explanation of the types of knowledge and action.

An efficient methodology to comprehend narrative or written texts makes use of the analysis of analogies in Don Quixote of La Mancha.

The narration is one of the most representative ways of the presentation of reality caused by its historical perspective. The analysis of the first chapter of Cervantes' novel must have a didactic methodology of research. In fact, Closer's methodology (1998) makes an attempt for understanding the author's message, context, finality and projection. *Even the critic tries to unify the different senses of this novel and its influence in human stereotypes:*

- Analysis of the semantic and the contextual content of specific terms.
- Co-observation: based on a deep reflection of the way of teaching and action in secondary education.
- Interviews: the teachers look for the didactic aspects of the texts.
- Identification of the literal, figurative and projective meaning.
- Study of the bibliography and other literary sources.
- Holistic methodology coherent with the interpretation of the triple option of the discourse:
 - o Spanish culture
 - o Retrospective: historical moment.
 - o Projective development: the change of interpretation in future.

What kind of projection is necessary for a didactic research?

The narrative methodology has developed widely the way of teaching thanks to the appearance of new techniques and procedures. What kind of analysis, type of narration and implication does this book have? Taking into account Glaser's and Strauss'

works (1967), Martínez and Saudela (2002) and our own essays (Medina, Medina et al., 1988, 1995, 2001, 2002), we suggest a common and specific process of analysis of fictions with the following aims:

- Global and general comprehension of the first chapter.
- Identification of the most representative units and categories of analysis.
- Establishment of the main relations among codes and definition of new categories.
- Delimitation of meta-codes and explanation of categories.
- Determination of the limits of the categories.
- Analysis and explanation of the new meta-narration.
- Critical valuation and creative study of the process, successes and global improvements of narrative discourse.

The teaching community – a community in emergent discourse: What does the 'grounded' theory of Dick represent for the contribution of the narration?

The educational professors' discourse spreads from the school to other areas which interrelate. Besides, the literary analysis makes us to understand the most representative messages and the historical moment in comparison with our present culture. Because of this analysis, a teaching community share concepts, beliefs and values together. Thus, his/her personal development or duality is based on the consolidation of the community discourse. However, there is a difference between written texts whose function is didactic such as institutional projects, official documents, and the oral ones that with non-verbal and para-verbal features give richness and cultural differences in the texts. Thus, students and teachers understand the texts with a method of logical combination among analysis, interpretation and composition.

Which methods do we use to know semantic and syntactic relevance, grade of clarity, finality and personal experiences? What method should we use for the analysis of the content of "The Quixote's" first chapter?

There is a reflection and interpretation of Cervantes' narration helped by different perspectives such as style, content and didactic thinking. In fact, Close (1998), Lázaro Carreter and Rico (1998) show this novel as an example of moody or mocking dialogue, full of love and mutual respect. Furthermore, Bloom (2000) believes in a change of characters' personalities when they start to listen to each other. However, there are limitations in this methodology due to educational incidents.

What does 'the grounded theory' give to the study of the first chapter?

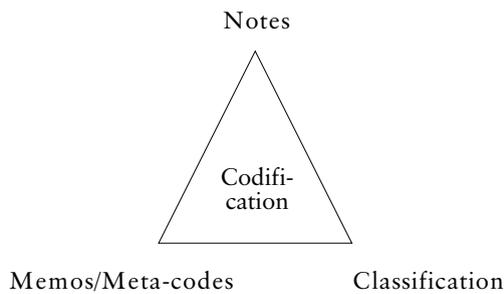
The grounded theory is based on the work of Glaser and Strauss (1967), Glaser (1998) and Dick. Particularly, we take an epistemological perspective. Dick (2001) believes that the task of this theory is to give a global view of the complex reality and the differences in people's roles. In fact, the theory compares constantly several fictions to get a quick idea. This new idea is compared with the data for obtaining codes which give categories of wide vision. Categories are divided in codes and sub-codes which interrelate themselves to create new meta-codes or memos (the most representative ones). Consequently, a careful study, sentence by sentence, gives us a new code and their complementation. Therefore, codes create categories which form meta-codes. An exhaustive analysis leads us to find key categories in the meta-codes.

The process is a series of data, codification, recollection of codes and memos until we reach for the limits of categories. Then, we classify categories, new memos and meta-codes which are the base of our meta-language.

Methodology for the analysis of content of The Quixote

We use Dick's grounded theory for the analysis of content of The Quixote in its different phases:

Recollection of data.



Particularly, we notice that Erickson's model (2001) eliminates categories which are not in the data recollections.

Analysis of Medina's, Domínguez', Pérez' and Feliz' works (2001): points of overcome and transference

Our methodological vision is complemented with other aspects and methods of investigation (workshops). Our categories of analysis are:

- Meta-cognitive capacity / professional compromise / relevant experiences
- Autobiography / reasonable narration
- Co-biography and groups of collaboration
- Self-analysis of the practice or self-observation.

This methodology compares different methods, complement actions, conceptions, and contrasting aspects. Furthermore, there is a better explanation of the memos or meta-codes which show the most representative experiences of the teaching community.

Finally, we incorporate Huber's contribution to the empirical investigation and the discussion of a third group on specific methodological question.

The Ethnographic perspective and the analysis of contextual and projective contents of the text: their didactic orientation.

The ethnographic didactic perspective is one of the most reasonable methodological perspectives which studies the symbolical and historical content of the texts (Wood, 1996, 2001). Therefore, this methodology can explore the deepest meanings of the text. Reading a text implies a dialogue, different perspectives and new referents. The ethnographic vision provides us with a complex structural knowledge and meta-linguistic analysis for understanding the message and the style of the text. Moreover, this perspective gives a historical point of view that gives sense to the text due to a subjective study of key words and their evolution through time, culture, and contexts. However, we question ourselves about the finality of this perspective such as, for example, phenomenological, case study, grounded theory and critical study. Methodology for the analysis of the narration: study of the first chapter of "The Quixote".

Our approach of qualitative methodology combines ethnographic perspective (Wood, 1996) and the symbolical interaction in the texts. Then, we apply the analysis of content and the grounded theory. After these processes, there is analysis of data and a holistic interpretation of the main message of a narration and/or of the discourse. Finally, the result is reinforced by our triangle: narrative autobiography, groups of discussion, self- and co-observation. The inductive interpretation and the techniques of deduction are the triangle investigator's goal:

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- Create a coherent methodology for the comprehension of texts.
 - Understand the key words in their written and oral forms.
 - Focus on the analysis of texts with a formative perspective and the most valuable change of reality.

What we attempt with our methodological perspective is to deepen into the messages using the following triple perspectives:

- Historical value and recognition.
- Present virtuosity and acceptability of the formative sense.
- Future projection of the formative constant development.

The qualitative methodology based on the grounded theory gives us new visions of reality. Moreover, these visions are complemented with the teachers' discourses and meta-discourses and the processes of teaching and learning, particularly from the areas of Social-Geography and History, Language and Literature, and Environmental-Natural sciences from secondary education. Furthermore, there is another complementation with:

- Narrative autobiography in the process of teaching and learning.
- Micro-group or teaching groups.
- Self-observation, detailed interviews and an analysis of the key words in literary master pieces like the first chapter of Cervantes' book.

Therefore, we attempt to create a methodological process which developed a coherent discourse in the way of teaching and learning in secondary education. What kind of perspective should we use for an exhaustive analysis of the narration of the fist chapter? A holistic perspective integrates different methods and provides procedures to improve the narrative creation and their complex interpretation. In fact, the following pattern is a double proposal. In one hand, there is an multiple interpretation due to the diversity of methodologies (exposition – question – work in teams and individual works, design of projects) in a meta-communicative space. On the other hand, there is a creation of new ways of communication based on poetical references.

We must pay attention to the study of literary texts between professors and students, because the lack of different frames is the biggest difficulty of qualitative research. However, there is a permanent increase of this research.

The literary master piece discourse: Narrative nuclei and metaphors.

The key of the discourse is a honest people's implication, search and participation of knowledge that is founded in written and oral records. Which is the value most pointed out in master pieces, in this case, in "The Quixote?"

A master piece is a complete identification between the author's feelings, his reality and the new singularities of expression and the readers' own constructions. Similarly, the teacher's discourse must look for the same aim. In fact, the meta-language of the novel is transformed using images and widening the concepts of the words transformed for being understood by the readers. An example of this meta-language is "The Quixote" which was a literary turning point of its time. In fact, Cervantes' style is a combination of explicit and implicit meanings, thought and written forms, emergent and well-developed ideas and uncertain and reasonable situations. However, Cervantes' most representative characteristic is the psychological depth based on his personal past experiences.

Both writer and teacher have their own discourse full of communicative energy, but there are no an exhaustive self-observation nor a deep interpretation. A literary work is considered a master piece when it has a well-structured discourse, a contrast of perspectives and contexts. Besides, the holistic conception gives a complete vision of the potentiality and virtuosity of the text content, as can be described in the following series of components:

- Extensive and deep reading.
- Continuous and loud listening (Medina, 2001).
- Creative and global structured synthesis of the most relevant ranges, features, characteristics and frames.
- Explicit sentences, components and basis of a new meta-discourse.
- A meta-structural and comprehensive option.
- Validity of multiple conceptions, visions and ways of explanation of the read and interpreted discourse.
- Understanding the narration through experiences and transversal synthesis.
- Reasonable option of compromise in a total-structured view.

Narrative nuclei:

The holistic vision complements some analytic procedures. Particularly, it identifies the narrative nuclei. These nuclei are essential similar components of a text, because they resume the most representative ideas and scripts of the narrative process and their frame. In fact, there is a selection of the most characteristic

nuclei analyzed and divided into codes by the use of categories. In a reasonable way, the holistic perspective compares and contrasts the aspects of a text.

Concept of metaphor:

A metaphor is a beautiful analogy of a concept, a synthesis of ideas and/or a systematic way to know a difficult reality. Clandinin and Connelly (2000) believe that metaphors are useful for teachers, because they learning up of deep experiences and feelings. Actually, metaphors are linked to context, situation and space. However, the context is in a permanent change. As a consequence, multiple perspectives have to be used.

Selection of key words:

The discourse is a series of significant or descriptive symbols which are called key words. As a matter of fact, these words identify the human deep feelings and their interrelation. Similarly, teachers have a key word discourse, too. Both discourses are rich in thoughts, feelings and human communication. Nevertheless, literature communicates in a creative and beautiful plain way while the teaching is an exchange of ideas and meanings. Particularly, literature deals with the differences among fiction, Utopia and Realism and its self-knowledge is developed in a personal, artistic and professional frame.

Formative goals in teaching:

Teaching takes the most formative aspects and the deep values of a literary work. Actually, the methodology is based on the holistic interpretation of the discourse, the identity of the narrative nuclei and the most representative actions narrated by metaphors.

Construction of a contextualized and interpretative methodology.

The global vision creates models of local identity in constant change. Therefore, this vision has three options: socio-cultural historical, literary moment with a portrayal of a decadent, and hopeless Spain by Cervantes. After Sevilla and Rey (1994) in 1605, date of the publication of the work, the administration, the army and the Church were the basis of the society between the centuries XVI to XVII. In addition to this change, there is a political change from Felipe II to Felipe III as well as cultural one (from the Renaissance to the Baroque). Meanwhile, the literary production, such as Lope's, Gongora's and Quevedo's work, were influenced (Sevilla and Rey, 1994, p. vii) by this change, and the

decadent atmosphere compared with Cervantes' old age and maturity.

In order to understand the quick and unexpected novel success even for the author, we use an hermeneutic vision that gives a semantic meaning and a XVII century perspective where there was a clash of civilizations (Huttington, 2000).

The methodology of research consists of the explicit and implicit meanings of the written discourse, the synthesis of different methods with a comprehensive-hermeneutic base and a holistic frame. Therefore, the analysis of the teachers' discourse is:

Holistic-integrative method	-> Narrative-written discourse	-> Oral discourse Verbal/non-verbal code
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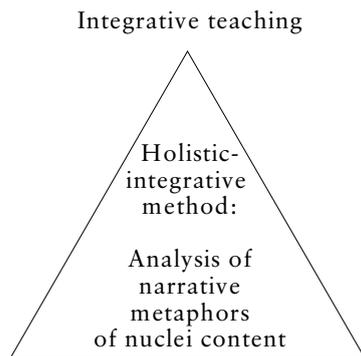
contextualized-interpretative discussion of the global sense and potentiality

<ul style="list-style-type: none"> - Analysis of global content * Symbolical interaction * Ethnographic * Comprehension - Narrative nuclei - Metaphors. - Identifying internal relation. 	<ul style="list-style-type: none"> - Discovery of symbols, terms and creation of teachers' knowledge. - Discovery of the key nuclei. - Decode essential metaphors and internal coherence, essential elements and terms for identifying the tale, the knights' book and their great potentiality. 	<ul style="list-style-type: none"> - Analysis of the explicit discourse * to teach the first chapter. * to contrast their own discourse. * to give meaning to the three codes.
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Didactic goal:

- Formative value
- Justification the formative potentiality of the literary master piece.
- Transformative discourse: to understand the fluidity and richness of expression of texts.
- Integrated teaching: to apply the communicative potentiality of the teacher's discourse.
- Significant and creative learning: to depth in the student's motivation and the cultural meaning.

Complementation between the method for understanding the literary work and the teachers' objectives.



Transformative and formative discourse.

Significant-creative learning

Teachers and students obtain new domains of discourse if they use an holistic innovative methodology. These new skills are:

- To teach-Integrated and artistic knowledge.
- Students' narrative learning in a creative way writing memories, biographies with the proposed methodology.

In the first chapter of Cervantes' book, a teacher gives the central and global ideas in a double deduction using the presented holistic methodology:

- The book includes the first chapter.
- The methodology with a didactic value represents multiple options which analyze all essential components.

What can we explain as a significant synthesis of the narrative style called tale in the first chapter? What clarifying vision and integrated meaning we see?

The first chapter presents the character who has lost his sense of reality due to an compulsive reading of knight books. Consequently, the reading leads Don Quixote to believe that he is a knight and he starts looking for chivalric adventures to save his honor and republic. In fact, the chivalric values include the defense of weak and the beloved one, and to overcome hard tasks full of dangers.

There is a comparison between the Quixote and the author himself, because both of them represent the literary figure of the

loser. An old Cervantes, 56 years old, was hopeless due to the lost of Lepanto battle and his arm (his nickname was one-armed man of Lepanto), his exit from the army and his failure for obtaining funds for the invincible armada which was defeated afterwards. In addition to this situation, there is an historical moment of change from the glory of the Renaissance to the decadent Baroque. In literary grounds, there is the appearance of the picaresque genre and the decay of the knights' narration, an example of this can be seen in the Quixote's armor which belonged to his grandparents splendor's late age.

The Medieval and Renaissance knights looked for the most elevated and ideal values in life like King Arthur and his knights. Consequently, Don Quixote is living in historical change with the discovery of America. Therefore, there are no more feudal times or chivalric adventures. Thus, he must invent them causing dangers (example of his dialogue with the 'liberal women' and the seller from *la venta*).

Moreover, the character uses by hyperbolic vocabulary for describing common objects such as his weak horse ('stallion') or his old and ragged sword ('magnificent'). At the end, the knight is so obsessed with his reality, which does not accept the good ideas that come from the knights' values of Humanistic Renaissance that will lead to the French Revolution and the academic knowledge. The knight travels through the Mancha fields defending chivalric values until the seller of the farm house defeats him.

Narrative nuclei in the first chapter:

What we pretend here is to complement the holistic vision with an identification of the discourse and the study of their narrative components using a descriptive process and narrative nuclei:

First Nuclei: Identification of the character with the following narrative nuclei:

- Quixote's living place
- La Mancha and the life of a man with his clothes and eating habits from the XVI and XVII centuries.

Second nuclei: Quixote's clothes and people who live in his house: his nephew, Ana and the field helper. There is an identification of his nickname Quijada/Quesada.

Third nuclei, prior activity - the reading: the character spends all his time reading and recollecting the main representative knights' books, especially Feliciano's de Jihue, whose prose is exuberant, the knight of Febe, Don Galan.

Fourth nuclei - loss of reason: due to an constant reading of knight books.

Fifth nuclei - the most known knights by Don Quixote: el Cid, the strong sword, Bernardo del Carpio and Reinaldo de Montalbán.

Sixth nuclei - Initiation of the chivalric adventures: Quixote's identification of a knight with the use of weapons, adventures, his nickname (Don Quixote of La Mancha), the name of his horse and the search for his beloved lady.

Seventh nuclei - Election of the lady of his dreams: señora Aldonza Lorenzo, renamed Dulcinea from Toboso, a significant and musical name like the rest of names that appear in the novel. In fact, these names are metaphors that are full of images, which give a new value to the language, and the meta-language.

Selection of metaphors of the first chapter:

Following the model of the seventh nuclei and the holistic methodology, we observe the narrative clairvoyance and the knight's unbalance (examples from the text are in italics). Identification of the character:

- First nuclei: Weapons and horse, eating and clothing habits
 - * *man with spear, old knife, thin horse and running greyhound.*
 - * *Cow stew more than sheep one, salpicon, duelos y quebrantos,*
 - * *lentiles and palomino de los domingos.*
- Second nuclei: Clothes and people to live with
 - * *sayo de velarde, calzos de velludo, sneakers and vellon.*
 - * *Dry meat and narrow face, a friend of chase who wakens early.*
 - * Name of adoption, *Quejana.*
- Third nuclei: Permanent reader of books of knights, in love with exuberant vocabulary:
 - * Twisted squares,
 - * Feliciano de Silva's "*que os hacen merecedora de merecimiento que merece vuestra grandeza*": you deserve your title due to your highness.
- Fourth nuclei: Constant dedication of reading
 - * *From clear to clear and from blurry to blurry.*
 - * *The enchantments as dependencies.*
 - * *The dreamed inventions about he reads.*
- Fifth nuclei: Imitated knights:
 - * *Rolan, the enchanted.*
 - * *The knight of the brave sword.*
 - * *Anteo, son of earth.*
 - * *Morgante, nice and well bred.*
 - * *Reinaldos de Moiralban, who takes revenge to Galan's and his family's traitor.*

- Sixth nuclei: Consecration as a wandering knight.
Loss of reason:
 - * Wandering knight
 - * called for his bravery by the *Empire of Trapisonda*.
 - * Orin's weapons full of moss and centuries: *way of half celada*.
 Horse:
 - * *Bucéfalo and Babieca* can not be compared with him.
 Loud and significant name.
 - * *Don Quixote of La Mancha*.
- Seventh nuclei: Identification of the lady of his dreams.
 - * *Dulcinea from Toboso* (significant and musical name, the lady of his thoughts).
 - * *Caracibrambo* Giant.

Selection of the nuclei that show Cervantes' richness in style and his mockery about the chivalric values.

Identification of the key nuclei of the discourse and their projective value with terms and sentences.

- Identification of character and the way of living: *I don't want to remember. - A man lived. - They ate the third part of his food in his house.*
- Clothes and people at the Quixote's house: *The rest of his belongings were his clothes. - He had a house and fields.- Reached to 50 years.- Don't matter the name.- It's necessary to tell the truth of the story.*
- Complete dedication to read knight books: *His great curiosity about knight books. - He sold many fields to buy knight books. - He collected books as much as he could. - The most valuable books were Feliciano de Silva's ones "mercedora de merecimiento que merece vuestra grandeza."*
- Loss of reason: *- little sleep and much reading. - Dry his brain. - He fantasised with everything. - There was no better truthful story in the world. - He went out of his castle and stole everything. - To become a wandering knight.*
- Most famous knight for Don Quixote: *- El Cid Díaz had been a good knight. - nothing to do with the strong sword knight. - Bernardo de Carpio killed Roldan. - Reinaldo de Montalbal stole the Mahoma idol.*
- Initiation to the chivalric adventures: *- Lost his reason. - strange thinking. - he though necessary to become a wandering knight. - around the world ... looking for adventures.*
- Election of the lady of his dreams: *- To clean the sands. - what should I name my horse: Rocinante. - Don Quixote from La Mancha was his new name due to his family and country. - To search a lady with fallen in love. - Knight without love is like a tree with fruits, body and soul. - If I win,*

you must present yourself to my lady. - He sent me to present to your ladyship. - She was called Dulcinea from Toloso.

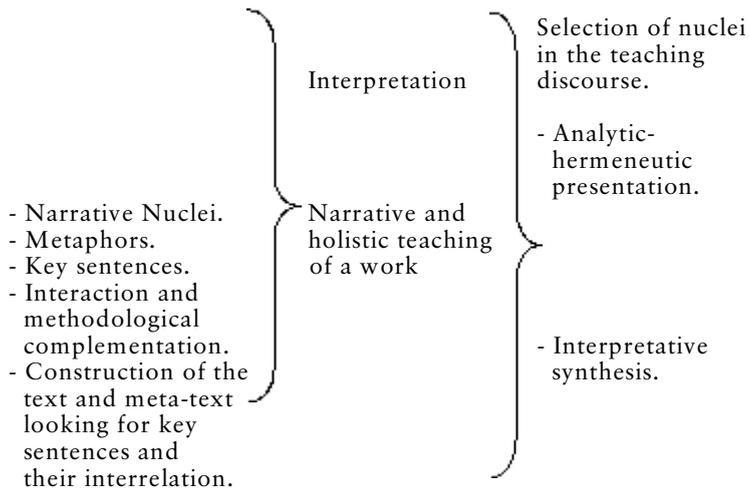
These seventh points give us a mocking vision about the Quixote who wants to become an ideal knight, Reinaldos de Montalban, fighting for his country and his beloved lady, helped by his horse. The first sentence of the novel (*In a place from la Mancha, whose name I don't want to remember, no long time ago an aristocrat lived there with his spear, his thin horse and his running greyhound*) is a perfect description of the place, clothing and eating habits of the XVI century and beginnings of the XVII century.

Transference to teaching: contextualised and interpretative methodology

The analysis of the discourse of this novel is orientated towards teaching by the richness of the vocabulary. In fact, teachers investigate the cultural meaning, the importance of the text in literature, and the relation with the present time of the work using their interaction with students.

In the last courses of primary, secondary and University education, all teachers have a double aim. On the one hand, they explain the historical moment of the book. On the other hand, they use the students' present discourse to be understood.

Discourse of a literary master piece - holistic-integrated method in a contextualized and didactic methodology:



There is an incorporation of students, especially teachers, in the explanation of the different social classes, plus a comparison with other literary models and the creation of a transformative style. In fact, the teachers' task is to create a meta-discourse closer to the students' iconic and digital knowledge which decodes the verbal and non-verbal features of a text. Furthermore, professors establish a respect for the differences and for other cultures, an example seen with the respect between Quixote and Sancho, the hyperbolic reality against the innocent Realism.

What do we expect from our methodology and its projection in the process of teaching and learning?

The methodological vision gives a deep interpretation and comprehension of the processes of teaching and the students' discourse. Keys for understanding the discourse in "The Quixote" and of teachers: The teachers' discourse is based on the research about Cervantes literary work linked to the present time. The keys for understanding the discourse of "The Quixote" are:

- Intellectual, academic and social interest of Cervantes' portray of XVI and XVII century way of living.
- New use of semantics by showing that Cervantes asks his readers if chivalric values are worthy at all, because they can drive to madness a man.

- The present time of the dialogue-thinking: For the critics, Quixote's fantasy and Sancho's Realism have opposite styles, but instead of arguing; they respect each other. An example of this can be seen in the "windmills episode" with the contrast between Quixote's elevated prose and Sancho's low education. Actually, this respect of others is the task that teachers must aim in their classes.

The change of knowledge and feelings:

In his madness, Quixote creates his reality of chivalric values. Therefore, he does not live in the world. In fact, Sancho is the one who lives in the real world with the problems that shepherds, and sellers have.

The literary works, especial poetics, are closer to the human feelings and their relations, because they go to the emotional level of people's intelligence. Similarly, Don Quixote looks for the ideal, even platonic, love which shelter him after the battle.

A didactic methodology of research:

The methodology has a global and holistic perspective for improving the teachers' discourse and the didactic formation of the students. Moreover, the teacher looks for other methods to arrive to knowledge. Because of this, he records his/her oral classes for improving the analysis. So there is a consolidation of the sense of the discourse:

- Holistic-integrative method, based on hermeneutic methodology and symbolical interaction, which gives us a global perspective of the discourse of teachers and students, recorded in tapes in the classes.
- The holistic-integrate methodology requires a deep didactic interest in the processes of creation and it divides the structural nuclei into key sentences using past experiences.
- The identification of the nuclei due to their nature by clear metaphors.
- Transformative key words.
- For Munby (1988) and Mingorance (1992), metaphors transform the teacher's way of teaching.
- The key words are synthesis of other significant and changing words that characterise the teachers' discourse.

Final reflections

We have used the analysis of the Quixote's first chapter for discovering a qualitative methodology. However, also we have paid attention to the specification of the characters' discourse in the novel taking a didactic context. In addition to this, we have tried

in our analysis to make a globalized investigation and then, to develop an holistic-integrated methodology. The process of interpretation for the Quixote's sense is based on an analysis of the identity of essential nuclei in the book. Therefore, we have found seven biographical elements of identity which show the importance of chivalric values and idyllic love which influence in real knight adventures and ideals.

Besides, there is a second and deeper level of analysis in the text. Particularly, we have selected a terminology, components and concrete metaphors. By a process of deduction and induction, this selection makes us understand all the possibilities of the propaedeutic value of the literary work.

However, the reason of this effort is focused on the interdisciplinary historical sense of Cervantes' life and the educational force of the Renaissance at present. In fact, we have investigated the linguistic domain and the descriptive frame of La Mancha space, its incidence in the historical moment and its great contribution to the XXI century. Teachers question about the quality of the discourse, its formative richness, and the constructing power of the linguistic competence at the teachers' formation, and its developing at teaching.

Our survey opens new and rich questions for qualitative investigators. In fact, we take the hermeneutic methodology (Wood, 1996, 2001) for obtaining a symbolical value for a deeper way of teaching and creativity of learning. Especially, there are teachers who discover an innovative knowledge of the language and the formative use of master works. Also we take the keys words for constructing and investigating the literary sense of the novel in educational centers and classes.

The analysis of The Quixote's text gives us the following reflections:

The contextualization of the discourse in the process of teaching/-learning implies a transformational and creative inter-cultural discourse which gives evidence of the classics and the teaching discourse can complement in a process of permanent improvement, if we apply the processes of teaching-research and the development of knowledge due to a methodology of qualitative research. In fact, when we use an interpretative diary of the discourse to use in class and the real one (narration) as an application of observation and co-observation between teachers and students: exhaustive study of the processes, practices, discourse and forms of the practices of teaching and learning, the permanent dialogue and teams of discourse which give evidence to the practices, to develop the processes of the triangle methodology and the methodological complement which gives evidence to the self-analysis of teachers and students and to the monthly

team discussion about students' real improvements and teachers' dominance of the discourse, and its multiple interpretations.

The discourse of the first chapter of *The Quixote*

Autobiographical and motivated to give the genesis, the identity and the socio-geographical ecosystem that are manifested through the main character's narration of the most common features and the Quixote's way of life, description of his wardrobe, creation of a new armor, horse chair and means for being a wandering knight (his horse, Rocinante). Besides, there is an explanation of the main sources of chivalry, 'whose the witty knight has inspired.' The selection of the social, familiar and helping ecosystem that the character will need; helper and a reduced group: *venteros*, farmers, etc. that act as a space for the main adventures. One of the most important characters in the book is the beloved, Doña Dulcinea del Toboso, an idealized figure of range and qualifications that are necessary for a lady of her high status. Finally, the book shows the most innovative frame of the knight, obsessed with the knight novels and their most representative values that even 'he sold a great part of his belongings to buy as much knight books as he could.' All of this is complemented with a deep and eager reading that 'dries his mind.'

These metaphors give evidence to the character's transformation that needs:

- *Transfiguration*. What can happen with hobbies or excessive manias of people?...."The knight of the sad figure ."

- *Faith or transmutation*, changing his illusion into reality he considers himself as 'the knight who will change the world of La Mancha.' He feels implied with 'the good causes,' because his mission is to fight against injustices and to create a new world. But these reasonable ideas do not correspond to reality, because he ends up fighting senseless and performing in a disoriented manner. Actually, the power of his imagination makes ordinary people, such as farmers or *venteros*, to become characters of his dreams. It is an innovative and transformative book which connects a sweet and adequate discourse and gives evidence to the required roles of a new society. However, this society is actualized and linked to the knowledge and thinking of the reality of each person and community.

There are the permanence of illusions, the transformations and the necessity of contrast. Also, we see a point of realism with the character of Sancho. Besides, we observe answers of the continuous dialogue between contrasts which emerge from the representative typology of the actual characters.

To conclude, there must be a literary and human research for improving the globalisation of teaching and learning processes. This leads to the question: What does the contextualized and

didactic analysis give us? The answer can be that it gives us a series of reflections about the formative knowledge, feelings and emotions in a multicultural frame.

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Illustrating the Voice Method
Using the Example of Cervantes' Don Quixote

Mechthild Kiegelmann

In this series that introduces particular research approaches by analyzing the first chapter of Cervantes' Don Quixote, I introduce the voice-centered method.

The voice method is well suited to investigate the different layers of meaning that individuals create when they struggle with social pressures. Originally, this approach was used from a developmental psychological perspective to understand how adolescent girls in contemporary US society struggle with sexism (Brown & Gilligan, 1992). Information about how these girls express themselves in close relationships and how they experience such relationships are central in this perspective. A core feature of the voice method is the illumination of different layers in an individual's expression of her or his experiences in general and of self presentation within a given (research) relationship in particular. In my own work I have expanded this method by using it to investigate the more general issue of breaking silence within social groups and also by explicitly analyzing the specific social context in question (Kiegelmann, 2001).

The voice method is appropriate for studies concerning individuals who are involved in conflictual social settings. It can also be applied in research about subjective meaning and about coping strategies in response to general social pressures such as sexism or racism. Researchers need relevant data about an individuals' first-person self representation. That is, how does the person in question speak about herself or himself? In addition, this method is based on collecting research data that include narratives about experiences of disagreement within a specific social context or about open conflict (Beauboeuf-Lafontant & Kiegelmann, 2000).

The task of analyzing the first chapter of Cervantes' Don Quixote using the voice method presents at least six problems:

- a) There is little firsthand information about how any of the people involved see themselves. The *narrator* speaks about himself (or herself?) only once (in the beginning); the *main character* is mainly described in third-person singular. *Cervantes*, the person whose words actually are this data set, does not say anything directly about himself and his experiences. Thus, in this "data set" there is no evidence about a study participant speaking about her or his experiences.

- b) The data are fiction. The text is deliberately crafted by Cervantes and thus differs from a transcript of spoken language and spontaneous speech. Crucial information is absent from the data, e.g. first person narratives about lived experiences within social relationships.
- c) The only "real" human being relevant to this data is the person of Cervantes. Yet, the data contain little firsthand information from him about his psychological experiences in the data. All other "people" involved are fiction and thus can not serve as empirical data representing human experiences.
- d) The relevant social context in this text is fiction as well. In addition, as a psychologist from Germany today, I have little knowledge of the social context that existed when Cervantes was writing his book. The data itself is no help in this respect.
- e) Because the text is taken from literature, the data collection is not a product of a research design. Thus, a very important connection between the research questions, sample and setting of the data, and methods of analysis is missing. No conceptual framework from psychology was drawn upon, before the "data" were "collected."
- f) In the description of Don Quixote, the narrator provides no relational element. The "madman" and his social context do not share the same world view.

These problems are indeed serious, as we consider the validity of the analysis. Conducting research with such fundamental flaws is not recommended for the voice method. However, we all know that this text at the conference today is being used as an exercise to introduce the voice method to this audience. My contribution is an illustration used to compare the results generated by applying this method to the given data set with the results of the other approaches.

Thus, let me start over again. Let me start by introducing my research question. Then, I will try to apply the voice method to the text and show what types of findings could be possible within a study where research interests, conceptual framework, research questions, data collection, data analysis, and validity were part of an integrated design (see Maxwell, 1996 for questions about research design).

Research interest

My research interest is in psychological processes and understanding how individuals become able to talk about issues that are silenced within their social context.

Now, I have as a data set an English translation of a Spanish text published 1605 in Spain by a man named Cervantes. In this text I find information about the experiences of a "gentleman" who lived in a community where being a knight appears to be unusual and does not fit the expectations of his social context. Yet, while I am unable to speak directly to this gentleman, I do get information about him from an unnamed narrator. For the purpose of illustrating the voice method I can use these data in the following way.

I take the words of the narrator as being protocol of data collected by a colleague who has hypothetically worked with me in a research project on processes of breaking silence. The unnamed narrator appears to have collected information about the gentleman in question. In a way, the narrator has a role similar to an interviewer – with Don Quixote being the interviewee. Maybe the narrator conducted participant observation by living with Don Quixote for a limited amount of time. Maybe she or he conducted interviews with a number of people who knew Don Quixote and collected documents related to his life. The text then has the character of a summary of field notes that were written by a researcher who is part of a research team. The report could be addressed to his or her colleagues in the same project who have the task of continuing the work by analyzing these field notes. In this case I am that colleague with the analytic task. Framing the first chapter of Cervantes' *Don Quixote* as a summary of field notes, I can set out to test if these data will be helpful in understanding processes of breaking silence.

My next task now is to develop an appropriate research question that a) is useful for my general research interest in understanding processes of silence breaking and b) is appropriate to the data that are accessible to me in this project.

My research question is: *How did Don Quixote deal with a difference in views on knighthood between himself and his social context?*

In this research question I conceptualize "difference between views on knighthood" as an example of social silencing. Don Quixote's process of becoming a knight I frame as an act of breaking silence, because both his decision to become a knight and his subsequent behavior appear to be at odds with his social context. In other words, I assume that Don Quixote experienced the majority of people in his society as silencing and minimizing the importance of knighthood. Framing the data in this way, I can focus my analysis on Don Quixote's process in developing cognitive and behavioral resistance.

Research Method

Multiple readings through a transcript is a key task in my use of the voice method. Each reading has a different focus:

1. reading for plot (content analysis) and readers' response (reflexibility)
2. reading for self (perception and presentation of a speaker individual and social identity)
3. reading for social context (understanding of social conditions; additional sources of information may be used)
4. reading for multiple voices (tracing layers in the subjective meaning that a speaker presents)

In order to test the feasibility of the voice method to investigate my research question on breaking silence in the first chapter of *Don Quixote*, I will now briefly present my findings from each of these four readings.

1. Plot and reader's response¹

Plot: The main story of the content in the data	Reader's response
	I notice unfamiliar language (old English with several words I need to look up)
A gentleman is introduced. The narrator gives details about the gentleman's belongings, eating and clothing habits, as well as his staff and relatives. Information about his age and (suspected) name is provided. (line 16-40)	I wonder who the narrator is. How does he/she relate to Don Quixote? It seems unlikely that the narrator met Don Quixote (since the narrator refers to an otherwise unidentified "they" (line 33) in connection with the name of the main character.
The gentleman's hobby is reading books about knights and he is described as spending so much time reading that he neglects the management of his estate. (42-62)	I find myself skeptical of the narrator. According to whose judgment was "the gentleman" neglecting his estate? In lines 49-50 the narrator mentions that the gentleman sold land in order

¹ When citing Cervantes' text, I refer to the version that was formatted for use in AQUAD (see article in this text by G. L. Huber)

to buy books. This argument eases my suspicion against the narrator, because selling land for books does appear to be proof of neglect. Yet, I remain cautious. In line 42 the narrator addresses me "you must know," I am suspicious again; I wonder if the narrator is trying to manipulate me into believing the narrator's account.

From reading and thinking about chivalric stories, the gentleman is described as going mad, i.e. he "lost his wits" (62-77)

The citations of passages from knight stories have no personal meaning to me. Yet, I still go back and forth between believing the narrator and doubting his/her interests: on the one hand, going mad over trying too hard to understand the cited text seems plausible. On the other hand, the narrator exaggerates so much that I find the story hard to believe (line 65: even Aristotle would have trouble understanding). My interest is in learning about the experiences of Don Quixote from his own perspective, and all I get is information from an anonymous narrator who appears to make fun of Don Quixote. The narrator leaves "the gentleman" nameless, even declares the name is not relevant (lines 38-40), which I read as a sign of disrespect.

The gentleman discusses stories of knights with a pastor and a barber in his village (79-91)

I wonder if these two are Don Quixote's only friends.

Details are mentioned of

Again, the details do not

<p>chivalric stories that the gentleman especially liked. He is described as losing the ability to distinguish between reality and fiction, because of his extensive reading. (91-120)</p>	<p>convince me. The cited names remain mostly meaningless to me. The narrator seems to assume that his/her readers know the mentioned knight stories. I wonder if this is a manipulative trick to make the reader feel uneducated and thus dependent on the narrator's judgment? I am still second-guessing the narrator's intentions.</p>
--	--

<p>The gentleman decided to become a knight himself, because the associated fame would become pleasurable. (122-138)</p>	<p>I wonder if the narrator is telling the full story.</p>
--	--

<p>Preparations of the gentleman for becoming a knight are described: He found and rebuilt a set of armor, renamed his horse and himself, declared a woman as his girlfriend, and renamed her as well. (140-236)</p>	<p>The whole story sounds unbelievable to me. I do not think that I will be able to collect information relevant to my research question. I wonder if I should interrupt the analysis at this point and start over again.</p>
--	---

Summary: This is a story about the development of mad behavior in a man. His madness consists of losing touch with reality and preparing himself to become a knight.

The story is told by an unidentified narrator. My reaction to the story is distrust of the narrator, who appears not to take his or her informant seriously. Rather than an informative summary of field notes, I got a text where an un-identified narrator appears to make fun of a person.

This set of data where I question the information provided by my colleague, the narrator, I am not able to use for my research project.

2. Reading for self

For the purpose of illustrating the voice method, I will now continue my mock analysis, trying the second step of the voice method on chapter one of *Don Quixote*. In the second reading, the researcher codes all references by an interviewee about

himself or herself in an interview transcript. Shifts in naming oneself are noted and interpreted within the context where the shift occurs, e.g. switching from first-person singular ("I") to first-person plural ("we") when talking about family matters. Only a few places² in the text provide information about which words Don Quixote used to speak of himself:

In the context of renaming his horse (in line 168) the narrator quotes Don Quixote referring to himself as "a knight so famous." Here, the narrator speaks of the Don Quixote as the horse's "master" (line 172). From the text it remains unclear whether this title is a quote from Don Quixote or a description the narrator has chosen.

In lines 187ff Don Quixote is cited as naming himself "Don Quixote," and in line 197 as "Don Quixote of La Mancha." These quotes are presented in the context of his act of changing his name into a knight's name. According to the narrator, Don Quixote added "of La Mancha" to his name, modeling the traditions of a knight, in order to honor his home region. For the purpose of analyzing someone's view of oneself, the information that Don Quixote changed his name is significant: The name change can indicate that the gentleman was not satisfied with his present situation and that he wanted to change his identity.

Finally, in lines 208-221, the narrator again quotes words that Don Quixote said to himself. In the context of finding "a lady to be in love with" (line 205ff) the narrator quotes the gentleman saying "I." This is the only place in the entire data set where the man uses the first-person singular voice "I." Here he says: "If, for my sins, or by my good fortune, I come across some giant hereabouts ... will it not be well to have some one I may send him to as a present." In these examples of using first the person, Don Quixote's potential future relationships with two different persons are involved ("giant hereabouts" and "some one I may send him to"). In both relationships, Don Quixote's self interest is at the center. He talks about the benefit to him of being in relationship with someone who could appreciate the results of a victory in battle by receiving a defeated enemy as a gift. The existence of a partner thus would increase the purpose of going to battle, which

² Looking at the way the narrator speaks about Don Quixote, the name "gentleman" and an otherwise unspecified "he" stick out as central: "the famous gentleman" (12/13); "one of those gentlemen" (17/18); "this gentleman of ours" (30/31); "his surname was Quixada or Quesada" (33/34); "he was called Quexana" (37); "the above named gentleman" (42); "the poor gentleman" (62); "Madman" (123), and numerous "he." However, this observation does not represent Don Quixote's subjective perspective and therefore cannot be used for analyzing his view of himself.

indirectly could be an argument justifying Don Quixote's decision to become a knight.

Only a very few passages provide information about the way Don Quixote talked about himself. Yet, interestingly, these quotes appear all in the context of preparing for or imagining some events in the future. The social context in which Don Quixote speaks about himself is in the future, not the present. He does not consider that he will encounter any disagreement from people in his future social context. Further research, using more data on this man, could check whether a *future orientation* is an overall pattern for Don Quixote when he talks about himself. Such findings would indicate that Don Quixote was not living in the present and not relating to any real people.

In sum, there is little direct information about how Don Quixote speaks of himself. The few quotes that the narrator cites are about Don Quixote's fantasies of the future. There is no indication that he felt a need to justify his fantasies about the future within his present social context, e.g., he could anticipate conflicts (besides fights among knights which are not based on specific disagreements).

3. Reading for social context

The third reading of the voice method builds on the previous steps of analysis. The focus is on relationships and the positioning of an individual in her or his immediate and general social context.

In Cervantes' Don Quixote, the narrator provides little information about the social context of the gentleman. Only five other human beings are mentioned as Don Quixote's acquaintances: the housekeeper, the lad, a niece who appears to live with him, a pastor, and a barber. He had once been attracted to a farm girl from a neighboring village, but he never told her. Thus, Don Quixote appears to be disconnected from friendships and human relationships that are on an equal footing with him. He relates to a few professionals (staff, pastor, barber) whose job includes speaking with him. The role of the niece remains unclear; she is only mentioned in connection with the staff, which puts her in a role like that of a servant. In line 119 she is treated like a piece of property (along with the housekeeper).

Likewise only a bit of socio-economic information is given. This was a man of about 50 years, who used to live in a village in a region called "La Mancha." The narrator's account was published in Spain in 1605. At that time other authors had already written about this person (and had argued about his exact name). From information about Don Quixote's clothing and eating habits, he appeared to live in relatively modest economic conditions. Yet, he was served by two people who worked as his servants (housekeeper and lad), and he owned an estate which,

even without any effort at management, was sufficient to provide him an income and let him buy books on knights. Don Quixote found armor that had belonged to his great-grandfather (ll. 140-141). This information could mean that he is still living on a family estate that goes back at least to his great-grandfather. Since no other relatives are mentioned, the man might be the last descendant of a family that used to be rich enough to own and maintain an estate. Selling land to buy books might lead to dissolving the estate. The narrator speaks about Don Quixote in the past tense and leaves the impression that Don Quixote was not alive when the report was written. While the gentleman himself wanted to become famous for his honorable behavior, he had already become famous through accounts about him by other authors besides the narrator. Yet, at least in the case of this narrator, Don Quixote was famous not because of his honorable behavior, but because of being mentally unstable.

In sum, Don Quixote owns a small fortune that allows him to read all day without working and to be served by servants. Yet, without friends, extended family or acquaintances, he lives a relatively modest life (simple food and clothing cost him 75% of his income), investing money only on books about knights. Don Quixote is described as a lonely man from a wealthy background who enjoys the privilege of not needing to work for his income, or to keep up his household. At this point in the analysis, drawing on external sources would be useful. However, the social context of Don Quixote is difficult to access because the narrator appears not to have been alive at the same time as Don Quixote. A retrospective analysis of the social context of the author Cervantes would be possible, yet this information would not provide much information about the fictive Don Quixote.

4. Reading for multiple voices

The fourth step of the voice method is reading through an interview transcript or written data set and coding for layers of the described experiences of conflict within the social context of an in-group. These layers are then called voices. In the case of the first chapter of Cervantes' *Don Quixote*, I could not find many competing or complementary voices. The only internal conflict mentioned is about the question of re-writing the ending of a knight story:

He commended, however, the author's way of ending his book with the promise of that interminable adventure, and many a time was he tempted to take up his pen and finish it properly as is there proposed, which no doubt he would have done, and made a successful piece of work of it too, had not

greater and more absorbing thoughts prevented him (lines 71-77).

Here, a "voice of temptation to finish the book properly" provides one layer of meaning and experience for Don Quixote, while a "voice of greater and more absorbing thoughts" builds a second layer, which in the end overrides the first one. Thus, the two "voices" appear more as a sequence than as a sign of dealing with a conflictual topic in a given group setting. There is no pattern of layered voices in relation to a controversial issue which would shed light on internal conflict, hesitation, or struggle with anticipated reactions about deviation from a group norm.

The smoothness with which Don Quixote develops from a book reader into a man who sets out to become a knight himself calls into question my assumption about an external or internal conflict about "a difference between views on knighthood between himself and his social context" on which I based my research question. No information is available about the reactions to Don Quixote's behavior from his acquaintances or his general social context. The research question does not lead me to insights in a process of dealing with differences within a group setting, because what I observe in Don Quixote is a denial of any relationships to people outside of his own mind. My research question: "How did Don Quixote deal with a difference between views on knighthood between himself and his social context?" results in finding nothing. Don Quixote appears not to have dealt with any differences in views, since he seems not to be aware of them.

Rather than information about a process of resolving internal and or external conflicts, what is available is a description of a smooth process in which Don Quixote changes from a property owner who reads, to a man who prepares himself for adventures and expected future fame as a knight. Don Quixote is presented by the narrator as an individual without internal or external conflicts. Instead, the narrator presents a smooth sequence of four steps to Don Quixote's becoming a knight:

- a) Reading instead of managing an estate
- b) Becoming absorbed and trying to figure out complicated language
- c) Believing that the stories he reads are real
- d) Deciding to go out and be a knight himself – for adventures and fame for his good deeds

In sum, Don Quixote is portrayed as someone who has only one voice; the voice of his desire to become a knight. The man desires to enter the world of knighthood which he reads about in his books and he desires to become as famous as them. This one voice seems to be so strong that Don Quixote cannot "hear" any

other voices. There is no evidence about conflicts about his behavior with people from his social context. Thus, reading for layered voices in this set of data, I find a description of a man who only has one voice. The absence of layers may indicate that Don Quixote is mad. Or alternatively, the narrator may have delivered a report that is not based on empirical evidence, but a biased or even fully imagined story.

Conclusion

The experience of applying the voice method to analyze a psychological process of a character from literature, and someone who seems to have only one voice, is a new experience for me. It provided me the opportunity to introduce basic features of the voice method and illustrate the steps of analysis. Applying the method on a text that is written in the third person is a challenge; it reinforces the importance of including first-person accounts in data collection when conducting studies within the conceptual psychological framework in which the voice method is embedded. Also, this exercise demonstrated that the voice method is best used on data that include information about a person's subjective meaning of relationships.

Overall, in preparing this talk I learned that applying the voice method and the first chapter of *Don Quixote* turned out to be a bad match. In order to pursue a serious research project, I cannot recommend starting with a given data set and then building a study around it. Rather, I argue that the research questions are central to a study. All other parts of the research design need to match these questions.

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A Quantitative Approach to the Analysis of Cervantes' Don Quixote

Günter L. Huber

One may wonder how a quantitative text analysis can contribute to a workshop on qualitative methods in psychology. As the thematic frame of this workshop draws our attention to the relationship between research questions and appropriate methods of data analysis, our considerations should not be biased by rashly excluding the realm of quantitative methods from any scrutiny.

Quantitative and qualitative aspects of quantitative text analysis

Some decades ago, *content analysis* or *text analysis* was understood widely and immediately as a quantitative method. In a well-known German methods textbook of the 1970s, Atteslander (1971, pp. 66-67) differentiated between classical content analysis, that is the "*intensive, personal* analysis of the document" and the "modern methods of *quantitative* content analysis." In an American textbook on social sciences methods, which also was available in several editions, Bailey (1978, p. 276) stated that "the basic goal of content analysis is to take a verbal, non-quantitative document and transform it into quantitative data." He also referred to the alternative of interpretive text analysis, but in much more clearly evaluative terms than Atteslander: "Researchers interested in the more traditionally scientific or quantitative sort of hypothesis testing will be uncomfortable with the qualitative sort of description ..., and will find the highly structured technique of content analysis more to their liking" (p. 276).

It is this difference between methodological approaches that I will attend to in this paper. Usually, stating a difference activates connotations of deficits in one object as compared to others. That is, when we encounter a comparison we often conceive of one object as the standard and evaluate the others as being not only different, but insufficient or inadequate. Because of this tendency, any comparison of qualitative and quantitative methods is especially prone to misunderstanding. A researcher who starts to think about methodological approaches in terms of polarities will find it hard to understand and accept that methodologies can be interdependent and how they can relate to research questions.

Quantitative content analysis focuses on the manifest characteristics of texts documents (Berelson, 1952). Those who analyze texts should not become interpreters, but should concentrate on the surface characteristics of a text – particular words,

idiomatic expressions, metaphors, etc. – which they identify and count, often supported by strict definitions (see Lisch & Kriz, 1978, for a critical discussion). Qualitative content analysis, on the other hand, tries to reveal the latent dimensions of a text by means of interpretation (Kracauer, 1952); what are the personality characteristics of the text authors, and their attitudes towards other people? How can we attribute the meanings of their actions, etc.? What one analyzes is a level of content we can understand as below the written text, which can be accessed only by reading "between the lines." Thus we can say that the objects under study are either the elements of the text - words, sentences, paragraphs - or the meaning hidden below these elements.

However, it is impossible to limit content analysis to manifest contents. If quantitative research claims to take into account nothing but "objective data" – the words of a text – we should try to get a closer look at the process of quantitative text analysis. We will soon become aware of a highly selective process of decision making about those words, which must be counted, analyzed in their context, etc. These decisions are informed at one point or another by some knowledge or by hypotheses about the latent level of the text. But rarely do researchers control systematically in quantitative text analysis.

On the other hand, information about the frequency of words in a particular text may be very helpful in guiding further analysis. To select frequently used words for further analysis, excluding the most frequent ones like the article "the," makes sense only if we assume that the frequency of words signifies importance or relevance for the author of the text. Then, the simple fact that some words are missing in a text could reveal that the author was not interested in or familiar with the topics these words represent this would be true if we analyzed a publication or speech. In the case of interview transcriptions the missing words could also hint at flaws in the interview process – if they are key words for the topic of an interview.

Thus we see that qualification and quantification are inextricably interwoven even as we analyze the manifest content of texts. So now let us see what we can achieve as we approach the first chapter of Cervantes' *Don Quixote* (in the translation by Ormsby, 1997).

Frequency lists

With the assistance of AQUAD Six (Huber, 2002), a software package I developed to analyze qualitative (textual, video- and audio-taped) data, I began a word count of the complete content. Table 1 shows the first 15, least frequent and the last 45, most frequent words in this list of word frequencies:

Tab. 1: Word frequencies in chap. 1 of Cervantes' Don Quixote
(first and last part of the original table)

```
|||===== qui-e001 =====|||
(control code "$do not count" was applied)
```

qui-e001:

Alphabetical order ----- Frequency order:

_she	1	1	_she
a	62	1	above
about	3	1	above_named
above	1	1	absorbed
above_named	1	1	absorbing
absorbed	1	1	accurately
absorbing	1	1	acre
accurately	1	1	across
acre	1	1	adapt
across	1	1	add
adapt	1	1	admired
add	1	1	adopted
added	2	1	adventure
admired	1	1	adventures
adopted	1	1	affable

...

...

unreason	1	5	my
until	1	5	no
up	5	5	over
upon	7	5	them
used	5	5	up
usual	1	5	used
valiant	1	5	when
valour	1	5	who
waist	1	7	be
was	36	7	from
way	1	7	is
weakens	1	7	some
week	1	7	upon
week_days	1	8	but
well	4	8	knight
well_bred	1	8	this
went	1	8	what
were	4	9	all
what	8	9	at
when	5	10	more
whence	1	11	one
whenever	1	11	or
where	1	12	have
whereby	1	12	name
which	14	12	on
while	2	13	not
whit	1	14	so
who	5	14	which
whole	2	16	him
whom	1	17	for
will	3	17	himself
with	23	18	had
without	4	23	as
wits	3	23	with
woolings	1	32	it
work	2	36	was
world	4	40	in
worm	1	40	that
would	3	59	his
wounds	2	62	a
write	1	70	to
wrong	1	79	he
year	1	83	the

you	3	87	and
your	6	99	of
<hr/>			
	Total:	2032	
Different	words:	736	

We see that the first chapter (in the English translation) is composed of 2032 words altogether, but because Cervantes, of course, repeats words he needs only 736 different words for this text. Does this have any meaning? It depends on the research question. If we were interested in the difficulty of reading a text, expressed in terms of word repetition, we could use these numbers to calculate a redundancy score of .64. Everyday language (scores about .80) and complicated scientific texts around .50. These numbers let us evaluate at least one aspect of the text's quality using quantitative analysis.

On the top of the frequency list for the introductory chapter are the nouns "knight" (used 8 times) and "name" (used 12 times). If we add "knight-errant" (used 5 times), references to chivalry appear to be the leading topic. Thus, we get at least a hunch of what the text may be about - even without reading it. A key-word search places these nouns in the surrounding context as shown in tables 2a and 2b.

Table 2 a: Keyword "knight" in context

Text qui-e001.atx / Index: knight <<

65 knight, Palmerin of England or Amadis of Gaul. Master Nicholas, the
 70 finikin knight, nor lachrymose like his brother, while in the matter
 80 say the Cid Ruy Diaz was a very good knight, but that he was not to be
 99 knight_errant of himself, roaming the world over in full armour and on
 101 that he had read of as being the usual practices of knights_errant;
 131 horse belonging to a knight so famous, and one with such merits of his
 134 knight_errant, and what he then was; for it was only reasonable that,
 153 a good knight, resolved to add on the name of his, and to style
 161 to be in love with; for a knight_errant without love was like a tree
 164 giant hereabouts, a common occurrence with knights_errant, and
 170 vanquished in single combat by the never sufficiently extolled knight

Table 2 b: Keyword "name" in context

Text qui-e001.atx / Index: name <<

14 In a village of La Mancha, the name of which I have no desire to call
 27 will have it his surname was Quixada or Quesada (for here there is
 34 You must know, then, that the above_named gentleman whenever he was at
 129 the Babieca of the Cid. Four days were spent in thinking what name to
 132 own, should be without some distinctive name, and he strove to adapt
 135 his master taking a new character, he should take a new name, and that
 139 multitude of names out of his memory and fancy, he decided upon
 140 calling him Rocinante, a name, to his thinking, lofty, sonorous, and
 144 Having got a name for his horse so much to his taste, he was anxious
 148 history have inferred that his name must have been beyond a doubt
 151 curtly Amadis and nothing more, but added the name of his kingdom and
 153 a good knight, resolved to add on the name of his, and to style
 156 surname from it.
 178 the matter. Her name was Aldonza Lorenzo, and upon her he thought fit
 180 a name which should not be out of harmony with her own, and should
 182 upon calling her Dulcinea del Toboso - she being of El Toboso - a name,

As indicators of activity, the most frequent verbs are "is" (used 7 times), "should" (6 times), and "used" (5 times, in the sense of "used to be/to do"). That is exactly what we would expect in an introduction to a story about a person: in the beginning of the story we learn a lot about facts, intentions, and habits. Concluding from the most frequent adjectives, the overall tone is highly, if not exaggeratedly optimistic: at four uses each, "famous", "good", and "great" lead this list, while adjectives like "unknown," "bad," and "small" are missing.

The word frequencies, however, also reveal a definitive atmosphere of fiction and uncertainty. If we retrieve the most frequent conjunctions and skip the ubiquitous "and" we find "but" (8) and "however" (5) on top of the list. That is, whatever is said in this text must not be taken for certain, because often there is another perspective, a reverse side, an opposing evaluation.

Of course, a comparison with the results from other chapters of this book or texts of other authors could be interesting, depending on the research question, which I now consider.

Typical research questions in content analysis

What questions do content analysts try to answer with quantitative methods? Holsti (1969, p. 43) outlines seven specific research goals of content analysis:

- Describe trends (in the content).
- Reveal relationship between the text characteristics and message.
- Evaluate using communication standards.
- Analyze techniques of persuasion.
- Analyze style.
- Reveal relationships between known characteristics of the audience and messages produced for them.
- Describe communication patterns.

These goals overlap partially with Berelson's (1952) list of the purposes of (quantitative) content analysis:

- Compare communication content (on an international level.)
- Compare levels of communication and communication media.
- Reveal relationships between characteristics and message of the text.
- Identify intentions (and other characteristics) of the speaker.
- Identify the psychological state of persons or groups.
- Detect propaganda.
- Describe responses (behavioral, attitudinal) to communications.
- Reflect cultural patterns of groups, institutions, or societies.

- Identify the focus of attention.
- Describe trends in communication content.

It is now quite obvious that we need some qualitative considerations and elaborations before we start to quantify the text. For instance, what are text criteria of a particular "trend"? What is the message of the text? What are "techniques of persuasion" and how would we detect them within a text? However, given that adequate answers to these questions are available, we could produce quantitative results to answer the research questions above. If we asked different questions, of course, we would need more demanding methods than selecting and counting words.

Collocations and concordances of words

A simple approach to more complex analyses at the level of words is retrieval strategies that collect strings of words appearing together regularly in a text. The smallest string would consist of just two items; that is, we would find all the locations where two particular key words appear in the text together. Of course, we could search for one word or two words before and after the keyword or a list of keywords (simple distance: 1 or 2), and we could enlarge the distance, for instance to a retrieval space of 50 words before and/or after the keyword/s. More sophisticated collocation procedures allow us to enter a dictionary of keywords and the logic conjunction that should be applied to the retrieval run. For instance, we could enter "knight", and "horse" together with the conjunction "AND." This would show whether "knight" and "horse" appear together in the text within a defined distance of words. Using "NOT" as the conjunction would reveal the instances where the text talks about knights without referring to horses, and vice versa. In all cases the spaces are defined by the number of words. Thus, we can find out in great detail how words were associated with each other in a text. Of course, we cannot do this by chance, applying a "shotgun approach." We need some more or less clear hypotheses to formulate our retrieval demands. In other words, qualitative considerations must precede the quantitative analysis.

Frequencies of word classes determined by dictionaries

When we have no specific considerations regarding the critical aspects of a particular text, we can turn to a number of standard comparison instruments. That is, we can identify critical aspects like trends or intentions by classifying the text elements using standardized classification instruments, which are called dictionaries. Widely used, especially in journalistic and political

analyses, are the Lasswell Value Dictionary and the Harvard IV Dictionary (see Weber, 1990; Namenwirth & Weber, 1987; Dunphy, Bullard, & Crossing, 1989). More recently Hart (no year) developed the software "Diction" for text analysis, which comes with 35 built-in dictionaries. According to Diction's help file, it produces 35 individual language scores which it then sums (via standardization procedures) into five general variables – Certainty, Optimism, Realism, Activity and Commonality. The program assumes that these five variables best capture the major tonal features of a text. The program also presents normative data for these five variables, which lets the user 'locate' a given passage in the "universe of discourse." The feature of *Optimism*, for instance, is computed by adding the frequency scores produced by the sub-dictionaries for *Praise + Satisfaction + Inspiration*, and subtracting from this sum the sum of scores for *Blame + Hardship + Denial*. For example, the dictionary for "inspiration" contains the nouns like "accuracy, admiration, allegiance" up to "wealth, well-being, wisdom, worth," and "zeal."

To demonstrate this type of approach, I developed a tiny dictionary based on a research question. I wanted to find out whether the narrator/poet talks more about his own point of view or that of his story's hero. A list of pronouns (I, me, my, mine, he, him, his) can provide a quick overview.

Table 3: Word retrieval by the dictionary "me"

```

|||===== qui-e001 =====|||
(control code "$do not count" was applied)

qui-e001:
Alphabetical order ----- Frequency order:
he                79   2 me
him               16   5 i
his               59   5 my
i                  5  16 him
me                 2  59 his
my                 5  79 he

                -----
                Total: 166
Different words: 6

```

As Table 3 shows, the poet definitively introduces his hero and talks about his own perspective directly only on a very few occasions, compared to descriptions of the hero. Of the 166 times these items occur in the dictionary "me," 12 references are to the narrator, and the other 154 are connected to Don Quixote.

Conclusions

These considerations should lead to an insight that quantitative content analysis is impossible without qualitative preparatory work, - either reasonably explicit construction of hypotheses or

the application of ready-made dictionaries that implicitly apply their own research hypotheses. Most debates on the relationship of qualitative and quantitative research can be subsumed under the heading of one approach having "dominance" (Flick, 1998, p. 258) over the other. A closer look at what empirical researchers are really doing methodologically reveals that although some of them oppose the idea of "triangulating" qualitative and quantitative methods – to say nothing about "integration" – they still have to live in both worlds. That is applying numerical procedures in content analysis as I have described above would be a more rational procedure than groping in the dark without first building a hypothesis – clearly a qualitative endeavor as our few examples should have demonstrated. It would be impossible to integrate the findings of a predominantly interpretive approach without using quantifying expressions, either numbers or formulations like "in the most cases," "rarely," "often," "less than one third of our interview partners," etc. The alternative would be to spread out the case reports and leave it to the readers to construct a summary on their own.

Thus, we should not evaluate the quality of a study by looking solely at the particular methods the researcher used, but by considering the match or mismatch of questions asked and methods used to answer these questions.

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Preparations for the Redemption of the World: Distribution of Words and Modalities in Chapter I of Don Quixote

Harald Schweizer

Introduction

First I discuss the textual basis for the analysis that follows, the relationship between the Spanish original and two translations. I focus on the German version, but also compare it with the other two versions. I begin my analysis at the level of expressions. That means I exclude any knowledge of meaning, but analyze the structure of word forms and vocabulary of that specific text as well as how that expression helps readers to understand the text. From the wide field of content analysis (Semantics/ Pragmatics) I focus on one aspect that promises to be very fruitful in Chapter I: Which person in or outside the text (author/ reader) knows what at which level of the story? And in which direct or indirect manner is this knowledge expressed? Both kinds of insights (expression-syntax; epistemology) allow me to make some concluding hermeneutical remarks that primarily help to characterize the style of that specific text and the interests of its author, as well as its effects on any reader.

1. Preparing the text

1.1 Segmentation and synopsis

Before we can analyze any text, we have to prepare for description and interpretation. It will also be useful for our discussion of the results to integrate a system of reference, which will allow us to navigate easily through the text and point precisely to the parts under discussion. I suggest three measures that contribute to this "preparation of the text."

1. Synopsis. Below I describe the German version. But I printed the Spanish original and the English version in parallel, presenting all three in synopsis. This makes it easy to look at the other texts for comparison (see Appendix I).
2. Word count. On the level of expression and (expression-)syntax we are concerned with distances within the linear text. Limitations of space have prevented me from printing word numbers. But with the help of a computer program I picked the paragraphs (Word no. x through Word no. y) out of the entire text and I will use paraphrasing to show which paragraph I mean at any point.
3. Illocution units. I have integrated a two-part numbering system in the German version. Before the full stop at the end

of each sentence the counting will proceed when the book edition *optically indicates a paragraph*.

Additionally, I use a horizontal underline to emphasize that optical segmentation of the text, integrating the Spanish and the English versions in that synopsis into that system of segmentation. *After* the full stop in every paragraph I count the *illocution units*¹.

Most of these instances will be represented by main or subordinated clauses. But all texts also include illocution units that are aphrastic, that cannot be defined by the classical search for *subject* and *predicate*. Aphrastic illocution units may fulfil various communicative functions (e. g. exclamation, setting a new topic), or be created when a clause is interrupted by a relative clause. My proposed segmentation proceeds strictly, from one break to the next, as I do not aim to model the subordinations of a multi-level sentence but rather to follow the linear sequence of the words. This is the viewpoint not of a grammarian but of a reader².

¹ These criteria I have published several times. See e.g. Schweizer (1994) or <http://www-ct.informatik.uni-tuebingen.de/ct/ae.html> or <http://www-ct.informatik.uni-tuebingen.de/daten/sud.pdf>

² This may seem similar to the segmentation of the Bible into chapters and verses. But the difference is that here clear criteria now underlie the segmentation. And it is claimed that we can assess literary structure using segmentation. Especially in complex sentences, and in some cases there are alternative choices for the segmentation (some errors occurred in the segmentations.) Still, this proposed text segmentation allows the reader to orient quickly to the text and the discussion about it.

1.2 Method

1.2.1 (Expression-)Syntax³

Every text is given in a linear form: single word forms follow one another sequentially. An author does not transmit contents to the readers, or communicate qualitative insights. We cannot realistically allude to the idea of "transport." Hermeneutics and communication theory do not accept the widespread model exemplified by "constructivist" hermeneutics or general systems theory (Luhmann, 1994). Instead I claim that in a technical medium (acoustic, optic, haptic) a sequence of expressions is produced and transmitted. These expressions neither "contain" nor transmit content. Rather they cause the receiver of the expressions to personally combine elements of content understanding and to re-construct the whole meaning which seems to best fit that chain of expressions. That activity in the receiver proceeds in the frame of *his or her* knowledge of language and of the world. Implicitly, we hope that the reader will construct a conception of the contents that correspond more or less with the ideas that led the author to write the text. But there always will be a difference.

So it is possible, and it makes sense to first analyze the structure of the material basis of the communication. The second step is to deal with the ideas, the qualitative insights. The structure of the expression level itself contributes communicative effects, important manipulations of the text perception which we dare not underestimate. We can interpret the quantitative analysis concerning the relevance of the results to the way we perceive the text and transform it into a qualitative analysis. Most readers are not conscious of such manipulations at the level of expression, because they usually focus on meaning, seeing the level of expression as merely a means to reach the meaning. Only with unusual expressions like word plays or alliterations, or misprints do we pay *conscious* attention to the level of expression.

1.2.2 The contrast to usual syntax

The term "syntax" as I use it in this study is quite different from the traditional idea of syntax of sentences and clauses and also from its usage in the field of generative grammar. In those usages observations about variations in expression are always intermingled with questions of content analysis (stating such categories as *singular, plural, present, definite article, subject, predicate, clause, person* etc.). My understanding and use of the term (expression-)syntax is totally different; it can be summarized in the following three points.

³ I describe my concept of (Expression-) Syntax in the next section.

First, "Syntax", a term from ancient Greek, literally means "putting together" but does not indicate *what* should be "put together". That must be defined separately.

Second, as I mentioned above, the level of expression of the word forms is completely independent. That can be demonstrated using the theory of signs, communication theory or general systems theory. Because the level of expression is independent, the computer detects a simple and homogeneous level and can automatically detect much data. My aim in developing the concept of (Expression-)Syntax is to analyze the distribution of word forms in a given text or corpus, excluding any semantic intrusion during data mining. Every text reveals its individual shape at the level of syntax/combination of word forms.

Third, this narrowly defined syntax needs a conceptual frame: methods for analyzing the meanings of the text. These are semantics for analyzing the literal meaning of single clauses and pragmatics for content analysis on the text level, including indirect, second meanings⁴.

1.2.3 Pragmatics

I want to comment on content analysis. The basic of my methodology is the theory that different cognitive functions cooperate in language use, enabling people to formulate comprehensive statements and begin to communicate. Thus we must presuppose that basic cognitive prerequisites exist independent of individual languages. This idea is not totally new; it underlies all grammars. But it is very rarely stated. What is new today is the practice of formulating these cognitive prerequisites⁵.

An example for that contention can be seen in stereotyped argumentation, for example that it would be inappropriate to use terms from Latin grammar (e. g. *subject*, *predicate*) to describe a language of a completely different type, e.g., Arabic. But oddly enough, in many respects these terms are quite useful. The terms I mentioned could even be expressed in Greek or in the frame of

⁴ In Schweizer (1981) I provided complex theoretical investigations aiming at a revised model of grammar. In Schweizer (1995) I analyze and interpret the biblical story of Joseph in that new frame: *syntax – semantics – pragmatics*. I also included updated theoretical reflections.

⁵ I have respected the difference between capital or small initial letters. A *token* is any word form at a certain position in the text. A *type* is a class of identical *tokens*. *Hapax* means a *type* occurring only once (with only one *token*). *Multi-tokens* are all word forms occurring several times (they are not *hapaxes*). *Multi-types* are *types* with elements ($N > 1$). The following calculations are the results of a computer program to evaluate (expression-)syntax written by Thomas Schweizer in Java. Winfried Bader developed the theoretical background – see Schweizer (1995) for his contribution to the interpretation of the Joseph story.

rabbinic respective Hebrew language analysis. I am not so interested in the single term with its name, as the fact that in totally different individual languages apparently unchanging viewpoints on language analysis can be brought into use. This shows that basic cognitive prerequisites always accompany any understanding of language.

A complementary stereotypical line of argumentation holds that the right grammar to describe a language has to be developed out of that specific language, because mental concepts with origins in foreign languages should not influence that grammar. If we were to take this argument seriously, translation would not be possible, or even understanding a text in a foreign language, because understanding would be restricted to the specific language. On the contrary, as far as translation is possible in principle (it is accepted that any translation includes some loss and re-creation) we use some basic cognitive concepts, which are valid in the source language and in the target language as a level of comparison, as intermediary. That too is an indication of the fact that individual languages are constructed on basic cognitive concepts and possibilities. These form what I call an *Interlingua*-level. In mentioning all of this I am not necessarily accepting Chomsky's "innate ideas" theory about the *acquisition* of these basic cognitive categories. But instead of discussing that topic let us return to the description of the individual text. I will deal with a section entitled "modalities": Which forms of knowledge processing can be detected in Chapter I of Don Quixote?

1.3 Translation from Spanish to German and English

Using my computer program to analyze the German translation (D), I got the following results at the level of word forms⁶:

General survey: *Tokens* 2112; *Types* 919 (43.51%); *Hapax* 687 (32.52%); *Multi-Types* 232 (10.98%); *Multi-Tokens* 1425 (67.47%).

For the Spanish original (ES) I obtain these results:

⁶ For further comparison, here are the calculations for the English version: Quantity of *tokens* 2056; quantity of *types*: 777 (37.79%); *Hapax*: 562 (27.33%); *Multi-Types*: 215 (10.45%); *Multi-Tokens*: 1494 (72.66%). The English translation has an even lower percentage for variation of word forms than the Spanish original. The numbers of *Hapaxes* and of *Multi-types* in the English version is the lowest in the three texts. It follows that the number of repeated word forms is the highest (72.66% of the total vocabulary). It is not sufficient to characterize the fundamental philosophy of the English translator as "even calmer" than that of Cervantes, and it might be wrong to characterize his performance as "weak."

General survey: *Tokens* 1911; *Types* 748 (39.14%); *Hapax* 537 (28.1%); *Multi-Types* 211 (11.04%); *Multi-Tokens* 1374 (71.74 %).

Comparing the German and Spanish versions of Chapter I, I found some interesting points:

The variation of the word forms in (D) is about 4.4% higher than for (ES); this is also true for the amount of *Hapax*. The percentage of word forms used several times is slightly higher in (ES). Comparing the total vocabulary of Chapter I, the Spanish version has 4.3% more word repetitions.

All these computations indicate that the German version has more variations in word forms than the Spanish original, giving us the impression that the German translator chose his words very carefully. Cervantes, on the other hand, in my humble opinion, wrote with a calmer fundamental philosophy. These calculations however, may also reveal some constraints rooted in the different structures of the two languages, so we must be careful not to jump to conclusions. I will briefly consider one reason for these differences⁷.

The German language differentiates more elaborately between nouns and other words using capitals and small initial letters. Thus my results may reflect not the translator's performance but the difference in capitalization conventions. I tested this hypothesis disregarding the differences in the uses of capitalization and small initial letters in all three versions, and discuss the results below. I stress however, that this is an artificial laboratory production. The differentiation between capitals and small letters in all versions serves to steer the process of reading – of course to different degrees. That means that these writing conventions represent legitimate parameters of an (expression-)syntax. In any case the following numbers show the effects of differing conventions on capitalization.

Among its 1911 *tokens* the *Spanish* original has 741 different words or *types* (38.1%). When we do not differentiate capital and small letters, the quantity of different word forms falls by 1.4%. Similarly the 518 *hapaxes* are 27.1%, a reduction of 1%. *Multi-types*, or word forms occurring several times, represent 11% – almost no reduction. The number of word repetitions in the total vocabulary is now 72.9% – an increase of 1.2% of *Multi-Tokens*.

The English version has 2056 *tokens* and 741 different words = *types* (36%), if we ignore capitals and small letters the quantity of different word forms drops by 1.8%. The 530 *hapaxes* are now down to 25.8% – a reduction of 1.5%. *Multi-types* are 10.3% – almost no reduction. The quantity of word repetitions in the total vocabulary is now 74.2% – an increase of 1.6% of the *Multi-Tokens*.

⁷ For a comprehensive example of this concept of analysis and interpretation, see the description of the Joseph story of the Hebrew Bible in Schweizer (1995).

The *German version* with its 2112 *tokens*, contains 891 different words or *types* (42.2%). When we ignore capitalization, the quantity of different word forms drops by 1.3%, and the 658 *hapaxes* are 31.15%, a reduction of 1.4%. *Multi-types* represent 11% – a minimal increase, *multi-tokens* or repeated words now make up 68.8% of the total vocabulary, an increase of 1.4%.

Disregarding the difference between capitalization and the use of small letters changes the results, as I expected. Even more equivalents become apparent. The percentage of repeated word forms in the total vocabulary is higher. But I have not confirmed my intuitive hypothesis that the German version might lose its special position. The influence of the difference in use of capitalization and small letters is relatively small. And the order that we detected earlier remains the same: The German text has the highest percentage of different word forms, followed by the Spanish original and the English translation.

I want to conclude this comparison here, but continue the search for the *reasons* behind these results. It is not sufficient to presuppose an English translator who was not very creative. An analysis on the morphological level should be added. Look at the standard conjugation of an English verb in the present tense: (*I*) *give*, (*you*) *give*, (*he*) *gives*, (*we*) *give*, (*you*) *give*, (*they*) *give*. We see *two* different word forms. In contrast, the German equivalent uses *six* forms: *gebe*, *gibst*, *gibt*, *geben*, *gebt*, *geben*. The translator is not responsible for such constraints in the structure of the individual language. Whatever the explanation, the German translated text that came into existence within such constraints presents more variations and seems more interesting at the level of expression. Or, it is more boring, easier to grasp, less original? As the following small example shows such constraints of language structure can be balanced by interesting stylistic features, such as *alliterations/word repetitions*. Read sequentially the passage I have divided into columns:

look			out
		for a	
lady	to be in		
love			with
		for a knight errand	
love	was		
like		a tree	without
leaves ...			

This is a very nice and intense play with repetitions and variations of characters, sounds, and words. The reader may well feel amused and perturbed at the same time.

2. Expression-Syntax: Distribution of word forms

In the following section I describe the vocabulary of Chapter I without allowing any intrusion by semantic features. I focus on the German version, making some references to the Spanish original. I am interested in the structured repertory of word forms in that text that readers perceive and respond to before they begin to reconstruct the text's meaning.

2.1 Distribution of word forms in the German version

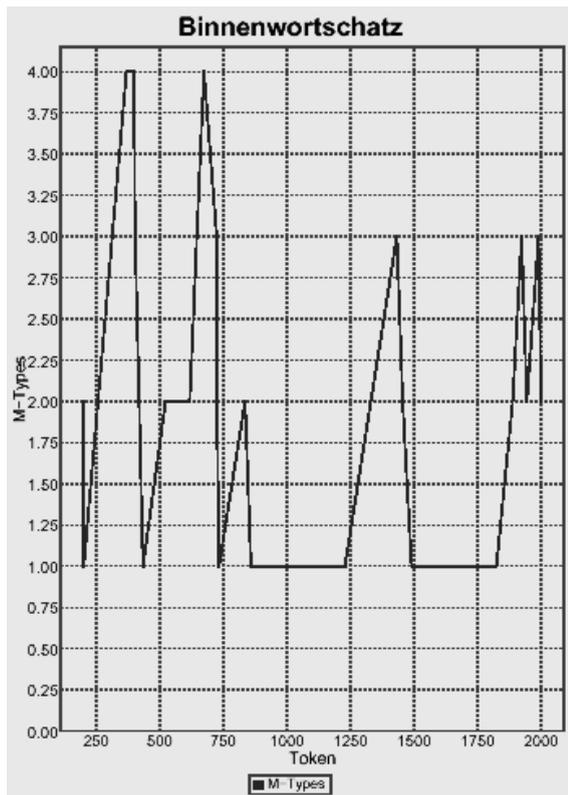
I now describe three observations about the vocabulary: special types, and increases and decreases.

2.1.1 Special vocabulary in restricted domains of the text.

I first searched for text domains that contain many word forms that do not occur in the rest of the text. *Hapaxes* of course fulfill that condition from the beginning, because they occur only once in the whole text. In addition *Multi-Types* are repeated only within a limited distance⁸.

⁸ In our computer program I used rigid parameters: I took 5% (1/20) part of the text (105 words); as the factor of 21 had been chosen. That is in a domain of 105 x 21 words a certain word form is not allowed to occur another time. In other words: by using such a factor we will skip past the end of the text. My results will be confirmed even if one varies the parameters.

German version:



The results are:

maximum 1: Word forms 250 – 450

maximum 2: Word forms 450 – 740

minimum 1: Word forms 850 – 1375

minimum 2: Word forms 1376 – 1900

maximum 3: Word forms 1900 – 2000

Obviously, shortly after the text begins we encounter two areas where much of the vocabulary does not occur again in the rest of the chapter.

The statements about Don Quixote's physical appearance are focused in this way, as well as the question of the origins of the name and the obsession with reading "books of chivalry." *Maximum 2* is identical with the domain that describes the difficulties of

understanding ("Aristotle himself"), extending to the question of which knight should be evaluated as the best one, and finally to the information that Don Quixote is reading day and night.

The following two areas contain very few word forms that occur exclusively here. This passage is twice as long as the two "*maximums*."

In the first area, *minimum 1*, the topics are activities and reveries of knights, and the production of a helmet out of pasteboard. That area is followed by a Latin citation (*tantum pellis . . .*) adorned with some proper names – a clear *interim maximum*. Thus we find specialized vocabulary in a very limited area. In the second area, *minimum 2* Cervantes describes the search for a name for the horse and for the gentleman himself. That area ends just after the resumé (14.1) and before the topic of "knight" and "lady."

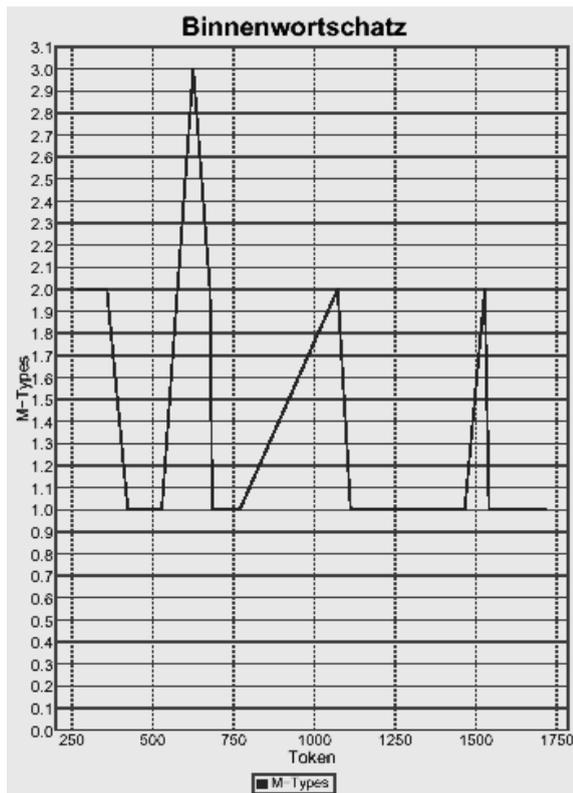
The final area again reveals more special vocabulary limited to a small area of the text.

The thematic concern is the giant Caraculiambro, who should confirm having been defeated by the permanently underestimated Don Quixote. The final aim of that fantasy is impressing the "sweet lady."

I interpret this data by noting that the German translator is using a vocabulary with a high percentage of variations (see word statistics above), and also structures the distribution of word forms cleanly. After an unassuming beginning two more vivid and memorable areas follow, each using special vocabulary. The translator then grants the readers some relaxation by using well known vocabulary. But that phase of relaxation is quickly interrupted in the area beginning with *tantum pellis*. Thus the translator prevents us from becoming habituated to one way of receiving text. At the end the number of special word forms increases again, requiring readers to pay more attention than in the section immediately preceding it. So it would be misleading to attend only to the content and the imaginative construction; even the structure of the medium (*expression*) requires our attention. Thus our possibly waning interest is again stimulated by the variation in word forms.

Looking at the Spanish original (see below) we see a simpler structure: *maximum 2* in the German version does correspond somewhat with in the Spanish original, the first maximum which is marked only slightly. The same holds for the two minimums: Only *minimum 2* has a correspondence in the original. The clear final-*maximum* in the German version is not as distinct in the original or it has a match somewhat earlier.

Spanish original:



Psychologists who are confronted with these results and structures may be quite surprised and ask whether the author and translator created them intentionally. This is a good question: could the linguist in fact be dealing with unrealistic results?

A descriptive linguist can easily answer to such questions. First, we are dealing not with a person (author or translator) and his or her psyche but with a text: a linguistic item. It is no longer possible to ask that person – who has long since died – but it is possible to describe the product of his or her writing process, which is at hand.

Second, the structure of the *linguistic* items steers the reader during the reading process and thus reveals the interests of its creator. To describe that structure, the author's intentions are entirely irrelevant. For us as readers all that matters is that we are confronted with these *linguistic* items.

Third, the creation of any text, picture, piece of music etc. is based on both conscious *and* unconscious motifs. So the search for conscious motifs alone disrespects the complexity of any creation process.

2.1.2 Increase in vocabulary

The information above about relationship between tokens and types can be used to point to areas of the text that introduce relatively more *types* that had not previously appeared in the text. These are equally sections of the text that specifically capture the reader's attention.

At the beginning of any text – of course – every word form is new. But it is unclear when an author will interrupt that phase of concentrated introduction of new word forms, to modify the trajectory and create a new baseline. In the German version that crucial point is around word number 136.

Words like *Tartsche, Lanzengestell, Windhund, Schüssel, Suppe, Kuh, Hammelfleisch, Fleischkuchen, Überbleibseln, Knochenreste, Linsen, Täubchen ...* etc. do not sound like words used very frequently in everyday life. That section of the text ends with *Bauerntuch ... vom feinsten*.

The author is plunging the readers into details of rural life. According to Günter Grass the first page of a novel is decisive: how can the reader's attention be captured? Cervantes seemingly succeeds in doing that with all the culinary and practical details he offers.

The next passage where many new word forms are introduced is between words 206 and 245.

Cervantes stutters his character's last name: *Quijada – Quesada – Quijano*, using additional new word forms.

We might expect that after a certain introductory area a text does not offer further findings, because the main vocabulary has been introduced and further new word forms will only appear gradually, no longer in high density. But that assumption is not natural law. Even well into the text, we find another area of sharp increases in vocabulary: between words 850 and 860. The area is interesting, even dramatic, because of the unexpected *content*. At the same time, words accumulate:

I am going to underline the new words: *er könne nicht aufkommen gegen den Ritter vom flammenden Schwert, der mit einem einzigen Hieb zwei grimmige ungeheure Riesen mitten auseinandergewehau.*
(citation from the German version)

In the region of word 1166 – disregarding function words – the reader could almost guess the story on the basis of the new words:

vornahm – Reinigung – Rüstungsstücken – Urgroßeltern – gehört – Rost angegriffen – Schimmel überzogen, seit langen Zeiten – Winkel hingeworfen – vergessen – reinigte (citation from the German version).

Between words 1377 and 1390 a quasi-veterinary description of the horse is striking (*Hufen – Steingallen – Groschen Pfennige – Gebresten* (citation from the German version)).

After word 1825 we find more new ones: *Baum – Blätter – Frucht – Seele – argen Sünden willen – gutes Glück* (citation from the German version).

At word 1926 the giant Caraculiambro admits being defeated; from there up to Don Quixote's joy over his speech and the discovery of his lady the vocabulary rises again. The increased informational value on the level of expressions matches the fictional content excellently: we find different, very surprising insights.

2.1.3 Stagnation of vocabulary

At the level of word distribution a text would be boring if it showed steady and uniform values in this analysis. This has not been the case so far in our analysis of the Cervantes text. This impression continues. My phase *stagnation of vocabulary* is simply an antonym for the aspect of vocabulary increases, described above; I am not making any stylistic evaluation. *Stagnation* could be understood as pejorative, but I do not see it that way. If an author structures his vocabulary in such a way, that we can detect distinct areas where many new words are introduced, then he needs complementary areas, where extremely few new words are introduced. That is not only a statistical necessity. It is also a necessity for the readers: they need areas where they can rest, reading familiar repeated words which are thus intensified. If an entire text had consistently high increases in vocabulary the readers would be permanently overburdened, and could become disinterested and stop reading.

After the highly informative introductory section a first phase of rest begins at word 300.

Surely at first some nouns are new (*Übung, Verwaltung, Vermögens, Wissbegierde, töricht Leidenschaft, Morgen, Ackerfeld*) (citation from the German version). But the accompanying function words are more numerous. The information – indeed formulated inconspicuously – follows that the gentleman had brought many books about chivalry to his home and they delighted him. The number and type of words form a phase of rest at the level of word choice.

When Cervantes says, stating in line 471, that even Aristotle could not have detected anything new in the cited texts, his own language is strikingly noninformative: "*studierte sich ab, um sie zu begreifen ...*" [studied hard to understand]. This is a very nice convergence of expression level and content.

We can expect to find more and more of these phases of stagnation within the text. Beginning at position 658, the next 50 words illustrate this trend, as the barber's opinion about the "Knight of Phoebus" is reported. The stagnation of vocabulary creates the impression that the barber's opinion was not exactly based on real information.

From position 897 (the speech about the giant Morgante) until the end of the text is a very long passage dominated by word stagnation, although it is interrupted by short and noticeable word increases as I showed above. From here on Cervantes has basically introduced the vocabulary he needs for the rest of the chapter. Nearly the first half of the chapter passes before that kind of dramatic change occurs that we would expect in any text⁹.

2.2 Synopsis of the Results

Summarizing the different types of results we have a well shaped profile of Chapter I.

In Phase 1 (words number 1 through 850) the author starts out with a quickly climbing vocabulary, and without delay captures the full attention of the readers. Beginning with word number 250 a locally restricted vocabulary dominates. But to keep the reading from becoming too strenuous, he integrates three brief areas of word stagnation, which I see as areas of rest.

In Phase 2 (words number 850 through 1900) he gradually replaces his initial inclination toward innovation with greater calm. The rise in the word count slows steadily. Therefore we can hardly detect even limited areas of special vocabulary – with a single brief exception. The excitement of the beginning has changed into a quieter narration. We encounter only small areas with high increases in word count. More striking is the clear rupture at word 1370, where a rise in word count converges with locally restricted vocabulary.

Phase 3 (beginning with word 1900) has its own profile, but does not return entirely to the structure at the beginning; thus stagnation continues to be valid in principle.

⁹ Bear in mind the findings I described in the section on translation: nearly half of the entire vocabulary (2112) is *different* words (919). At 43.51% this is a very high value.

By using striking locally limited vocabulary and a quick increase in word count he puts much higher information value on the level of word forms. Thus he keeps us from becoming habituated to the vocabulary he introduced earlier: we will pay attention to the final part of Chapter I, because of the vocabulary structure and not just *Dulcinea*. . .

3. Pragmatics: A cognitive roller coaster

Sentences or paragraphs or entire texts come into existence through basic cognitive categories and ideas. Though we can only discuss these questions by using practical terms in a specific language, I am presupposing that such a cognitive layer, behind the terms of an individual grammar, points to human communicative needs and possibilities that are valid in all languages. I am thinking of the following main categories:

illocution (modalities (predication + place + time))

I will focus on *modalities*, a category which is usually treated rather incidentally in grammars. Modalities represent subjective filters that color the principal statement or predicate, which reports some change in the external world¹⁰. Such subjective filters can be combined in *one* statement, such as "I think it would be fine to take a walk along the beach."

»I think	it would be fine	to have a walk	along the sea.«
In that clause the following elements can be differentiated:			
KNOWLEDGE	EVALUATION	PREDICATE	PLACE

In this sentence we find not only an allusion to *a walk along the beach*, but also a speaker (*I*) who has *the idea* that it would be *fine* to do this. This indicates that *the walk* did not yet take place. So we are confronted with *two* elements that subjectively color (or modalizing) the central statement (*take a walk + along the sea*).

¹⁰ This semantic definition of *predicate* is not the same as the simple definition by a conjugated verb within the sentence.

The topic of modal fields is a large one. Here it might be sufficient to say that I see six fields with an internal hierarchical structure¹¹:

knowledge processing	Code Epistemology
phantasy	Code Imagination
will / prohibition	Code Initiative
possibility	Code Enabling
evaluation	Code Evaluation
types of realization	Code Aspects

When I use the term "code" I mean a cognitive activity, a kind of mental filter that enables a subject to express the cognitive level its processing of a certain action or predicate has reached. What is being described is not the action or predicate, but the mental attitude of the subject towards that action. In the sentence, "I saw the soccer game yesterday" the real action was taken by others; the contribution of *I* consisted of perception. Thus I code it as **Epistemology**. "I would like to sleep" means, my mind has the idea that it would be fine to sleep, but actually I am still awake. So I code it as **Imagination**. "I want to write a book" means the book has not yet been written, but my will to do it has been established, so I code it as **Initiative**. In "The president allows me to buy ice cream" the word "allow" stresses a precondition of the intended action, so I code it as **Enabling**. The sentence "It is fine to be on holiday" expresses an evaluation of what really happened, so I code it as **Evaluation**. Finally it is possible to split up any process or action and look only at some of its aspects: its beginning, end, interruption, repetition etc. An example is "I finished explaining the modalities" which I code **Aspects**. All of these "codes," any field of modality, can be seen as a small tree of terms. Activating this semantic function gives a subjective touch to the speech act, whereas the total absence of modalities conveys the impression of an objective, clear and sure information.

3.1 Epistemology and imagination

I now return to Chapter I of *Don Quixote* to describe and interpret the ways the first two fields of modalities are coded. Two questions must be answered.

- Which person *in* the text knows what when?
- What process of perception does Cervantes employ to introduce his readers to his subject?

A figure *in the frame* of the text is the gentleman. Through his activities several other persons are mentioned – from *Don Beliany* to the emperor of Trapezunt. But all these people have

¹¹ For more on this system see Schweizer (1981, 1986, 1995). Many practical illustrations are given in the publication of 1995.

only a mental existence serving as ideals for Don Quixote; they do not become active in the text.

Also detectible *in the frame* of the text are an author or narrator and a fictive reader. Neither of these persons is identical with the historical Cervantes or with us as real readers some centuries later. There may be overlaps. But these are primarily *modelled* figures. Where the author's historical figures might overlap with author and real readers remains to be seen.

3.2 Knowledge and fantasy in textual fiction

Given our knowledge of the figures *in* the text, I have subdivided Chapter I into 6 paragraphs.

1. In the opening section the real reader is confronted with multiple paradoxes and a chaos of knowledge within the text. So the question arises: Who actually knows what? (1.1 – 3.27)

The author mentioned in 2.1 is a "famous" gentleman, well known, but never introduced in literature.

Chapter I anticipates the whole book. We see a refined self-fulfilling prophecy: this gentleman really is becoming very famous. For the reader this is an *unknown* gentleman. The reader feels ignorant; this produces excitement.

Suppression of knowledge: In 3.1ff the **author** refuses to learn anything about the village. He does not name it, because he knows a negative evaluation is attached to it. The **author** is tailoring himself to the **reader**, writing of a *indefinite* still unknown gentleman (3.3) Then the solidarity with the reader ends. In the 3.7– 18 the **author** knows exactly about Quixote's pursuit and his servants.

This knowledge, however is uncertain: we hear rumours about the name in 3.19– 25.

The **author** then promises the whole truth in his story showing his omniscience. The **reader** does not know how the author gained this pretended knowledge. Thus we encounter **paradoxes and chaos of knowledge: Who really knows what?**

2. Beginning with 4.1 the gentleman's desire for knowledge is awakened. We can summarize this by saying that he "lost his wits" (7.1–4).

The gentleman is reading books of chivalry, but practically he is doing nothing, and is loosing his possessions (4.2– 7.9). We see no change in the outside world, there is no real *predicate*.

Among the themes here are a thirst for knowledge (4.8), and a description of the books of chivalry (4.10– 6.4). The result is a gentleman without intellect (7.1– 4).

From here on we are observing a gentleman without intellect who refuses to live in our world.

3. Cervantes has now abandoned the modal field of **Epistemology**. We can no longer expect to understand impulses coming from the real world. Now a transition to the modal field of **Imagination** takes

place. Even there the gentleman may use knowledge (e. g. 7.5) but now such knowledge connects to the world of fantasy, not to the real one. This transformation is confirmed several times: The gentleman has "lost his wits" (9.4). His failure to perceive the real world is the precondition for entering the modal field of fantasy (7.5 – 10.15).

Among the topics in this paragraph are the gentleman's criticisms of Don Beliany (7.5), and some paradoxes (7.13), (7.14–19). We also encounter uncertain knowledge: an argument about the better knight between the curate, gentleman, and barber (8,1– 14). Still we see a thirst for knowledge. The result, however, as in 7.2– 4, is that intellect is lost. I code these fantasies as **Imagination**.

In 9.5 through 12.13 we see repeated attacks (Cid, Rui Diaz, Bernardo, Morgante, Rinald).

The **result**, as before is intellect lost (10.2). We encounter more fantasy: the knight errant, righting every kind of wrong, the Emperor of Trebizont (10.9– 11). The **reader** knows that this empire is gone, and wonders why the more important Constantinople is not mentioned. This use of detail in the fantasy reveals how much the gentleman knows.

Now we see change, from Epistemology to Imagination.

4. Several activities involving the helmet and horse confirm that the gentleman is relying on Imagination and that he is regularly failing in the field of Epistemology. He does not recognize what kind of failure of knowledge underlies his reveries and actions (11.1 – 12.6).

The gentleman knows some armor has been forgotten. This leads to the paradox of knowledge on an eccentric level (11.3– 5). He needs a closed helmet (a medium of perception); it is being constructed and tested (11.9– 29).

He is uncertain whether the helmet is suitable, and also uncertain about the hack. Here the **author** intervenes to tell us the hack has no value. In 12.1–6, the **author** brings the **reader** to oppose the gentleman.

5. After great effort (an eight-day search for a name for himself) and by taking over preconceived knowledge (stereotypes, rumors, stories) the gentleman is making some progress in his knowledge of the world. So he finally becomes able to begin his great project of the redeeming the world ("righting every kind of wrong" (10.9; 12.7 – 14.1).

During the 4-days search for a name for the hack (12.7– 35), the **reader** perceives word play (in both Spanish and German) on **Roc/sinante**. Then he spends 8 days searching for a name for himself (13.1). Here the **author** remembers the reader (3.20), writing "as has been already said" (13.5). That sounds like a certainty of knowledge, but it is rumour. The Gentleman does know his example: Amady "of Gaul" (13.13).

This passage has essentially been about preparations for the campaign.

6. His familiarity with stereotypes leads him to the knowledge that a knight needs a lady (14, 3-17). The gentleman neither knows

himself nor does the real Lady learn of his love. He finds the lady by dreaming of such a relationship. Cervantes does not report that the two know each other, but on the level of fantasy the gentleman is able to give her a name.

Several passages deserve mention here: Don Quixote is "never sufficiently extolled" (14.18), but he does find a Lady (15.1– 12). Though he falls in love, the lady is not aware of that. We again encounter uncertain knowledge in the form of rumor (15.12), and uncertain about the name of the lady (15.17– 27). The passage ends with namegiving: Dulcinea (15.21).

Throughout the chapter we encounter a tension between an implicit author engaged in searching for the truth and a gentleman living in a fictive world. I see this as a tension between epistemology and imagination.

This final paragraph once again shows the tension between the two modal fields that plays out throughout Chapter I. The implicit author is eager to find the truth, the correct world knowledge but he fails again and again. The same is true for Don Quixote: he very quickly leaves the domain of world knowledge and is totally captivated by Imagination, where he can create his own world. One important mode of orientation is the stereotypes he finds in books of chivalry. He wants to adopt that model of life to his own life and wants to match it step by step. Don Quixote is convinced that he has always succeeded in doing this, but that is a fantasy. As readers, we perceive the epistemological message: the helmet remains defective even after repair, the horse is inadequate, Don Quixote does not know who he is, and Dulcinea is unaware of her good fortune.

3.3 The implicit narrator

Cervantes is the real and historical author of the entire text. But *within* the text we do find traces of a figure reporting his own knowledge, a relationship to the reader, and sometimes even opposition to Don Quixote. Or at least we can infer such information.

In 3.1 we can see the ego of that implicit author: he apparently knows the gentleman's village but refuses to name it. Whereas the book's title is the name of Don Quixote, now another person is reporting – speaking *indefinitely* of the same figure. The implicit narrator is relying on the knowledge of others (3.19 – 22); there is even another group of authors. So the implicit narrator is not alone as writer. He makes his own inferences and then uses an irritatingly strong word (3.27; 13.5): the description that follows will consist of nothing but *the truth*.

So not only is Don Quixote a problem; the implicit narrator is too. He is aware of further authors, i.e. other viewpoints, and

sometimes has to use rumors, but at the same time he claims to offer nothing but the whole truth. That is a contradiction. At that point the real author unmasks the implicit narrator¹². Moreover, why does this narrator feel pressed to explicitly confirm that he is telling "the truth"? In such cases we can usually be sure that he is reporting falsehoods.

Many other metacommunicative indications add to this picture: "You must know" (4.1); valuations critical of Don Quixote ("whole fabric of invention and fancy" 9.9; "his wits being quite gone" 10.2; "strangest notion" 10.3; "madman" 10.4); "as has already been said" (13.5); "so the story goes" (15.8); and "so far as is known" (15.12).

The figure of the narrator integrated in the text is promising the whole "truth" about Don Quixote, which at the same time is devalued by the implicit narrator. But it does not become clear why he exerts himself so intensely for that "madman". We can even see devaluation in the different indications that the gentleman merely follows his own fantasies. But that is exactly what most interests the implicit narrator: a paradox.

Such ruptures, lacks of sufficient information and inconsistencies show that we are confronted with a model figure that should not be confused with the real Cervantes. We can attribute to the implicit narrator a stylistic function, which still has to be determined. But he does not stand before us as a real, self-consistent figure.

3.4 The real, historic narrator: Cervantes

Cervantes is telling his story about Don Quixote by delegating that task to an implicit narrator. Thus he plays the role of an observer of the observer. Since both figures leave traces of knowledge, confusion, and overestimation *within* the text the confrontation with these irritates the reader. Anyone reading Cervantes's text must – often abruptly – switch the levels of perception (from Cervantes to the implicit narrator to Don Quixote). That process involves many modes of knowledge and evaluation: precise knowledge, uncertain knowledge, fantasy or **imagination**, knowledge restricted to the frame of fantasy, paradoxes, and valuations. Through such stylistics the author keeps us from getting the impression that the *plot* consists of a precise rendering

¹⁴ In his epilogue to the Braunfels translation of Don Quixote (1973) Martini says that Cervantes' style of story telling is quite typical: he uses a multiplicity of voices, situations, narration and reflection. He even speaks of a polyphony of view points and narrative forms. Thus Cervantes is overcoming the medieval kind of thinking in a hierarchical frame.

of past events. Here the literary structure undermines the impression that we are dealing with the whole "truth". In fact these stylistics suggest that everything may even have happened differently – or perhaps nothing happened. Thus we read an ironic text full of minor irritations – due to not only Don Quixote's invented adventures, but even more to the construction of the literary form. Like a pneumatic drill that persistently perforates a concrete construction, weakens it, loosens it – and finally causes its collapse.

4. Don Quixote and modern hermeneutics

The character of the famous gentleman in Chapter I conveys a pathetic impression:

He lives in poverty, and will soon lose all his remaining property as well. Don Quixote is wandering in fictional worlds of fantasy. Within the harsh, everyday reality he fails. We never hear him speaking in an explicit conversation, but do read of a quarrel with the curate and the barber. As presented in the text the gentleman has no personal relationships. Indeed he would have given his housekeeper and his niece away – if he could have had the opportunity to kick that traitor Ganelon. Thus the world of fantasy is more important than real persons. Therefore Aldonza Lorenzo is but a "lady of his thoughts" (15.16), and has no correspondence in real life. When he feels he has "never been sufficiently extolled," we are confronted with strong symptoms of an inferiority complex that creates feelings of omnipotence.

Psychoanalytically we should characterize Don Quixote as highly neurotic, as someone who needs help to find his way out of his increasing isolation within his world of knights. But that person is one modelled on literature, so no one has to propose therapy. Instead, we can combine several additional pieces of information to finish our characterization of that extreme, tragic and at the same time ridiculous person. Despite all his defeats – he reads so much that he "neglected ... the management of his property" (4.7), we get the impression that reading has been a lifesaver for him. Surely, he failed again and again even in this field, but modern readers quickly become aware that they are no more intelligent when confronted with the same nonsensical statements (4.18 – 6.4). The gentleman was eager to detect meaning. Our only ground for criticism is his simple-minded assumption that all written texts convey deep ideas, that books never contain nonsense.

Don Quixote shows an attitude which is basic and typical for Jews, Christians, and Muslims. And it should not be forgotten that in medieval Spain these three religions coexisted fruitfully and peacefully though sometimes with difficulty. According to these

religious traditions ideas are found in books, in holy books, in holy scripture. Hearing and reading are decisive in the search for individual redemption. Therefore it is to be expected and at the same time subversive that Cervantes transfers that honorable attitude from holy scripture to any book, even to books of chivalry. Cervantes is generalizing: Every book now attracts attention.

And as a countermove it is equally subversive when he demonstrates that in books it is possible to be confronted with nonsense. He does not say so explicitly, but he does insinuate that even the holy scriptures are touched by that experience. Perhaps even that makes no sense: "what Aristotle himself could not have made out or extracted had he come to life again for that special purpose."

But such frustrations do not restrain Don Quixote from reading, and a new world is emerging in him (9.5ff). It may well be that this world is anachronistic and that his development is motivated by stereotypes. Still, the gentleman gains a new inner horizon, an inner world, in which he wants to live spiritually, and then even really. His own life gains a sense of purpose, ideals, and a task. Therefore the gentleman is becoming active. And – surprisingly – he wants to have a personal relationship. He is learning something that changes his life positively. Without reading Don Quixote would have perished definitely and dully.

Surely, given the dominance of his isolated fantasy world we cannot ignore the neurotic deformations of this gentleman. His permanent failure is inevitable and is dragged out throughout the entire book. The manifold variations of that basic idea tend to tire the reader slowly. The narrative details are picturesque and greatly varied. In the course of time even the most stubborn reader will understand that fantasy and the real world do not converge in the life of Don Quixote – according to Cervantes. The reader comprehends that long before the book ends. But, the basic hermeneutical idea is contemporary and modern: Reading, perceiving, intensely penetrating worlds which at first are foreign to me, all that is a way to break down the individual mental horizon. Anyone who reads is searching, and knows that one's personal mental equipment does not represent a final horizon. Anyone who reads knows that he or she is not omniscient and that reading can help develop an individual personality and a good life. One might ask whether "books of chivalry" are suited for such a reading project. But at least Don Quixote gained a basic knowledge about necessities of life that he was lacking for his lifestyle – whatever his reasons may have been. After all, as Martini (1973) says, defeats in life do not change our inner values and ideals.

What the author presents needs an explanation. What pushed Don Quixote to read so intensely? Cervantes does not give an answer. But his model of the extreme reader raises the question:

What led Don Quixote to get the idea that heavy reading could help his personality? And what then motivated him to do such

intense reading? In my view the force that drives Don Quixote to an activity that helps him and gives a sense of purpose – even in a rather distorted way – must be assumed to be an unconscious but central force. Something more than mere brain activity or feelings. It is impossible to define it precisely. But we must assume a powerful domain in anyone's mental equipment. It steers the individual – sometimes in opposition to rationality and feelings¹³.

Cervantes forces the reader to parallel Don Quixote in the reading process. The artificial person of the implicit author detests Don Quixote's intense reading of books of chivalry. He thinks of it as a waste of time. But with his lengthy book the real author Cervantes calls on us to do exactly what the implicit author detests: to read a great deal about a knight – even if he is a pathetic character. Another paradox! Together with all the others it lends the book some humor. So it is not sufficient to say that in his own book Cervantes ridicules medieval romance. Such an analysis is too literal. But – according to modern hermeneutics¹⁴ – we must destroy that fictional world in order to become aware of the motifs and interests of the real author. In our case the result could be: The author forces us to read excessively. Many narrative details and the stylistic structure do keep us in suspense. We are not bound to a clear and concrete imaginative world. Through paradoxes, contradictions, different perspectives and viewpoints Cervantes avoids any "certainty of knowledge". The feeling of suspense he creates this way is very similar to humour. Indeed, because it is so entertaining, many modern readers can transcend the distance to the world of knights. That shows that it is of secondary importance which fictional world an author is outlining. Much more important is *how* the novel is written: Which stylistic features and literary structures can be seen? What motivates the author to write in such a way?

For modern readers it is no problem to enter that anachronistic world of knights (literal sense). Manifold amusement and entertainment can be experienced even today. Decisive for a full comprehension is the second level of meaning in the background. And there it could easily happen that the world of knights is

¹³ In Schweizer (2002) I develop parallels, keeping distinctly different terms in different domains: "the unconscious" (psychology), "creative force" (arts), and "god" (religion). Probably many types of language express the same idea: that an inner force is steering the individual.

¹⁴ Theology has the same problem: Can the holy texts only be read literally? Normally, religious institutions affirm that position – otherwise it would be impossible to formulate dogmas. Or can such old texts (like any other text) be read on a second level of meaning, where elements of fiction are losing their influence and insights into the author's stylistics and motifs come to the foreground? see Schweizer (2002).

turning into a symbol for any possible mental world, e.g. ideologies, religious beliefs that are dogmatically or confessionally restricted, or other philosophies of life that are too unilateral or fixed.

The irritations provoked by Cervantes' special stylistics form a contradiction to the feudal world of the Middle Ages that has been dominated and controlled by church and hierarchy, guaranteeing the relationship to the *one* and exclusive *truth*, a *Christian* truth. Cervantes rejects that seeming clarity and replaces it with a plurality of perspectives.

Seen in this way today even a novel about knights may subversively help to weaken ideological strongholds.

To reach this as a result we used a particular methodology to sharpen our glasses. Because we wanted to read the text very attentively, we first established different levels of research (based on conceptions of *sign* and *communication*).

I worked at three levels. First I described what is *physically* accessible for readers: the level of expressions. Here quantitative analysis is very effective and can be done automatically by computer. The interpretation of the findings, of course, introduces qualitative insights – based on comparable investigations, or on intuitive knowledge of reading processes.

Second, on the level of *semantics* / *pragmatics* the type of analysis totally changes. Now the researcher needs an appropriate understanding of the meaning of the text, taking clear terms for content analysis from the debate on grammar theory or cognitive sciences. That double equipment allowed me to tag. So that is a qualitative procedure in some sense. Of course once the tagging is done, the results can be summarized quantitatively. Perhaps future researchers can detect and interpret an interesting distribution of the semantic/ pragmatic features in the text.

Finally I differentiated between the levels of communication and introduced modern readers as the audience. My question was: Which dynamics can we assume for today's readers with that old text? To reconstruct that relationship between the original author (and his translator) and ourselves with the help of the text and its stylistics – we need some concepts about the components of a dialogue. For example, how can we gain *new* information? How can stylistic features affect my mind by perturbations, weakening my unconscious tendency to assimilate potentially new information – with the consequence that my mind remains unchanged?

Perhaps these remarks illustrate what Nida (1975, 27) said: "In view of the many-faceted aspects of meaning, it is little wonder that the interpretation of discourses constitutes perhaps the most complex and at the same time the most intriguing of man's numerous intellectual activities."

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Appendix I: Synopsis of the text (Spanish, German, English)

Capítulo primero.	(1.1) 1. Kapitel	Chapter i
Que trata de la condición y ejercicio del famoso hidalgo don Quijote de la Mancha	(2.1) Welches vom Stand und der Lebensweise des berühmten Junkers Don Quijote von der Mancha handelt	Which treats of the character and pursuits of the famous gentleman Don Quixote of la Mancha
En un lugar de la Mancha, de cuyo nombre no quiero acordar me, no ha mucho tiempo que vivía un hidalgo de los de lanza en astillero, adarga antigua, rocín flaco y galgo corredor. Una olla de algo más vaca que carnero, salpicón las más noches, duelos y quebrantos los sábados, lentejas los viernes, algún palomino de añadidura los domingos, consumían las tres partes de su hacienda. El resto della concluían sayo de velarte, calzas de velludo para las fiestas, con sus pantuflos de lo mismo, y los días de entresemana se honraba con su vellorí de lo más fino. Tenía en su casa una ama que pasaba de los cuarenta, y una sobrina que no llegaba a los veinte, y un mozo de campo y plaza, que así ensillaba el rocín como tomaba la podadera. Frisaba la edad de nuestro hidalgo con los cincuenta años; era de complexión recia, seco de carnes, enjuto de rostro, gran madrugador y amigo de la caza. Quieren decir que tenía el sobrenombre de	(3.1) An einem Orte der Mancha, (3.2) an dessen Namen ich mich nicht erinnern will, (3.3) lebte vor nicht langer Zeit ein Junker, (3.4) einer von jenen, (3.5) die einen Speer im Lanzengestell, (3.6) eine alte Tartsche, einen hagern Gaul und einen Windhund zum Jagen haben. (3.7) Eine Schüssel Suppe mit etwas mehr Kuh- als Hammelfleisch darin, die meisten Abende Fleischkuchen aus den Überbleibseln vom Mittag, jämmerliche Knochenreste am Samstag, Linsen am Freitag, ein Täubchen als Zugabe am Sonntag - das verzehrte volle Dreiviertel seines Einkommens; (3.8) der Rest ging drauf für ein Wams von Plüsch, Hosen von Samt für die Feiertage mit zugehörigen Pantoffeln vom selben Stoff, (3.9) und die Wochentage schätzte er sich's zur Ehre, sein einheimisches Bauerntuch zu tragen - aber vom feinsten! (3.10) Er hatte bei sich eine Haushälterin, (3.11) die über die Vierzig hinaus war, (3.12) und eine Nichte, (3.13) die noch nicht an die Zwanzig reichte; (3.14) auch einen Diener für Feld und Haus, (3.15) der ebensowohl den Gaul sattelte (3.16) als die Gartenschere	In a village of La Mancha, the name of which I have no desire to call to mind, there lived not long since one of those gentlemen that keep a lance in the lance rack, an old buckler, a lean hack, and a greyhound for coursing. An olla of rather more beef than mutton, a salad on most nights, scraps on Saturdays, lentils on Fridays, and a pigeon or so extra on Sundays, made away with three quarters of his income. The rest of it went in a doublet of fine cloth and velvet breeches and shoes to match for holidays, while on week days he made a brave figure in his best homespun. He had in his house a housekeeper past forty, a niece under twenty, and a lad for the field and market place, who used to saddle the hack as well as handle the bill hook. The age of this gentleman of ours was bordering on fifty; he was of a hardy habit, spare, gaunt featured, a very early riser and a great sportsman. They will have it his surname was Quixada or Quesada (for here there is some difference of opinion

<p>Quijada, o Quesada, que en esto hay alguna diferencia en los autores que deste caso escriben; aunque, por conjeturas verosimiles, se deja entender que se llamaba Quejana. Pero esto importa poco a nuestro cuento; basta que en la narración del no se salga un punto de la verdad.</p>	<p>zur Hand nahm. (3.17) Es streifte das Alter unsres Junkers an die fünfzig Jahre; (3.18) er war von kräftiger Körperbeschaffenheit, hager am Leibe, dürr im Gesichte, ein eifriger Frühaufsteher und Freund der Jagd. (3.19) Man behauptete, (3.20) er habe den Zunamen Quijada oder Quesada geführt (3.21) - denn hierin waltet einige Verschiedenheit in den Autoren, (3.22) die über diesen Kasus schreiben -, (3.23) wiewohl aus wahrscheinlichen Vermutungen sich annehmen läßt, (3.24) dass er Quijano hieß. (3.25) Aber dies ist von geringer Bedeutung für unsre Geschichte; (3.26) genug, (3.27) daß in deren Erzählung nicht um einen Punkt von der Wahrheit abgewichen wird.</p>	<p>among the authors who write on the subject), although from reasonable conjectures it seems plain that he was called Quexana. This, however, is of but little importance to our tale; it will be enough not to stray a hair's breadth from the truth in the telling of it.</p>
<p>Es, pues, de saber que este sobredicho hidalgo, los ratos que estaba ocioso, que eran los más del año, se daba a leer libros de caballerias, con tanta afición y gusto, que olvidó casi de todo punto el ejercicio de la caza, y aun la administración de su hacienda. Y llegó a tanto su curiosidad y desatino en esto, que vendió muchas hanegas de tierra de sembradura para comprar libros de caballerias en que leer, y así, llevó a su casa todos cuantos pudo haber dellos; y de todos, ningunos le parecían tan bien como los que compuso el famoso Feliciano de Silva,</p>	<p>(4.1) Man muß nun wissen, (4.2) daß dieser obbesagte Junker alle Stunden, (4.3) wo er müßig war (4.4) - und es waren dies die meisten des Jahres -, (4.5) sich dem Lesen von Ritterbüchern hingab, (4.6) mit so viel Neigung und Vergnügen, (4.7) daß er fast ganz und gar die Übung der Jagd und selbst die Verwaltung seines Vermögens vergaß; (4.8) und so weit ging darin seine Wißbegierde und törichte Leidenschaft, (4.9) daß er viele Morgen Ackerfeld verkaufte, um Ritterbücher zum Lesen anzuschaffen; (4.10) und so brachte er so viele ins Haus, (4.11) als er ihrer nur bekommen konnte. (4.12) Und von allen gefielen ihm keine</p>	<p>You must know, then, that the above named gentleman whenever he was at leisure (which was mostly all the year round) gave himself up to reading books of chivalry with such ardour and avidity that he almost entirely neglected the pursuit of his field sports, and even the management of his property; and to such a pitch did his eagerness and infatuation go that he sold many an acre of tillage land to buy books of chivalry to read, and brought home as many of them as he could get. But of all there were none he liked so well as those of the famous Feliciano de Silva's</p>

<p>porque la claridad de su prosa y aquellas enricadas razones suyas le parecían de perlas, y más cuando llegaba a leer aquellos requiebros y cartas de desafíos, donde en muchas partes hallaba escrito: La razón de la sinrazón que a mi razón se hace, de tal manera mi razón enflaquece, que con razón me quejo de la vuestra fermosura.</p>	<p>so gut wie die von dem berühmten Feliciano de Silva verfaßten; (4.13) denn die Klarheit seiner Prosa und die entwickelten Redensarten, (4.14) die er anwendet, (4.15) dünkten ihm wahre Kleinode; (4.16) zumal wenn er ans Lesen jener Liebesreden und jener Briefe mit Herausforderungen kam, (4.17) wo er an mancherlei Stellen geschrieben fand: (4.18) Der Sinn des Widersinns, (4.19) den Ihr meinen Sinnen antut, (4.20) schwächt meinen Sinn dergestalt, (4.21) daß ein richtiger Sinn darin liegt, (4.22) wenn ich über Eure Schönheit Klage führe.</p>	<p>composition, for their lucidity of style and complicated conceits were as pearls in his sight, particularly when in his reading he came upon courtships and cartels, where he often found passages like "the reason of the unreason with which my reason is afflicted so weakens my reason that with reason I murmur at your beauty;"</p>
<p>Y tambien cuando leía:</p>	<p>(5.1) Und ebenso, wenn er las:</p>	<p>or again,</p>
<p>[...] los altos cielos que de vuestra divinidad divinamente con las estrellas os fortifican, y os hacen merecedora del merecimiento que merece la vuestra grandeza.</p>	<p>(6.1) ... die hohen Himmel Eurer Göttlichkeit, (6.2) die Euch in göttlicher Weise bei den Sternen festigen (6.3) und Euch zur Verdiennerin des Verdienstes machen, (6.4) das Eure hohe Würde verdient.</p>	<p>"...the high heavens, that of your divinity divinely fortify you with the stars, render you deserving of the desert your greatness deserves."</p>
<p>Con estas razones perdía el pobre caballero el juicio, y desvelábase por entenderlas y desentrañarles el sentido, que no se lo sacara ni las entendiera el mismo Aristóteles, si resucitara para sólo ello. No estaba muy bien con las heridas que don Belianís daba y recibía, porque se imaginaba que, por grandes maestros que le hubiesen curado, no dejaría de tener el</p>	<p>(7.1) Durch solche Redensarten verlor der arme Ritter den Verstand (7.2) und studierte sich ab, um sie zu begreifen und aus ihnen den Sinn herauszuklauben, (7.3) den ihnen Aristoteles selbst nicht abgewonnen noch sie verstanden hätte, (7.4) wenn er auch zu diesem alleinigen Zweck aus dem Grab gestiegen wäre. (7.5) Er war nicht sonderlich einverstanden mit den Wunden, (7.6) welche Don</p>	<p>Over conceits of this sort the poor gentleman lost his wits, and used to lie awake striving to understand them and worm the meaning out of them; what Aristotle himself could not have made out or extracted had he come to life again for that special purpose. He was not at all easy about the wounds which Don Belianís gave and took, because it seemed to him that, great as were the surgeons who had</p>

rostro y todo el cuerpo lleno de cicatrices y señales. Pero, con todo, alababa en su autor aquel acabar su libro con la promesa de aquella inacabable aventura, y muchas veces le vino deseo de tomar la pluma y dalle fin al pie de la letra, como allí se promete; y sin duda alguna lo hiciera, y aun saliera con ello, si otros mayores y continuos pensamientos no se lo estorbaran.

Belianís austeilte (7.7) und empfing; (7.8) denn er dachte sich, (7.9) wie große Ärzte ihn auch gepflegt hätten, (7.10) so könnte er doch nicht anders (7.11) als das Gesicht und den ganzen Körper voll Narben und Wundenmale haben. (7.12) Aber bei alldem lobte er an dessen Verfasser, (7.13) daß er sein Buch mit dem Versprechen jenes unbeendbaren Abenteuer beendet; (7.14) und oftmals kam ihm der Wunsch, die Feder zu ergreifen und dem Buch einen Schluß zu geben, (7.15) buchstäblich so, (7.16) wie es dort versprochen wird; (7.17) und ohne Zweifel hätte er es getan, - (7.18) ja er wäre damit zustande gekommen, (7.19) wenn andere größere und ununterbrochen ihn beschäftigende Ideen es ihm nicht verwehrt hätten.

cured him, he must have had his face and body covered all over with seams and scars. He commended, however, the author's way of ending his book with the promise of that interminable adventure, and many a time was he tempted to take up his pen and finish it properly as is there proposed, which no doubt he would have done, and made a successful piece of work of it too, had not greater and more absorbing thoughts prevented him.

Tuvo muchas veces competencia con el cura de su lugar que era hombre docto, graduado en Sigüenza, sobre cuál había sido mejor caballero: Palmerín de Ingalaterra o Amadís de Gaula; mas maese Nicolás, barbero del mismo pueblo, decía que ninguno llegaba al Caballero del Febo, y que si alguno se le podía comparar, era don Galaor, hermano de Amadís de Gaula, porque tenía muy acomodada condición para todo; que no era caballero melindroso, ni tan llorón como su

(8.1) Vielmals hatte er mit dem Pfarrer seines Ortes (8.2) - der war ein gelehrter Mann (8.3) und hatte den Grad eines Lizentiaten zu Sigüenza erlangt - (8.4) Streit darüber, (8.5) wer ein besserer Ritter gewesen, (8.6) Palmerin von England oder Amadis von Gallien; (8.7) aber Meister Nikolas, der Barbier desselbigen Ortes, sagte, (8.8) es reiche keiner an den Sonnenritter, (8.9) und wenn einer sich ihm vergleichen könne, (8.10) so sei es Don Galaor, der Bruder des Amadis von Gallien,

Many an argument did he have with the curate of his village (a learned man, and a graduate of Sigüenza) as to which had been the better knight, Palmerin of England or Amadis of Gaul. Master Nicholas, the village barber, however, used to say that neither of them came up to the Knight of Phoebus, and that if there was any that could compare with him it was Don Galaor, the brother of Amadis of Gaul, because he had a spirit that was equal to every occasion, and was no finikin knight, nor

hermano, y que en lo de la valentía no le iba en zaga.

(8.11) weil dessen Naturell sich mit allem zurechtfinde;
(8.12) er sei kein zimperlicher Rittersmann,
(8.13) auch nicht ein solcher Tränensack wie sein Bruder, (8.14) und im Punkte der Tapferkeit stehe er nicht hinter ihm zurück.

lachrymose like his brother, while in the matter of valour he was not a whit behind him.

En resolución, él se enfrascó tanto en su letura, que se le pasaban las noches leyendo de claro en claro, y los días de turbio en turbio; y así, del poco dormir y del mucho leer, se le secó el cerebro, de manera que vino a perder el juicio. Llenósele la fantasía de todo aquello que leía en los libros, así de encantamientos como de pendencias, batallas, desafíos, heridas, requiebros, amores, tormentas y disparates imposibles; y asen tósele de tal modo en la imaginación que era verdad toda aquella máquina de aquellas sonadas soñadas invenciones que leía, que para el no había otra historia más cierta en el mundo. Decía él que el Cid Ruy Díaz había sido muy buen caballero, pero que no tenía que ver con el Caballero de la Ardiente Espada, que de sólo un revés había partido por medio dos fieros y descomunales gigantes. Mejor estaba con Bernardo del Carpio, porque en Roncesvalles había muerto a Roldán el encantado, valiéndose de la industria de Hercules, cuando ahogó a Anteo, el hijo

(9.1) Schließlich versenkte er sich so tief in seine Bücher, (9.2) daß ihm die Nächte vom Zwielflicht bis zum Zwielflicht und die Tage von der Dämmerung bis zur Dämmerung über dem Lesen hingingen; (9.3) und so, vom wenigen Schlafen und vom vielen Lesen, trocknete ihm das Hirn so aus, (9.4) daß er zuletzt den Verstand verlor. (9.5) Die Phantasie füllte sich ihm mit allem an, (9.6) was er in den Büchern las, (9.7) so mit Verzauberungen wie mit Kämpfen, Waffengängen, Herausforderungen, Wunden, süßem Gekose, Lieb-schaften, Seestürmen und unmöglichen Narreteien. (9.8) Und so fest setzte es sich ihm in den Kopf, (9.9) jener Wust hirnverrückter Erdichtungen, (9.10) die er las, (9.11) sei volle Wahrheit, (9.12) daß es für ihn keine zweifellosere Geschichte auf Erden gab. (9.13) Er pflegte zu sagen, (9.14) der Cid Rui Diaz sei ein sehr tüchtiger Ritter gewesen, (9.15) allein er könne nicht aufkommen gegen den Ritter vom flammenden Schwert, (9.16) der mit einem einzigen Hieb zwei grimmige

In short, he became so absorbed in his books that he spent his nights from sunset to sunrise, and his days from dawn to dark, poring over them; and what with little sleep and much reading his brains got so dry that he lost his wits. His fancy grew full of what he used to read about in his books, enchantments, quarrels, battles, challenges, wounds, wooings, loves, agonies, and all sorts of impossible nonsense; and it so possessed his mind that the whole fabric of invention and fancy he read of was true, that to him no history in the world had more reality in it. He used to say the Cid Ruy Diaz was a very good knight, but that he was not to be compared with the Knight of the Burning Sword who with one back stroke cut in half two fierce and monstrous giants. He thought more of Bernardo del Carpio because at Roncesvalles he slew Roland in spite of enchantments, availing himself of the artifice of Hercules when he strangled Antaeus the son of Terra in his arms. He approved highly of the giant Morgante,

de la Tierra, entre los brazos. Decfa mucho bien del gigante Morgante, porque, con ser de aquella generación gigantea, que todos son soberbios y descomedidos, el solo era afable y bien criado. Pero, sobre todos, estaba bien con Reinaldos de Montalbán, y más cuando le veía salir de su castillo y robar cuantos topaba, y cuando en allende robó aquel ífdolo de Mahoma que era todo de oro, según dice su historia. Diera él, por dar una mano de coces al traidor de Galalón, al ama que tenía, y aun a su sobrina de añadidura.

ungeheure Riesen mitten auseinandergehauen. (9.17) Besser stand er sich mit Bernardo del Carpio, (9.18) weil dieser in Roncesvalles den gefeiten Roldán getötet, (9.19) indem er sich den Kunstgriff des Herkules zunutze machte, (9.20) als dieser den Antäus, den Sohn der Erde, in seinen Armen erstickte. (9.21) Viel Gutes sagte er von dem Riesen Morgante, (9.22) weil dieser, (9.23) obschon von jenem Geschlechte der Riesen, (9.24) die sämtlich hochfahrende Grobiane sind, (9.25) allein unter ihnen leutselig und und wohlgezogen gewesen. (9.26) Doch vor allen stand er sich gut mit Rinald von Montalbán, (9.27) und ganz besonders, (9.28) wenn er ihn aus seiner Burg ausreiten und alle, (9.29) auf die er stieß, (9.30) berauben sah (9.31) und wenn derselbe drüben über See jenes Götzenbild des Mohammed raubte, (9.32) das ganz von Gold war, (9.33) wie eine Geschichte besagt. (9.34) Gern hätte er, um dem Verräter Ganelon ein Schock Fußtritte versetzen zu dürfen, seine Haushälterin hergegeben (9.35) und sogar seine Nichte obendrein.

because, although of the giant breed which is always arrogant and ill conditioned, he alone was affable and well bred. But above all he admired Reinaldos of Montalban, especially when he saw him sallying forth from his castle and robbing everyone he met, and when beyond the seas he stole that image of Mahomet which, as his history says, was entirely of gold. To have a bout of kicking at that traitor of a Ganelon he would have given his housekeeper, and his niece into the bargain.

En efeto, rematado ya su juicio, vino a dar en el más estraño pensamiento que jamás dio loco en el mundo; y fue que le pareció conuenible y necesario, así para el aumento de su honra como para el

(10.1) Zuletzt, (10.2) da es mit seinem Verstand völlig zu Ende gegangen, (10.3) verfiel er auf den seltsamsten Gedanken, (10.4) auf den jemals in der Welt ein Narr verfallen; (10.5) nämlich es

In short, his wits being quite gone, he hit upon the strangest notion that ever madman in this world hit upon, and that was that he fancied it was right and requisite, as well for the support of his own

servicio de su república, hacerse caballero andante, y irse por todo el mundo con sus armas y caballo a buscar las aventuras y a ejercitarse en todo aquello que él había leído que los caballeros andantes se ejercitaban, deshaciendo todo género de agravio, y poniéndose en ocasiones y peligros donde, acabándolos, cobrase eterno nombre y fama. Imaginábase el pobre ya coronado por el valor de su brazo, por lo menos, del imperio de Trapisonda; y así, con estos tan agradables pensamientos, llevado del extraño gusto que en ellos sentía, se dio prisa a poner en efecto lo que deseaba.

deuchte ihm angemessen und notwendig, sowohl zur Mehrung seiner Ehre als auch zum Dienste des Gemeinwesens, sich zum fahrenden Ritter zu machen und durch die ganze Welt mit Roß und Waffen zu ziehen, um Abenteuer zu suchen und all das zu üben, (10.6) was, (10.7) wie er gelesen, (10.8) die fahrenden Ritter übten, (10.9) das heißt jegliche Art von Unbill wiedergutzumachen und sich in Gelegenheiten und Gefahren zu begeben, (10.10) durch deren Überwindung er ewigen Namen und Ruhm gewinnen würde. (10.11) Der Arme sah sich schon in seiner Einbildung durch die Tapferkeit seines Armes allergeringsten Falles mit der Kaiserwürde von Trapezunt bekrönt; (10.12) und demnach, in diesen so angenehmen Gedanken, hingerissen von dem wundersamen Reiz, (10.13) den sie für ihn hatten, (10.14) beeilte er sich, ins Werk zu setzen, (10.15) was er ersehnte.

honour as for the service of his country, that he should make a knight errant of himself, roaming the world over in full armour and on horseback in quest of adventures, and putting in practice himself all that he had read of as being the usual practices of knights errant; righting every kind of wrong, and exposing himself to peril and danger from which, in the issue, he was to reap eternal renown and fame. Already the poor man saw himself crowned by the might of his arm Emperor of Trebizond at least; and so, led away by the intense enjoyment he found in these pleasant fancies, he set himself forthwith to put his scheme into execution.

Y lo primero que hizo fue limpiar unas armas que habían sido de sus bisabuelos, que, tomadas de orín y llenas de moho, luengos siglos había que estaban puestas y olvidadas en un rincón. Limpiólas y aderezólas lo mejor que pudo, pero vio que tenían una gran falta, y era que no tenían celada de encaje, sino morrión simple; mas a esto suplió su industria, porque de cartones

(11.1) Und das erste, (11.2) was er vornahm, (11.3) war die Reinigung von Rüstungsstücken, (11.4) die seinen Urgroßeltern gehört hatten (11.5) und die, von Rost angegriffen und mit Schimmel überzogen, seit langen Zeiten in einen Winkel hingeworfen und vergessen waren. (11.6) Er reinigte sie (11.7) und machte sie zurecht, (11.8) so gut er nur immer konnte. (11.9) Doch nun sah er, (11.10) daß sie an einem großen Mangel litten:

The first thing he did was to clean up some armour that had belonged to his great grandfather, and had been for ages lying forgotten in a corner eaten with rust and covered with mildew. He scoured and polished it as best he could, but he perceived one great defect in it, that it had no closed helmet, nothing but a simple morion. This deficiency, however, his ingenuity supplied, for he contrived a kind

<p>hizo un modo de media celada, que, encajada con el morrión, hacían una apariencia de celada entera. Es verdad que para probar si era fuerte y podía estar al riesgo de una cuchillada, sacó su espada y le dio dos golpes, y con el primero y en un punto deshizo lo que había hecho en una semana; y no dejó de parecerle mal la facilidad con que la había hecho pedazos, y, por asegurarse deste peligro, la tornó a hacer de nuevo, poniendole unas barras de hierro por de dentro, de tal manera que él quedó satisfecho de su fortaleza; y, sin querer hacer nueva experiencia della, la diputó y tuvo por celada finísima de encaje.</p>	<p>(11.11) es war nämlich kein Helm mit Visier dabei, (11.12) sondern nur eine einfache Sturmhaube; (11.13) aber dem half seine Erfindsamkeit ab, (11.14) denn er machte aus Pappdeckel eine Art von Vorderhelm, (11.15) der, in die Sturmhaube eingefügt, ihr den Anschein eines vollständigen Turnierhelms gab. (11.16) Freilich wollte er dann auch erproben, (11.17) ob der Helm stark genug sei (11.18) und einen scharfen Hieb aushalten könne, (11.19) zog sein Schwert (11.20) und führte zwei Streiche darauf, (11.21) und schon mit dem ersten zerstörte er in einem Augenblick, (11.22) was er in einer Woche geschaffen hatte; (11.23) und da konnte es nicht fehlen, (11.24) daß ihm die Leichtigkeit mißfiel, (11.25) mit der er ihn in Stücke geschlagen. (11.26) Um sich nun vor dieser Gefahr zu bewahren, fing er den Vorderhelm aufs neue an (11.27) und setzte Eisenstäbe innen hinein, (11.28) dergestalt, (11.29) daß er nun mit dessen Stärke zufrieden war; (11.30) und ohne eine neue Probe damit anstellen zu wollen, erachtete (11.31) und erklärte er ihn für einen ganz vortrefflichen Turnierhelm.</p>	<p>of half helmet of paste-board which, fitted on to the morion, looked like a whole one. It is true that, in order to see if it was strong and fit to stand a cut, he drew his sword and gave it a couple of slashes, the first of which undid in an instant what had taken him a week to do. The ease with which he had knocked it to pieces disconcerted him somewhat, and to guard against that danger, he set to work again, fixing bars of iron on the inside until he was satisfied with its strength; and then, not caring to try any more experiments with it, he passed it and adopted it as a helmet of the most perfect construction.</p>
<p>Fue luego a ver su rocín, y, aunque tenía más cuartos que un real y más tachas que el caballo de Gonela, que tantum pellis et ossa fuit, le pareció que ni el</p>	<p>(12.1) Jetzt ging er, nach seinem Gaule zu sehen, (12.2) und obschon dieser an den Hufen mehr Steingallen hatte als ein Groschen Pfennige (12.3) und mehr Gebresten als</p>	<p>He next proceeded to inspect his hack, which, with more quartos than a real and more blemishes than the steed of Gonela, that »tantum pellis et ossa fuit,« surpassed in</p>

Bucéfalo de Alejandro
ni Babieca el del Cid
con él se igualaban.
Cuatro días se le
pasaron en imaginar
qué nombre le pondría;
porque, según se
decía él a sí mismo, no
era razón que caballo
de caballero tan
famoso, y tan bueno él
por sí, estuviere sin
nombre conocido; y
así, procuraba
acomodarse de
manera que declarase
quién había sido,
antes que fuese de
caballero andante, y lo
que era entonces; pues
estaba muy puesto en
razón que, mudando
su señor estado,
mudase él también el
nombre, y [le] cobrase
famoso y de estruendo,
como convenía a la
nueva orden y al nuevo
ejercicio que ya
profesaba. Y así,
después de muchos
nombres que formó,
borró y quitó, añadió,
deshizo y tornó a hacer
en su memoria e
imaginación, al fin le
vino a llamar
Rocinante: nombre, a
su parecer, alto, sonoro
y significativo de lo que
había sido cuando fue
rocín, antes de lo que
ahora era, que era
antes y primero de
todos los rocines del
mundo.

das Pferd Gonellas,
(12.4) das 'tantum pellis
et ossa fuit', (12.5)
dünkte es ihm, (12.6)
daß weder der Buke-
phalos des Alexander
noch der Babieca des
Cid sich ihm gleich-
stellen könnten. (12.7)
Vier Tage vergingen
ihm mit dem Nach-
denken darüber, (12.8)
welchen Namen er ihm
zuteilen sollte; (12.9)
sintemal (12.10) - wie
er sich selbst sagte -
(12.11) es nicht recht
wäre, (12.12) daß das
Roß eines so berühm-
ten Ritters, (12.13) das
auch schon an sich
selbst so vortrefflich sei,
(12.14) ohne einen
eigenen wohlbekannt
Namen bliebe. (12.15)
Und so bemühte er
sich, ihm einen solchen
zu verleihen, (12.16)
der deutlich anzeige,
(12.17) was der Gaul
vorher gewesen,
(12.18) ehe er eines
fahrenden Ritters war,
(12.19) und was er
jetzo sei; (12.20) denn
es sei doch in der Ver-
nunft begründet,
(12.21) daß, (12.22)
wenn sein Herr einen
andern Stand, (12.23)
auch das Roß einen
andern Namen an-
nehme (12.24) und
einen solchen erhalte,
(12.25) der ruhmvoll
und hoctönend sei,
(12.26) wie es dem
neuen Orden und Beruf
zieme, (12.27) zu dem
er sich selbst bereits be-
kenne. (12.28) Und so,
(12.29) nachdem er
viele Namen sich aus-
gedacht, (12.30) dann
gestrichen (12.31) und
beseitigt, (12.32) dann
wieder in seinem Kopfe
andre herbeigebracht,
(12.33) abermals

his eyes the Bukephalos
of Alexander or the
Babieca of the Cid.
Four days were spent
in thinking what name
to give him, because (as
he said to himself) it
was not right that a
horse belonging to a
knight so famous, and
one with such merits of
his own, should be
without some
distinctive name, and
he strove to adapt it so
as to indicate what he
had been before
belonging to a knight
errant, and what he
then was; for it was
only reasonable that,
his master taking a new
character, he should
take a new name, and
that it should be a
distinguished and full
sounding one, befitting
the new order and
calling he was about to
follow. And so, after
having composed,
struck out, rejected,
added to, unmade, and
remade a multitude
of names out of his
memory and fancy, he
decided upon calling
him Rocinante, a name,
thinking, lofty,
sonorous, and to his
significant of his
condition as a hack
before he became
what he now was, the
first and foremost of all
the hacks in the world.

verworfen (12.34) und aufs neue in seiner Vorstellung und Phantasie zusammengestellt, (12.35) kam er zuletzt darauf, ihn 'Rosinante' zu heißen, ein nach seiner Meinung hoher und volltönender Name, bezeichnend für das, (12.36) was er gewesen, (12.37) als er noch ein Reitgaul nur war, (12.38) bevor er zu der Bedeutung gekommen, (12.39) die er jetzt besaß, (12.40) nämlich allen Rossen der Welt als das Erste voranzugehen.

Puesto nombre, y tan a su gusto, a su caballo, quiso ponérsele a sí mismo, y en este pensamiento duró otros ocho días, y al cabo se vino a llamar don Quijote; de donde como queda dicho tomaron ocasión los autores desta tan verdadera historia que, sin duda, se debía de llamar Quijada, y no Quesada, como otros quisieron decir. Pero, acordándose que el valeroso Amadís no sólo se había contentado con llamarse Amadís a secas, sino que añadió el nombre de su reino y patria, por Hepila famosa, y se llamó Amadís de Gaula, así quiso, como buen caballero, añadir al suyo el nombre de la suya y llamarse don Quijote de la Mancha, con que, a su parecer, declaraba muy al vivo su linaje y patria, y la honraba con torrar el sobrenombre della.

(13.1) Nachdem er seinem Gaul einen Namen, und zwar so sehr zu seiner Zufriedenheit, gegeben, (13.2) wollte er sich auch selbst einen beilegen, (13.3) und mit diesem Gedanken verbrachte er wieder volle acht Tage; (13.4) und zuletzt verfiel er darauf, sich 'Don Quijote' zu nennen; (13.5) woher denn, wie schon gesagt, die Verfasser dieser so wahren Geschichte Anlaß zu der Behauptung nahmen, (13.6) er müsse ohne Zweifel Quijada geheißen haben und nicht Quesada, (13.7) wie andre gewollt haben. (13.8) Jedoch (13.9) da er sich erinnerte, (13.10) daß der tapfere Amadís sich nicht einfach damit begnügt hatte, ganz trocken Amadís zu heißen, (13.11) sondern den Namen seines Königreichs und Vaterlands beifügte, um es berühmt zu machen, (13.12) und sich

Having got a name for his horse so much to his taste, he was anxious to get one for himself, and he was eight days more pondering over this point, till at last he made up his mind to call himself »Don Quixote,« whence, as has been already said, the authors of this veracious history have inferred that his name must have been beyond a doubt Quixada, and not Quesada as others would have it. Re-collecting, however, that the valiant Amadís was not content to call himself curtly Amadís and nothing more, but added the name of his kingdom and country to make it famous, and called himself Amadís of Gaul, he, like a good knight, resolved to add on the name of his, and to style himself Don Quixote of La Mancha, whereby, he considered, he described accurately his origin and country, and did

Amadís von Gallien nannte, (13.13) wollte er ebenso als ein guter Ritter seinem Namen den seiner Heimat beifügen und sich 'Don Quijote von der Mancha' nennen; (13.14) damit bezeichnete er nach seiner Meinung sein Geschlecht und Heimatland ganz lebensstreu (13.15) und ehrte es hoch, (13.16) in dem er den Zunamen von ihm entlehnte.

honour to it in taking his surname from it.

Limpias, pues, sus armas, hecho del morrión celada, puesto nombre a su rocín y confirmándose a sí mismo, se dio a entender que no le faltaba otra cosa sino buscar una dama de quien enamorarse; porque el caballero andante sin amores era á[r]bol sin hojas y sin fruto y cuerpo sin alma. Decíase él a [sí]: Si yo, por malos de mis pecados, o por mi buena suerte, me encuentro por ahí con algún gigante, como de ordinario les acontece a los caballeros andantes, y le derribo de un encuentro, o le parto por mitad del cuerpo, o, finalmente, le venzo y le rindo, ¿no será bien tener a quien enviarle presentado y que entre y se hinque de rodillas ante mi dulce señora, y diga con voz humilde y rendiendo: "Yo, señora, soy el gigante Caraculiambro, señor de la insula Malindrania, a quien ven ció en singular batalla el jamás como se debe alabado caballero don Quijote de la Mancha, el cual

(14.1) Da er nun seine Waffen gereinigt, aus der Sturmhaube einen Turnierhelm gemacht, seinem Rosse einen Namen gegeben und sich selbst neu gefirmelt hatte, (14.2) führte er sich zu Gemüt, daß ihm nichts andres mehr fehle, als eine Dame zu suchen, um sich in sie zu verlieben; (14.3) denn der fahrende Ritter ohne Liebe sei ein Baum ohne Blätter und Frucht, ein Körper ohne Seele. (14.4) Er sagte sich: (14.5) Wenn ich um meiner argen Sünden willen oder durch mein gutes Glück draußen auf einen Riesen stoße, (14.6) wie dies gewöhnlich den fahrenden Rittern begegnet, (14.7) und ich werfe ihn mit einem Speerstoß darnieder (14.8) oder haue ihn mitten Leibes auseinander, (14.9) oder kurz, (14.10) besiege ihn (14.11) und zwingen ihn zu meinem Willen, (14.12) wird es da nicht gut sein, eine Dame zu haben, (14.13) der ich ihn zusenden kann, um sich ihr zu stellen, (14.14)

So then, his armour being furbished, his morion turned into a helmet, his hack christened, and he himself confirmed, he came to the conclusion that nothing more was needed now but to look out for a lady to be in love with; for a knight errant without love was like a tree without leaves or fruit, or a body without a soul. As he said to himself, »If, for my sins, or by my good fortune, I come across some giant hereabouts, a common occurrence with knights errant, and overthrow him in one onslaught, or cleave him asunder to the waist, or, in short, vanquish and subdue him, will it not be well to have some one I may send him to as a present, that he may come in and fall on his knees before my sweet lady, and in a humble, submissive voice say, 'I am the giant Caraculiambro, lord of the island of Malindrania, vanquished in a single combat by the never sufficiently extolled

me mandó que me presentase ante vues tra merced, para que la vuestra grandeza disponga a mí a su talante?

so daß er eintrete (14.15) und sich auf die Knie niederlasse vor meiner süßen Herrin (14.16) und mit demütiger und unterwürfiger Stimme sage: (14.17) Ich bin der Riese Caraculiambro, Herr der Insel Malindrana, (14.18) den im Einzelkampf der nie nach voller Gebühr gepriesene Ritter Don Quijote von der Mancha besiegt hat, (14.19) als welcher mir befohlen, (14.20) ich solle mich vor Euer Gnaden stellen, (14.21) auf daß Euer Herrlichkeit über mich nach Dero Belieben verfüge?

knight Don Quixote of la Mancha, who has commanded me to present myself before your Grace, that your Highness dispose of me at your pleasure?"

¡Oh, cómo se holgó nuestro buen caballero cuando hubo hecho este discurso, y más cuando halló a quien dar nombre de su dama! Y fue, a lo que se cree, que en un lugar cerca del suyo había una moza labradora de muy buen parecer, de quien él un tiempo anduvo enamorado, aunque, según se entiende, ella jamás lo supo, ni le dio cata dello. Llamábase Aldonza Lorenzo, y a esta le pareció ser bien darle título de señora de sus pensamientos; y, buscándole nombre que no desdijese mucho del suyo, y que tirase y se encaminase al de princesa y gran señora, vino a llamarla Dulcinea del Toboso, porque era natural del Toboso; nombre, a su parecer, músico y peregrino y significativo, como todos los demás que a él y a sus cosas había puesto.

(15.1) O (15.2) wie freute sich unser Ritter, (15.3) als er diese Rede getan, (15.4) und gar erst, (15.5) als er gefunden, (15.6) wem er den Namen seiner Dame zu geben hätte! (15.7) Und es verhielt sich dies so (15.8) - wie man glaubt -, (15.9) daß an einem Ort in der Nachbarschaft des seinigen ein Bauernmädchen von recht gutem Aussehen lebte, (15.10) in die er eine Zeitlang verliebt gewesen, (15.11) obschon, (15.12) wie man vernimmt, (15.13) sie davon nie erfuhr (15.14) noch acht darauf hatte. (15.15) Sie nannte sich Aldonza Lorenzo, (15.16) und dieser den Titel einer Herrin seiner Gedanken zu geben deuchte ihm wohlgetan. (15.17) Er suchte für sie nach einem Namen, (15.18) der vom seinigen nicht zu sehr abstäche (15.19) und auf den

Oh, how our good gentleman enjoyed the delivery of this speech, especially when he had thought of some one to call his Lady! There was, so the story goes, in a village near his own a very good looking farm girl with whom he had been at one time in love, though, so far as is known, she never knew it nor gave a thought to the matter. Her name was Aldonza Lorenzo, and upon her he thought fit to confer the title of Lady of his Thoughts; and after some search for a name which should not be out of harmony with her own, and should suggest and indicate that of a princess and great lady, he decided upon calling her Dulcinea del Toboso she being of El Toboso a name, to his mind, musical, uncommon, and significant, like all those he

einer Prinzessin und hohen Herrin hinweise (15.20) und abziele, (15.21) und so nannte er sie endlich 'Dulcinea von Toboso', (15.22) weil sie aus Toboso gebürtig war; (15.23) ein Name, der nach seiner Meinung wohlklingend und etwas Besonderes war (15.24) und zugleich bezeichnend wie alle übrigen, (15.25) die er sich und allem, (15.26) was ihn betraf, (15.27) beigelegt hatte.

Part Two: Group Sessions – Workgroup 1

A Qualitative-Heuristic Study of Feeling¹

Thomas Burkart

The qualitative-heuristic study on the experience of feeling I report on here represents the departure from the quantitative-deductive (hypothesis-testing) approaches which are currently dominant in emotion psychology (see Otto, Euler & Mandl, 2000; Scherer, Schorr & Johnstone, 2001). Emotion-associated body processes like electrodermal or cardiovascular activity are frequently recorded by physiological measures, or researchers attempt to influence aspects of emotion experimentally using psychological induction techniques, or pharmacological methods. The emotional expression is described by standardised observation schemes. Even data on the subjective feeling component of emotion are usually collected quantitatively using standardised questionnaires. In appraisal approaches, however, an abstract (reductionistic) "minimalistic questioning strategy" is preferred, "characterized by one-item measurements of appraisal dimensions" (Schorr, 2001, p. 332, 337). Open qualitative studies are quite unusual (see Schmitt & Mayring, 2000), although, some quantitatively oriented researchers acknowledge their heuristic potential (Schorr, 2001, p. 335).

In contrast to these approaches this study approaches its subject openly using different qualitative methods, without limiting the subjects as they describe their emotional experience for example with the multiple-choice alternatives in a standardised questionnaire. The research question is quite open and broad: What are the characteristics and structures of emotional experience?

Research Method

The subject of this study is *feeling*, i.e. subjective and conscious emotional processes. Its focus is not *emotion*, a term which normally denotes, beside the subjective feeling, other unconscious related phenomena such as physiological processes (Otto, Euler & Mandl, 2000, pp. 13-17). The term *emotional experience* is used as a synonym for feeling.

The methodological basis of the survey is the heuristic

¹ I thank Gerhard Kleining for discussion and Rita Byrne for proof-reading.

methodology of Gerhard Kleining (Kleining, 1982/2001; Kleining & Witt, 2001). Four characteristics of Kleining's work are key:

- The researcher, must be open and prepared to change his or her preconceptions about the topic if necessary.
- The research topic is also open and may change during the exploratory research.
- The perspectives must vary structurally during the phase of data collection, so the researcher can view the topic from many directions.
- The data are analyzed for common patterns.

The maximal structural variation of perspectives, which prevents a one-sided view of the topic, allows the researcher to gather information that is as varied as possible about the research object. This variation of factors may influence the topic of research considerably. Beside factors specific to the topic the research method and characteristics of the subjects (such as gender, age, social state) also vary and sometimes even the researcher himself (Kleining, 1995, pp. 236-242).

The starting point of the research was a study of emotional experience using the method of group-based dialogic introspection (Burkart, 2002; Kleining, 2002; Kleining & Burkart, 2001; Kleining & Witt, 2000). This method has recently been developed at the University of Hamburg in a workshop, in which the participants themselves research their introspection. (For more information on the research approach of the Hamburg group, see our homepages: www.introspektion.net and www.heureka-hamburg.de.)

Data Collection

The research procedure in this study – referred to below as the "introspection study" – was as follows. The participants, all members of the research group, agreed to observe a current feeling of anger and another actual feeling of choice by introspection during their everyday lives, i.e. attentively recording their experiences while the feelings occurred. Shortly afterwards they made detailed notes on what they had experienced.

Some days later in a participants' meeting, each participant – one after the other – gave an oral report to the group on his or her self-observation. The other group members simply listened: they did not ask any questions, make any evaluations, or start any discussions. There was no group leader because all participants, as members of the research workshop on introspection, were familiar with the rules of group-based dialogic introspection.

Then a second round followed, providing the opportunity to supplement reports. As each participant reported, everyone in the

group was stimulated to reflect on their own experience and to re-check their own report.

The oral introspective reports in the group were tape-recorded, and transcribed, as a pre-requisite for the analysis, which was done by one person individually.

Five male subjects participated in the introspection study². The topics of their introspection covered a considerable range:

1. Feelings of confusion and anger triggered by the actual task of introspection
2. Sense of well-being sitting by the fireside
3. Vehement reaction of anger after accidentally kicking a cat's bowl of food.
4. Reaction of rage after a provocation in a professional field (private nursing)
5. Complex process of feeling after completing an application for a scientific project
6. Emotional processing resolving an assumed defect in refrigerator.
7. Process of feeling during a one-hour jaw surgery.

Moreover, an additional note about the same introspective task was included by another male member of the introspection workshop who was not able to participate in the group meeting³.

Using the method of group-based dialogic introspection it is possible to record rich data about the emotional experience with complex feeling processes as is shown in the following passage from the introspection reports, describing the participant's feelings after he finished the application:

The burden falls from my shoulders and then again and again joy flames up, for me a kind of a frisky joy. Well, the friskiness came. This arose anyhow from the stomach, then rises, starting in the stomach with a light prickling, rising in the chest with bigger bubbles. Then there is an all-pervading heartbeat, which sets my teeth on edge and an impulse to express the joy, jumping and saying: it's done and I did it.

Although group-based dialogic introspection allows researchers to collect differentiated data on emotional experience, like other scientific methods the method has some limitations and should be varied. In particular, the report in the group meeting of very private introspections about feelings may cause some

² Some members of the workshop on introspection are Thomas Burkart, Otmar Hagemann, Gerhard Kleining, Peter M. Mayer, and Hartmut Schulze.

³ Heinz Schramm.

participants to repress their self-observations. One participant mentioned reflecting on whether it would be better to keep certain impulses secret in order not to be seen unfavorably within the group (see section "the communicative effect of feeling"). The introspection study also has the disadvantage that its subjects are all middle-class males, with a university education, factors which may influence their emotional experience.

To vary the method and introduce other aspects (such as gender, social status, emotional quality, mental health, intensity of feeling, duration of feeling, and recency of feeling) two additional studies were started and personal introspection data were also used.

In a *study about feeling descriptions by psychotherapeutic patients*, who probably have less difficulty being open than did the participants from the introspection study, feeling descriptions are gathered which vary the above-mentioned aspects (gender, social status, emotional quality, etc.) or contain a new characteristic of emotional experience.

So far these descriptions of feelings have been taken predominantly from psychotherapy session protocols from my own psychotherapeutic practice. After some sessions, I asked the patients, if they would agree to my using their description of feeling in this study⁴.

These descriptions of feelings were predominantly spontaneous descriptions of feelings, which were partially supported by therapeutic interviewing. I have also gathered some descriptions using a simple therapeutic technique of introspection: observing one's feelings with closed eyes and reporting them immediately or afterwards.

In all of this data-gathering it is likely that the psychotherapist has had no impact on the emergence of the feelings, but certainly has influenced how differentiated the descriptions were.

Because a selection effect may relate to a certain psychotherapist (such as one-sidedness of the clientele, singularities of the therapeutic interaction, a certain therapeutic method) and may influence the collected phenomena of feeling, I have begun to vary the therapists and the therapeutic method. Therefore I have begun to use published psychotherapeutic data; in addition to using descriptions of feeling from cognitive therapy, I have included seven descriptions of feeling from client-centered therapies.

Altogether this study includes 45 feeling descriptions of 20 persons (14 female, 6 male, ages ranging between 18 and 57, $M =$

⁴ I thank my patients for allowing me to use session protocols.

37,25 years).

For further study, I am gathering feeling terms and descriptions generally common in our culture or in certain subcultures. I believe that terms like to burst from curiosity (in German: *vor Neugier zu platzen*) or *see everything through rose-coloured glasses* (in German: *alles durch die rosarote Brille sehen*) also mirror characteristics of the emotional experience, as well as cultural influences⁵.

These terms are collected in everyday life and in dictionaries simultaneously with over 400 feeling terms and descriptions.

I also include in the analysis *personal introspection data* not gathered using group-based dialogic introspection but important for recognizing certain characteristics of feeling (presently four feeling descriptions). The methodological procedure was to take detailed notes shortly after the self-observation of a process of feeling.

Data Analysis

The *data analysis*, which is directed at discovering common patterns or similarities, started with the open question about the characteristics of emotional experience. The process of analysis is a complex question-answer-sequence, with questions on the data (introspection reports, description of feeling protocols, feeling terms, personal introspection data) leading to answers, which were explored for similarities, resulting in new questions. For example the question about the common patterns of the above-mentioned introspection report, describing the participant's feeling after finishing the application, leads to the answer: that joy is combined with certain sensations, body processes, and impulses to act. This analysis provoked a further question: which sensations, body processes and impulses to act are found in other feelings. As data were analysed for similarities, this question led to the characteristic of feeling as a body-based experience (see section "characteristics of feeling"). As we recognize "local" patterns, which refer to aspects of the research topic, we can gradually approach common "global" patterns by discovering similarities in the local patterns (see also Kleining , 2003, pp. 9-23) in this volume for detailed description of qualitative-heuristic analysis). The goal of the analysis is to discover the structure that fits an then integrates all the data.

Results of Analysis

⁵ Cultural influences are inseparable and characteristics of feeling.

In the following overview I first present characteristics of feeling. I then move to the functions of feeling, which unlike the characteristics integrates large "areas" of the data structurally, although I have not yet found the structure which integrates all the data.

Characteristics of Feeling

Emotional experience has at least nine aspects:

Inevitability. It is impossible not to feel. Feelings always exist to some extent experience, although not always in the focus of attention but as background feelings, like feeling good, droopy, tired, or peppy (see also Damasio, 2002, pp. 343-344). Indeed feelings can be impaired as in certain forms of severe depression experienced as painful emotional impoverishment⁶.

Reactivity. Feelings are reactively experienced. Persons can experience themselves as *falling in and out of love* and *being overcome by fear, sadness, or joy*. Feelings can be influenced only to a limited degree. Thus people with emotional problems often suffer like the following patient: "I get angry about myself, because I am thinking again and again about this [anxiety that something may happen to his daughter; the author]. I have no switch to turn it off."

Body-based experience. Feelings are experienced as body-based. This is mirrored by typical feeling terms like *shaking with anger, gut-feeling, ear-piercing, sick with fear, blushing with shame, butterflies in one's stomach*. They are combined with processes like constriction, expansion, tension, swelling, ascent, and descent of sensations, which mobilise or demobilise the person (see also Rahm, Otte, Bosse & Ruhe-Hollenbach, 1999; Schulze, 1999). An example from the introspection study:

And [when] the cat food is scattered across the whole kitchen floor, I have a strong reaction of anger, almost rage. I notice that it is wavelike, that there is something rising from the stomach. I record an impulse to kick at the cat bowl, which I don't act out.

Varying intensity and quality. Feelings have a varying intensity and quality of body-based experience. Different qualities are combined with different body processes. An example from the introspection study:

⁶ For example in the so-called alienation depression with a strong feeling of inner emptiness and of being dead. The patients cannot be happy, or sad, or laugh, or cry. Everything seems to be strange and unfamiliar (Peters, 1990, p. 154).

If anger turns to aggression, the tonicity is heightened in a flash. The body "tenses." The "ego" feels constricted, looking for possibilities of relief, verbally by cursing, and/or bodily by jumping, waving about, discharging excessive energy in high doses. Sadness ... Characteristic in contrary to aggression, a rather low tonicity. The sensation of heaviness and constriction in the whole body. One feels squeezed, downhearted, and numb. Happiness: ... The body is moving out of love of motion. One hovers slightly over the ground.

Personal involvement. Emotional experience affects the person. It can *shock, hit, move, churn, overwhelm, set ones teeth on edge, sweep along, importune, or make bashful*. Feelings captivate the person to varying extents by involving the person, linking him or her to the process of feeling and the object of feeling, as in the following description of feeling from a female patient:

"If I am afraid [of X], I am trapped in myself. I am not able to relax. I can't think of anything else and feel totally unconfident."

Expression of pressure. Feelings are experienced inwardly and press to be expressed. The expression of feeling can discharge pressure (*to burst with curiosity, to explode, to jump out of one's skin, emotional release*). If expression is impossible, severe inner stress may arise, as described by the colleague who discovered mistakes in the project application he had already submitted:

Self-reproach and anger about myself. Why did you just do this, how could you just do this. And this anger couldn't get out. Thus I always had the feeling, it's eating me up inside ... Anger spreading as a wave, hot, can't get out. I am guilty.

Intentionality. Feelings are intentional. They have a reference, an object varying in extent (e.g. sympathy for a certain person or the whole world) and clearness (e.g. a spider phobia vs. diffuse anxiety or unpleasant feelings). The topic of feeling may be something external or internal, a situation, an incident, a person, or an object, perceived, remembered, or imagined. The feeling reference can cause an association of bodily experience between the person and the object of feeling, varying between fusion (*e.g. to feel at one with*) and delimited reference (*e.g. I feel aloof, I feel alien*).

Integral effect. Feelings colour all psychic functions integrally. Perception may be restricted to the feeling contents, for example in an anxiety attack. In a moment of fright or surprise one can distrust one's perception momentarily (*not to believe one's eyes*). Thinking may be experienced in a state of elation as a light task, with easy changes of contents, whereas in depression it is agonisingly slow, circling the feeling contents, for example the

loss suffered. Feelings release wishes and impulses, like the impulse mentioned above to kick at the cat bowl. Feelings can block impulses, as in depression or in moments of fright (*thunderstruck, dumbfounded*). Feelings facilitate action or complicate it provoking an action change, like the participant from the introspection study, whose boredom initially hampers his reading a book on emotion and finally leads him to interrupt his reading:

The situation was as follows. I was sitting on a train, travelling from Munich to Hamburg, reading a book. This was the book *Psychology of Emotions* by X [he laughs, laughter in the group] ... And I realize that I am bored, I have a resistance to reading. On the one hand the demand to read to the end, to get to know it. But I realize that it turns me off, that I am slightly annoyed, bored. Okay, and then I stopped reading.

Feelings may facilitate or complicate memory retrieval; for example examination nerves lead to forgetting even well-learned topics. Actual emotions may cause one to retrieve forgotten experience with similar emotions.

Process character and Gestalt character. Feelings are processes that vary in duration (from cursory to enduring) and in complexity: one feeling vs. processes with several feelings, e.g. jealousy; the feeling process of a single person vs. feeling processes with several participants, e.g. escalating arguments. Feeling processes have a gestalt character that affects the structuring of experience. Two gestalt features are:

- Figure-ground relationship. Feelings are in the foreground or the background of experience. When in the foreground, feelings are organized in figures experienced as entities, despite manifold elements (sensations, cognitions, impulses) and complex dynamics (e.g. jealousy with an interchange of suspicious spying, heavy reproaches, and fear of loss). When in the background, feelings may include moods, or ambiguous, or cursory feelings.
- Reversible emotional figures with rapidly changing conflictive feelings, like love and hate, up to the clouds, down in the dumps. They are associated with crisis situations and facilitate processes of psychic reorganization (see also Rahm et al., 1999, pp. 67-68).

Feeling processes develop in a dialog with the persons inward and outward situation (needs, goals, state of mind and body; see also Ulich, 1992a, p. 51). They may have an internal or external eliciting condition, which the person perceives. Eliciting conditions are schematic, for example a threat or danger releases fear, while the loss of a beloved person causes sadness. They depend on

interpretation. For example, not everyone interprets an event as menacing. They may depend on the emotional or physical state of the person, for example like the women who, in a depressive state, is saddened by her music, whereas she can enjoy her music while in another mood. Eliciting conditions mirror the person's experience or history, an example is a lawyer's letter releasing fear in a patient because of a bad experience she had with the courts more than 20 years earlier. Feelings processes are also determined culturally; for example Christmas provokes emotion, and ownership of status symbols can cause pride or envy in our culture.

The Functions of Feelings

Feelings have three basic functions: the body-related evaluation or appraisal, the motivation to act, and a communicative effect.

Feelings as body-related evaluation or appraisal.

Through feelings, people evaluate their reference – the object of the feelings – in a way that is integral and body-based. This evaluation is related to current expectations, goals and needs. Some examples from the introspective data:

- Frustration of the wish to learn something interesting about emotions by reading the book on emotions led to boredom and slight anger.
- The successful termination of the project application led to euphoric elation.
- Mistakes detected in the submitted project application caused feelings of shame, guilt, and depression.

Such appraisals can be seen in a schema, with criteria like *novelty evaluation, conduciveness to goals/needs, coping potential, and goal approach* (e.g., Scherer, 2001). The appraisal process is frequently not conscious and therefore not accessible through introspection. The criteria, objects of appraisal theories (Scherer, Schorr & Johnstone, 2001), can normally only be concluded. The result of that appraisal, the particular quality of feeling, is not only cognitive but also an integrally psychic and body-based, moving experience, with a variably strong link to the process of feeling and the object of feeling.

The particular quality of feeling, a more or less intense *transformation of experience of self and world*, may be described using one or more of the following 13 criteria, detected in the currently available data on emotional experience.

- *Focus and extent of attention.* How clear are the objects of perception perceived? How wide is the span of attention? For

example anxiety narrows attention. In euphoric elation perception is less accurate.

- *Clarity of consciousness.* One participant in the introspection study feels numbed by sadness; depressive patients can feel confused. When we all are frightened or anxious it may be impossible to keep a level head.
- *Filtration.* During a depressive mood positive feelings do not penetrate: "Everything is subdued and doesn't reach me." In euphoric elation one takes a rosy view of everything.
- *Readiness for action.* Rage can lead to urgent impulses to take action. Fear can petrify us. In depression one feels paralysed. One patient experienced this as "a loss of spontaneity and immediateness." All his actions require "willpower."
- *Cognitive functions eased versus blocked.* During joy and happiness we can think easily, in depression or panic we block it (e.g. "I couldn't form a straight thought"), or circle around the feeling contents. Speech comprehension, speech production, and memory retrieval can be complicated.
- *Varying bodily processes* include tension (strained vs. relaxed), heaviness versus effortlessness, pressure, constriction, and an impression of heat versus one of cold. In rage or in anxiety one may feel strained, in joy relaxed. Depression may be combined with feelings of heaviness, with pressure on the chest. Joy may be combined with effortlessness, anxiety with constriction, shame with heat.
- *Comfort versus discomfort.* During joy and happiness we may feel comfort, and discomfort during anger, depression, or disgust.
- *Attraction versus rejection.* During revulsion we are disgusted, during infatuation attracted by the object of our feeling.
- *Open versus uncommunicative.* In joy we are open, extroverted; in depression we feel introverted.
- *Familiarity, proximity versus strangeness,* distance to other persons, objects, situations, to oneself.
- *Intensity, brilliance of colours and acoustic apperception.* In euphoria we experience colours as more intense, than in normal conditions; in depression colours appear more flat, wan. During a depressive mood sounds may be experienced as changed, louder.
- *Assurance versus insecurity.* When afraid, we can feel instable; When proud, we are confident.
- *Experience of time.* During boredom and depression our time experience may change, for example we can perceive it as agonisingly slow.

Different feelings are combined with different changes in these dimensions of experience, although even modality of experience may not be addressed. This can be demonstrated by the feeling description already mentioned: "If I am afraid [of X], I

am trapped in myself. I am not able to relax. I can't think of anything else and feel totally unconfident." Here the following combination of emotions is in the foreground of her experience:

- Attention: She cannot think of anything else.
- Tension: She is not relaxed.
- Openness: She is not open, but trapped in herself.
- Assurance: She feels completely unconfident.

The transformation, which is dynamic, is related to one's experience of self, as well as to one's experience of the world. The transformation may be more or less intense and may occur more or less abruptly. Often it is so slight that the individual hardly perceives it. If it is strong and rapid, the person may experience herself or himself or her or his situation as completely changed, "as if a switch is thrown." The following two descriptions by patients illustrate this phenomenon.

"If I feel good, I feel bewitched, as if I am a different person."
"When I left him [after breaking up the relationship], I felt like I was in a different reality. That is indescribable, that feeling. I have such a feeling, well like the first time alone, like really alone. I can hardly describe it in words, what that feeling is. Like in a different reality Numb. It doesn't reach me, what is going on here. I am absorbed by the experience I have just lived through." (Tausch & Tausch, 1979, p. 170).

Feelings as motivational processes.

Feelings motivate certain actions or action probing (mental simulation) by changing the person's body and psychic state, preparing action (or non-action), or by eliciting impulses to act. This change of state may include focusing attention on important information, changing one's readiness to act (up to the impulse to act), and changes in cognitive functions (e.g. ease of thinking vs. blocked thinking).

For example anxiety can lead to attention being narrowed on the situation eliciting anxiety and an activation of flight impulses. Rage leads to an activation with attention being narrowed on the rage-eliciting contents and attack impulses. Joy may lead, through a feeling of opening and ease of thinking, to a need for affiliation. Sadness can lead to introversion, to a narrowing of thinking about the loss.

The most helpful actions produce a change to or a coping with, the feeling-eliciting situation or event in the desired direction. The boredom and anger of the participant from the introspection study who was reading the book on emotion led first to an interruption and then to a breakup of the reading.

On the other hand, feelings like joy or pride, particularly if they are experienced intensely, also lead to communication of the feeling-eliciting event, like the participant from the introspection study who wanted to share his feelings with his colleagues after finishing the application.

If direct action is impossible for the person, feelings can cause action in fantasy (action probing). For example, the patient Mr. S. was angry at someone who gave him orders about his daughter. He occupied himself for several days fantasizing about how he could have acted differently in the situation, and simulating different alternatives with different reactions by his opponent.

The communicative effect of feeling.

Feelings have, in their expression, a communicative function. Emotional expression communicates the emotional state of the person to others rapidly and without verbal communication. It then evolves into an interactive effect. A baby's crying may elicit worried caring. Sadness can lead to sympathy and attempts to comfort. Joy can be contagious. Rage may be frightening, or daunting, or may enrage others.

Emotional expression, which presumably has a genetic basis, is culturally determined (see also Ulich, 1992b, pp. 121-126). In different cultures, different feelings are appreciated as valuable, important, and problematic.

Expressing feelings in public affects one's social estimation and can therefore cause anxiety, particularly if the expressed feeling contradicts social standards or one's own self-ideal. One participant in the introspection study exemplified this dilemma:

OK, and then I am occupied with the question, should I tell it here [in the meeting of the introspection group], should I tell it completely? I toyed with the idea of not telling about this impulse of kicking at that cat bowl, because this would characterize me as an impulsive person. I was occupied with the question: Would I take the risk of such an appraisal or not? OK, and then I realized that to tell about that impulse to kick, that this is embarrassing for me, that this is something like shame.

Children learn which emotional expressions are acceptable and how to control their feelings. The outcome of emotional learning is self-control with a certain amount of control over the expression of feelings.

Although our culture values controlling one's feelings and not expressing certain feeling aspects (e.g. not crying in public), false expressions of feeling can cause denial. Whereas we see authentic feelings as actually experienced, with a correspondence between inward experience and outward expression, we see false

feelings as not really experienced, as "simulated," "played," or "feigned."

Self-control, which should not be confused with a lack of authenticity, may be lost or succeed incompletely, as in the following examples of feelings described by patients:

"There I lost my temper and exploded."

"I can't cry. But I notice that it's here". [points to throat]

"My husband keeps it all inside. I see in his eyes, his face that he feels under par."

The last two examples show two aspects of incomplete self-control. On the one hand we cannot completely repress feelings; on the other hand we may lose control over expressions of feelings; or the latter may result from the former. If we repress a feeling for long time, it may become impossible to express it (e.g. a person who cannot cry anymore).

Despite these limitations we can form emotional communication using expressions of feeling that are both restricted and open to influence. For this reason emotional communication has a "dual nature," as involuntary communication of one's emotional state and restricted but shapeable emotional communication. We form the expression of feelings by amplifying, attenuating, neutralizing, or masking the felt emotion; these are rules of display that Ekman (1972) sets on in his neuro-cultural theory of facial expression.

Discussion

In contrast to the quantitative-deductive orientation of emotion psychology, in which qualitative approaches have only a shadowy existence, in this contribution open qualitative methods were used.

The results show that it is possible to gather rich data about the process of emotional experience using qualitative methods, in particular introspection; unlike many quantitative studies, this method does not narrow experience to some few variables, defined in advance and often abstract.

In the qualitative-heuristic approach that underlies this study, open research questions are of great importance in both data collection and analysis. In data collection they determine how multifaceted and broad the topic of research is. The analysis is governed by open questions, which guide the search for common patterns or similarities and enable the gradual approach to the structure of the topic, connecting all data.

Although a global structure of feeling has not yet been found, the results do demonstrate some essential characteristics and functions of feeling. Thus some of these results confirm the

findings of other researchers. The feeling characteristics *reactivity*, *body-based experience*, *intentionality*, and *personal involvement* are also mentioned by Ulich (1992a, pp. 49-57) as important topics of an "experience-phenomenalistic analysis." Other characteristics have already been described by other researchers, like Damasio's (2002, pp. 343-344), *inevitability* although not using that term.

Also well known are the abstract functions of feeling: feelings evaluate the person's situation in relation to his needs and goals, serve as a motivator of action and for communication purposes (see e.g. Scherer, 1989). New indeed is the recognition that feelings are a more or less intense transformation of the experience of self and world in relation to certain dimensions of experience. In other words, emotional evaluation is formed with that transformation of experience. This recognition has some similarities to Sartre's (1939/1997) theory of emotion, which describes emotion as a magical transformation of the world.

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CHICAM (CHILDREN IN COMMUNICATION ABOUT MIGRATION):
An international research project exploring the possibilities
of intercultural communication
through children's media productions

Peter Holzwarth and Björn Maurer

If somebody - in today's media society - wants to learn something about young people's ideas, feelings and the way they experience the world, he or she should give them a chance to express themselves by means of their own self-made media products. (Niesyto, 2000b, p.137).



In qualitative social research it is particularly important to use methods that are appropriate to the subject under study. Most qualitative youth studies have used discursive methods to gather data. Such language-oriented methods, however, are limited by the subjects' competence in verbal communication. Examples are young children, whose language competence is appropriate for their age but often impedes data-gathering, and immigrant children who are still learning the language of their host country.

The methodological approach we use in Children in Communication about Migration (CHICAM) is a direct response to this issue of appropriate research methods. The project, conducted in six different European countries, involves children with experience of immigration, and an innovative approach: combining non-verbal and discursive methods. The research approach, which is called Self-made Media Productions (cf. Niesyto, 2001b) seeks to establish links with the world of children and adolescents and to give them an opportunity to express themselves not only verbally,

but particularly through their own media productions, which they create with the help of media educators and researchers in the setting of the research programme.

The international action research project CHICAM

CHICAM¹ is an international three-year action-research project (November 2001 to October 2004), funded by the European Commission as a Framework 5 Programme. It involves researchers and media educators from six European countries: Great Britain, Italy, Greece, Sweden, The Netherlands and Germany.² The professional teams facilitate and analyze the intercultural communication processes of immigrant and refugee children (first generation, 10 to 14 years old) using video, photography and the internet. Media productions such as photo-essays and short video films are exchanged via a password-protected intranet platform and the children exchange feedback with other partner groups.

The project began with a review of previous research on and projects involving the media and children from migration backgrounds (Buckingham, 2002; Holzwarth, 2002; Holzwarth & Maurer, 2002a, Westin, 2002). Following pilot phases in the summer of 2002, groups of children in the different countries worked between October 2002 and July 2003 on one-year media projects. In Germany, a group of about eight students (from Turkey, Tunisia, Cuba, USA, and the Dominican Republic) met once a week with a media educator and a researcher. The media educator facilitated the children's media work based on their competence, abilities, and needs. The researcher – as participant observer – kept a field diary recording the interactions and communicative and creative processes; he also documented certain phases on video and conducted interviews with the children and others involved in the project. After the main field phase the research data were shared with the project partners and analyzed.

¹ The project is based on a concept developed by the coordinators, Liesbeth de Block and David Buckingham at the University of London (Institute of Education) and their partners.

The following web sites provide information about the project:

<http://www.chicam.net/> (in English)

<http://www.ph-ludwigsburg.de/medien1/chicam/> (in German)

For a general project description with a special focus on the network-character see: Holzwarth, Maurer, & Niesyto (2002).

² In the German project team at the University of Education in Ludwigsburg, Prof. Dr. Horst Niesyto is the director, Björn Maurer is the media educator and Peter Holzwarth is the researcher. Wolfgang Maier is a further partner at the University of Education in Schwäbisch Gmünd.

Four dimensions of the project

The project has four related dimensions. First, it is both theoretical and practical. Its aim is to produce knowledge about the situations of migrant and refugee children and about the way they can use media to reflect on and share their experiences and present them to different types of audiences. By enabling the children to express and communicate their experiences we can explore how much it is possible to make their voices heard in various public and political spheres.

In addition, the project has both an ethnographic and a media-educational dimension. In ethnographic terms, we are exploring the children's life situations: their knowledge, competence in different fields and the cultural capital they bring with them. In addition we are developing and applying (media) educational concepts to facilitate reflection and intercultural communication.

Methods

The methodological context

Research into the self-made media productions³ (cf. Niesyto, 2000b, 2001b) is a relatively new approach. In this context different types of audio-visual text (photography, video, drawings etc.) are used not only to stimulate communication but also as actual research data. Audio-visual texts may consist of images, sound, and spoken language, in any combination. In an era when audio-visual media play an increasingly influential role in children's and adolescents' perceptions, it is important that researchers not rely on verbal approaches alone, but also give young people the opportunity to express themselves in contemporary media forms. Audio-visual data should not be considered an alternative to verbal data but rather a source of data with a different quality. We see at least six elements of our method worth mentioning here. First, visual and verbal data should be seen as complementary elements that facilitate triangulation, a key element of any qualitative research. In some contexts, using their own productions allows the children to communicate in ways that would not be possible using verbally-oriented methods alone.

The use of visual methods can be particularly important to facilitate expression and communication among people whose

³ To discuss and develop this approach Horst Niesyto and the Interdisciplinary Center for Media Education and Media Research (IZMM) at the University of Education in Ludwigsburg organized a conference in 2000. The discussions and contributions were published in Niesyto (2001b).

verbal competence in the language of the host country is relatively basic. Such people include children, migrants, refugees, and people in underprivileged situations. "For both children and youth, the emphasis on discursive power is limiting, for it usually privileges those only in powerful positions to be heard" (Caputo, 1995, p.35).

A second important element of the methodology is gathering context information (Niesyto, 2000b, p. 147), especially about the production processes. How competent are the subjects when they start producing? How much competence do media educators or other adults develop, based on their existing knowledge? Context information also includes how the young people communicate with each other and with the adults. Information about the participants' socio-cultural and economic contexts can also be very helpful (cf. Schorb & Theunert, 2000), especially in dealing with ambiguity. When a given production appears ambiguous, context information can help the researcher to select more likely or plausible readings from others that seem less likely.

A third element is communicative validation (Flick, 1998, p. 245). When interpreting audio-visual data, the research team can discuss the products and the different possible readings with the children who produce them. This form of dialogic-communicative analysis can occur at different stages throughout the process.

The audio-visual techniques form a fourth element of the approach. Audio-visual presentations can be integrated into the publication, allowing and inviting the reader to form a more complex impression of the material. For example, some teams have integrated pictures into the text or published a CD-ROM with audio-visual material and further context material together with the book.

The publication of "VideoCulture" is an example of this approach (Niesyto, 2003). Especially when working with visual data, researchers must remain aware of research ethics and ways to protect the subjects' privacy. On the one hand, the project aims to present the children's productions to different types of audiences and to explore ways to give children a voice. On the other hand, we want to protect the children from any possible harm. In some contexts it can be problematic to show faces and to mention places and institutional contexts.

As with verbal data, audio-visual data should not be considered to be 'the truth' but simply material that we perceive differently depending on our point of view or background. Academic interpretations should also be perceived as constructs (cf. Pink, 2001). Reflections about different levels of construction (akin to the crisis of representation in social sciences) are of course not only relevant for verbal data (cf. Flick, 1998).

Projects like ours can elicit some tension or need for negotiation between the interests of the children and adolescents on one hand and the expectations and needs of the researchers on

the other, especially with regard to the quality of the end product. Generally speaking, we urge researchers and (media)educators to consider the subjects' needs as much as possible.



Screenshot: VideoCulture CD-ROM

A fifth element influencing CHICAM is action research; the project draws on the research tradition of cultural studies and principles such as context orientation, self reflexivity and creating knowledge that can effect social change (cf. Hepp, 1999).

From a methodological point of view, the project team wants to explore the possibilities of using adolescents' own media productions (photography, video) as a source of data, in addition to verbal data. Such non-verbal data is important when working with children from migrant and refugee backgrounds who are still learning the language of their new country.

A final element is flexibility. Some of the project partners are more experienced in the field of research on migrant and refugee children, others more in the field of media education and media work.⁴ Depending on their expertise and research traditions, each

⁴ The CHICAM partners are the Centre for the Study of Children, Youth and Media, at the Institute of Education, University of London (coordinator), WAC Performing Arts and Media College in London, Fondazione Centro Studi Investimenti Sociali (CENSIS) in Rome, Centre for Research in International Migration and Ethnic Relations (CEIFO) at Stockholm University, Department of Media Education and Media Centre at the University of Ludwigsburg, the Forum Institute of

national research project dimension is led by two partners, who receive data from the others and carry out most of the analysis. The project seeks to explore different dimensions in the lives of migrant and refugee children: the children's peer group relations (led by the partners in Sweden and Greece), family relationships (led by the partners in the Netherlands and Greece) and relations towards school and education (led by the partners in Italy and Sweden).

A further overall question, led by the partners in the UK and Germany, concerns audio-visual communication: to what extent are the children involved in the project able to use forms of audio-visual language to communicate with each other across cultures?



Project dimensions and project partners

Research questions

The following four questions for the research dimension on audio-visual communication were developed by the partners in the UK and Germany.

1. Media experiences: *What media styles, genres, orientations, films, TV programmes, computer and internet activities do the children in the group prefer?*

Multicultural Development in Utrecht, and the Greek Council for Refugees in Athens.

By gathering data on media experiences and tastes, we can examine the relationship between children's experiences of media and their production of it. We are also comparing the children's media experience within and between the CHICAM groups. This data should indicate which media experiences, symbolic spheres, and media cultures the groups have in common. During the course of the international research project, Video Culture, it became clear that common media experiences and common symbolic fields improved intercultural communication; in some cases they made it possible for communication to take place at all (cf. Niesyto, 2003).

2. Production process: *What are the characteristics of the audio-visual language used in CHICAM and where do its characteristic forms of signs and symbols originate? What forms and styles of symbolic processing can be observed?*

In this context it might be helpful to distinguish between culture-linked symbols and culturally independent symbols (cf. Boesch, 1980; Holzwarth & Maurer, 2001, p. 198).

The cultural origins of symbols and elements are very important, they include the (media-) culture of the home country, the new country, and the world.

3. Process of communication and interpretation: *In what ways do the children develop forms of communication and understanding that enable them to exchange, interpret and reflect across boundaries of language and cultural difference both within their own CHICAM group and between clubs?*

Experience gathered during the VideoCulture project (Buckingham, 2001; Niesyto, 2003, 1999a) showed that, within the context of potential intercultural communication with media, it is important not only to consider rational and cognitive aspects of communication (content and message) but also emotional, aesthetic and associative dimensions (the aesthetic style of a video, or the feeling it arouses in the viewer). In this connection, Buckingham and Harvey (2001) point out the importance of keeping the audience in mind to enable reflection and to anticipate possible readings. Umberto Eco's concept of an "open text," which provides space for several possible readings, compared to a "closed text" (in which one reading is very likely or salient) is also helpful (cf. Eco, 1981; Holzwarth & Maurer, 2001, p. 200). The inherent ambiguity of visual texts also requires reflection.

4. Media educational concepts for intercultural communication: *How can children be enabled to develop their intercultural competence in using and interpreting audio-visual media?*

Few concepts on media education for this group of children have been developed. Focusing on media education and socio-cultural differences, Niesyto (2000a) found that in general concepts in media education reveal a strong middle-class bias. He argues for a wider spectrum of such concepts and for 'customization'. Within the CHICAM framework one priority is to develop concepts that encourage both audio-visual and inter-cultural competence.

We collected various types of verbal and audio-visual data relating to these questions (student-productions, participant observation, interviews):

- The products the students produced (photos, videos);
- The context information from the production processes (notes from field diaries; interviews about media experiences; and audio, audio-visual, and written documents on the productions); and
- documents about the processes of communication and interpretation between the groups (notes from field diaries, audio or audio-visual documents, written documents);

The data were collected in different social contexts (which are more and less formal): during the CHICAM club (a group situation), before and after the CHICAM club (interviews with one or two children), in the family or in informal situations (e.g. on the bus, on the way to school, during lunch etc.).

Practical media work in relation to research

The inter-connected ethnographic and media-educational aims in the framework of the CHICAM project make two things possible. First, they allow the children to acquire the skills they need to carry out the project (e.g. to acquire strategies of visual communication). Second, access points for research are provided in the project to facilitate data gathering. This work should be educationally and methodologically sound, especially since the subjects are children.

The practice and field work of media education in combination, provide a socio-aesthetic space in which the various participants' interests and expectations come into play; they can become mutually beneficial and productive, or come into conflict with one another. Research and practical work must be closely meshed, so that the aims of the individuals – the educators, the researchers, and, above all, of the students themselves – can be brought about and considered. To avoid annoyance and disappointment, it makes sense to reflect on these interests openly, comparing, co-ordinating and negotiating as necessary, not only at the start, but also at intervals during the course of the project.

Participant observation does not necessarily mean cautious hovering in the background. The researcher should be ready to take charge of a session, for example when the central theme is gathering data about the children themselves. Media aesthetics can also be the researcher's responsibility, either to lighten the media educator's load, (i.e. when editing the video) or simply to make informal contact with the children. Hence, a researcher also needs some skills in media production (e.g. handling video-editing software).

Subject orientation is a vital criterion in qualitative research. Thus, when media education is used with qualitative research it should be equally centered around the subject (cf. Allespach & Held, 2001). In the context of active media work, subject orientation means taking the subjects' needs seriously, exploring the topics they find especially relevant, discovering their media preferences and tastes, and recognizing their levels of competence in order to provide the technical, aesthetic and social support appropriate for each individual.⁵

The students have a certain amount of media competence and aesthetic knowledge from their receptive experience of media (cf. Buckingham, Graham, & Sefton-Green, 1995). Therefore these skills need not be taught at an elementary level, as though starting from scratch, however convenient this might be for the media educator who wants to work from a prepared curriculum. Teaching material that illustrates media educational or aesthetic points (e.g. how a film can be given aesthetic form) can be chosen from the students' own store of experience, provided that the media educator is aware in advance of the students' media tastes.

A subject-oriented approach requires that the media educator be prepared to depart from the pre-planned model and adapt his educational concept to the given situation. In doing so, s/he carries out field research in media education: continuously observing the current situation and considering the knowledge, skills, interests and motivation of the students, by altering her/his plans accordingly, and reflecting, at the end of each session, on how the students responded to the media educational input. A media educator will only succeed if he also sees himself involved in qualitative research, as a learner who can accommodate new insights directly into the ongoing educational process.

Moreover, when media education takes place in a research context, it must inevitably confront the question of authenticity. The terms "authenticity loss" and "inauthentic" are appropriate when the media educator has such a strong influence on the

⁵ Previous experience in the research project VideoCulture has shown how much people can need support during the production process. This is particularly true for young people who have never worked with video before (cf. Maurer, 1999).

creative process, that the end product no longer reflects life as the students originally experienced it (cf. Schmidt, 2001, p. 53). This is more likely to happen when the end product is intended for public viewing, as is the case with the CHICAM project. Thus a secondary, external standard comes into play. The media educator has to solve a difficult dilemma: how can he assist the project so that its subject orientation is guaranteed, but simultaneously ensure that the final productions are of a quality that will secure the interest of a 'foreign' public? (cf. Niesyto, 2001a, p. 92; Maurer, 2001). In other words, how can he secure viewer orientation as well as subject orientation? The two concepts are not, in principle, mutually exclusive in a research context.

The media educator can, theoretically, support the subjects with sensitively given advice and even counselling; s/he can provide them with insights into aesthetic possibilities and alternatives. The subjects are free to choose which aspects of that input to use and which to ignore. Ultimately, the media educator will always exercise a certain influence on the aesthetic, technical and educational levels, as well as on the content of the media productions the students produce (cf. Niesyto, 2001a, p. 92; Maurer, 2001). At their very best, these productions are "an amalgam of the educators' visions, and the educational aims, made to harmonize with them..., together with the young people's ideas and needs" (Schmidt, 2001, p. 63).

From the point of view of media education, the media educator's influence on the students' learning process is not merely legitimate; it is necessary.

The concept of active media work must allow young people to reflect on both the subject under discussion and the discussion process itself, together with the media educator, allowing them to experience a widening of their horizons (with regard to knowledge) and to develop their behavioural strategies further. (Schell, 1999, p. 53)

Various authors (Niesyto, 1991, Schorb, 1995) also point out the importance of intensively documenting the production process, including the input (and hence influence) of the media educator.

Combining practical media-work with research:
Some examples

Another important challenge for media educational work in a research context stems from the need to assign specific activities to each of the research questions and methods. Which research questions can be best answered with which 'media models'? And which approaches will allow the subjects to experience the

research activities as an integral part of the educational concept, rather than an annoying interruption of their production work?

Table 1 (see next page) contains some examples of activities that we consider appropriate for gathering research data. We discussed or applied all of the examples within the context of the project.

Table 1:

Practical media work	Research
Media collage (with photos and cuttings from magazines)	Media experiences and preferences
Photos of daytime activities taken with disposable cameras	Important places, actions, objects and people in the children's lives
Photos taken with disposable cameras on the subject of friendship; photo-essay "My Friends"	Information about friendship (age, gender, cultural backgrounds)
Miming their parents' profession (videotaped by other children) and asking the others to guess	Information about family and social status of the family (may include the reasons for migration)
Children use photographs of their lives in their home countries to arrange a small clip with music	Information about the children's experiences in their native country
Photo-essay about their likes and dislikes (general or specific)	General orientations
Children bring objects from their home countries to integrate into a media production	Information about their lives in their native countries, ways of remembering important aspects

The productions themselves are visual or audio-visual material that the researchers can analyze perhaps also referring to context information and to whatever the children say about their

work. They can also stimulate conversation about the research topics. Considering their less developed language competence, it is important to keep the interviews based on concrete items like pictures, films, objects or forms of visualization (cf. Fuhs, 2000).

Conclusion

Based on the experience gathered so far, we can say that using their own media productions as communication links makes it easier for children to talk about their world and living environment. It is becoming clear that these works provide openings into the children's world which language barriers would otherwise render inaccessible. Combining research with practical media work helps to create a research process which is characterized by reciprocity and sharing. The children involved in the project reveal insights into their experience, and the adults provide attention and help them to acquire media skills, and to gain new and enjoyable experience. In addition to the learning and social experience, the finished products represent something concrete the children can take with them from the project. A further advantage of this approach is that the media work generates various kinds of informal, unofficial situations in which data can be gathered. We hope that this interesting – and demanding – approach will become more widely used and will give a voice to research subjects who would otherwise remain unheard.

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The educational value of *Don Quixote*: Inter-disciplinary development and analysis of teachers' discourse

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In our research, we reflect on and evaluate the kind of educational sense that our literary masterworks should make. In fact, teachers must pay attention to the quality of narrative-poetic and creative discourse in order to reach their educational goals and to develop professionally. We see at least four such goals:

- To help students acquire an investigative discourse, which they can call upon to express themselves in daily situations.
- To develop integrative thematic groupings combining students' knowledge and experience in various areas. They also search for deeper meanings in the master works.
- To develop students' habit of reading, to get closer to the books most studied in the scientific community, to reach out with common sense to some everyday problems in families and educational communities, and to recognise the need for thorough analysis.
- As a team, to write about the core human values. Through these activities, the class creates a culture of respect for each students' own identity and the teacher's individuality in a frame of collaboration in the teaching process. This work also improves the educational institution and builds community.

Rationale for the research

Any study of *Don Quixote* reminds the reader of the multicultural complexity in Spain and the European Union today. In response, our study seeks the most genuine human values in an uncertain world and aims at their continuous evolution in technological and relational terms.

We believe students and teachers must seek new values and discourses to help rebuild educational institutions and improve the atmosphere of interaction. In fact, *Don Quixote* provides an opportunity to work in a dense and fertile field, completely multicultural and singularly related to the transformative discourse of the cavalier, of the chivalric culture and the conversational discourse of the villagers represented by Sancho Panza.

Our aim is to move from Cervantes' actual discourse to the continuous transformation it suggests in the present. Thus, we raise several questions:

1. What value does the book *Don Quixote* have for teachers, particularly in secondary education?

2. What interdisciplinary roles can the book play for secondary education teachers?
3. How can the book help teachers work with the new focus-themes, integrative didactic units, and specific problems in interdisciplinary work?
4. What kind of interdisciplinary culture do masterworks have and how can teachers use them?
5. How can teachers engage in their own personal and collaborative self-analysis among themselves and with their teaching discourse?
6. What kind of opportunity do masterworks like *Don Quixote* provide for teachers to comprehend and improve their teaching in innovative ways?

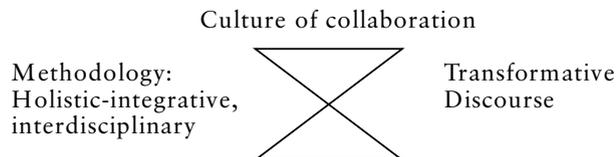
These questions summarize our concerns and show how complex the processes of teaching and learning are for teachers who aim to teach interdisciplinary subjects in a collaborative classroom culture.

Most masterworks have a well-structured discourse, which reaches beyond the confines of the historical background, and try to synthesize the most valued deeds of the past. But they face a disadvantage: they cannot foresee or change the present. This makes it harder for them to contribute during this period of active Globalisation.

These issues lead us to reflect on the educational values of *Don Quixote*. In fact, the discourse about this text is continuously developing and consolidating and teachers must combine their own professional knowledge of the book with the aims in teaching.

We question the holistic-integrative sense of the culture of knowledge using our own deep and interdisciplinary knowledge *Don Quixote*. This well-known novel contains a topical narration of contrasts with a fluid dialogue and acceptance of diverse opportunities to live in relationships and is an essential part of Spanish culture.

To develop an interdisciplinary vision will require a creative and shared discourse, on topics unlike the global and general works which teachers have used to rediscover the history of disciplines and synthesize most of the relevant concepts, terms and ideas, used in a global sense.



To develop the discourse around *Don Quixote* researchers must deeply understand the disciplines as they have evolved conceptually. The meta-language of each theme can be the basis of a new communicative style for teachers who have specific knowledge to contribute in each subject, but this requires a new architecture of ways to communicate, derived from literary masterworks like *Don Quixote*. An interdisciplinary vision finds its concepts and grammar within the content of psychological literary works, so it is a useful context for making decisions that will affect teachers. Furthermore, by considering the different disciplinary visions, it will be possible to create a compromise, a space where academics and teachers can work together.

Rationale for the method

The coherence between the qualitative perspective and the holistic-integrated method, based on our analysis of *Don Quixote*, has the potential to transform interdisciplinary teaching practice. This is brought about mainly by our research methodology:

- Teachers describe their experience of teaching *Don Quixote* in their area of professional knowledge.
- In discussion groups, professionals engage in dialogue about the teaching process that new teachers followed.
- The experts compare their ideas, using the Delphic method, about the expressive reality of the masterpieces and how they can be used in secondary education.

These methods are complementary in several ways. First, the narration method has the potential to elicit individual participants' experiences. Helped by general questions, this leads them to self-reflection, and is coherent with the problem and the frame of this research.

Because the discussion group focused on the novel, they could share reflections about the sense and direction of their own biographies, which was mutually enriching. The discussion became a reflexive dialogue, which allowed all participants to share their points of view and to reinterpret each other's narratives.

To fill in the gaps between these two methods of data analysis we had the dialogue with experts, one of who muses this same teaching method. This led to a certain level of reflection which complemented the reflexive analysis. In fact, the experts read the narratives and some of them even coordinated discussion groups to analyse data.

This process created the background for the meta-reflection needed to improve the teachers' ideas. To complement these methods, we have developed a series of questions which try to

uncover how *Don Quixote* fits in the processes of teaching and learning, how teachers value this work, and its real uses. We have three main questions:

1. How do secondary students understand and value *Don Quixote* and how is it really used in teaching and learning at that level?
2. What discourse is used in class and how can *Don Quixote* help improve both teaching and professional development?
3. What potential does *Don Quixote* have for creating an interdisciplinary discourse among teachers?

We chose to use the triple method outlined above because of the many meanings of *Don Quixote*. In fact, *Don Quixote* itself raises some representative values and issues in creating a teaching discourse. We also considered Cervantes' rich knowledge of the actors' speaking style because it allows us to analyze the work as it arises in the participants' conversations. In fact, we developed our survey in an open shared dialogue among teachers.

Description of the project

The narration gains, with the past discourse, the intention of lasting in the time. Actually, the teachers need to feel comfortable expressing their rationale for teaching: to gain deeper knowledge, to improve a professional project, or to discover which aspects fit together and which changes are most desirable. They tell their stories as a reflexive discourse, a meta-discourse. Shared with other teachers, it becomes more explicit and they discover deeper truths about reality. They base their narratives on their analysis of the tasks of teaching using their written, non-stop observations of their classes. Some also have exhaustive records and registers for at least one academic month that have contributed to our study. Thus, they can enrich the conversation with self-interviews or directed questions shared between the group of researchers and the teachers in the discussion groups.

Our rationale for this work (Medina et al., 2002) is that the discussion group presents great research options: they make the conversations more subjective, revealing genuine contrasts between the participants in the discussion. In fact, the discussion has its own field notebooks and audio records, the discussion leaders push them to see contrasts in the data and between people. Two observers from the research team are also present. Afterwards several teaching colleagues and researchers engage in an analysis and common discussion.

The dialogue among experts, especially those on the research team, considers the gaps that emerge during the procedures above, and open up new areas for reflection. The experts discuss

these discoveries and consider the value obtained by self-interviews and directed interviews made by teachers at three different secondary education institutions and in different geographic areas, in Madrid, Alcalá (Cervantes' home city), and Córdoba.

Although this is a case study, we believe it makes a very rich contribution.

The didactic discourse: Its interdisciplinary emphasis

The most prominent value of this work, of teachers collaborating to teach the literary masterpieces, particularly *Don Quixote* is to find the forms of expression, the focus of attention and the sense of transformation which should appear in their stories, revealing the ideas and processes that are most often the object of teaching and formative learning for the students. How can we use the book to develop a didactic and yet collaborative discourse?

Our thesis is that each teacher builds their own style and model of didactic discourse. Teachers contrast Quixote's idealist discourse with Sancho's realism using paragraphs from the novel. However, their schools have no exhaustive process or "ad hoc" knowledge of the action of teaching. Furthermore, consolidating the didactic discourse is a more complex process that engages each student in a flexible and empathetic atmosphere where teachers can communicate openly, particularly secondary teachers and their students. Thus we propose is to think about the processes which are necessary for consolidating the institutional and interdisciplinary discourse. We see three such processes:

1. To comprehend the didactic discourse, its meaning and evolution as an intellectual effort.
2. To understand and know explicitly each teacher's habitual discourse in class, as well as exchange among teachers and teams in centres and the educational community. In fact, the teachers made an excursion with some students to Ciudad Real, Cervantes' village, in order to see the historic printing house. They also studied Cervantes' role as editor and the literary value of the novel with its rich vocabulary and images. In addition, this group looked at paintings and listened to music of Cervantes' period to compare them with those of the present.
3. To understand the different experiences that create the most innovative educational techniques and help teachers stay in touch with the investigative-expressive side of their nature that identifies completely with the values, the details and a world of permanent change. Those who build the discourse about the issues must classify and characterize the vision about the multiple academic realities (interdisciplinary and

contextualized) that teachers should use. Actually, such a discourse requires agreement and collaboration among the whole educational community, including teachers.

Each concept raised by the didactic discourse, requires that teachers acquire deep knowledge of their habitual discourse in class – key words, prominent metaphors, important symbols – and to interact with the students' work.

The teachers need to recognise and understand the expressions and connections the key terms create, how the tonality and "non-verbal" harmony are integrated, how the gestures and the orientation of the gaze interact. These codes accompany teachers' own individual ways of developing their work in class, in every part of the institution; they are not a mere substitute for tutorial work.

Teachers' self-analysis of their discourse and their own personality requires a more creative approach: based on the evidence of sense and meta-sense of the emerging tasks, looking at ways of interaction and rich introspection of each basic human being, and estimating the value of gestures and actions in an emphatic and collaborative way.

The discourse is explicit and has been identified in earlier projects using audio and video records, multimedia and video-conferences. These experiences make the teachers conscious about the particular process they follow in an exploratory class when they show the most representative actions which they understand as improving the ecosystem around them and is transformed when people participate. The didactic discourse is essentially interactive and investigative. In it, they create a personal and contextual closeness that reveals a deep sense of human nature.

We made a survey among teachers, students and a group of qualified teachers. Here is a sample of the list of questions that we made and the answers given:

	NARRATIVE	GROUPS DISCUSSION	EXPERTS
How can the knowledge of literary works improve the teaching discourse?	Enrichment of the teacher's and students' vocabulary •Use of literary citations to improve the discourse. •Use biography as key for formation. •Relation of different areas. •Discussion about its possible use in	•We must find the value in teams for improving collaboration and the way of teaching. •Students see and contrast teachers' way of using as reference the literary works for making a coherent discourse.	Delphi's method •The literary and philological works must be studied, recommended and comprehended by teachers. •The vision of master works enrich the discourse and helps teachers and experts as

	areas like biography; it is an excellent reference.		essential reference for inter-discipline.
How do you use <i>The Quixote</i> in the teaching of your area?	Linguistic help, knowledge of the literary language of the XVII century because there are different styles in the novel. •Compulsory education of the Language and Literature Area in fourth grade of la E.S.O. •Teachers of Biology and Environmental Sciences made a scarce use of the novel, except one of them.	Teachers in teams talk about the particular use. Also there is a non systematic inclusion in Science areas, especially Geography and History, when they talk about the XVI and XVII centuries. For teachers of language this novel is essential	Experts consider the use of this novel as a generalised utilisation. Also there are a rich knowledge of the modern society and a great help for the actualisation of the educational institutions.
From which vision is <i>The Quixote</i> used in its teaching?	The Quixote gives tons of symbols and mocked intentions to institutions and narrowed minded ideas. There is always a help to the language area and for other areas help them to show a different perspective of Nature, cities and people's attitudes.	•Novel of great options for showing people's value and the complexity of institutions. There is a historical time of change from the Austrias Empire to another Age.	• Ideas to understand the world and the change from the knights' books to the realist world where characters struggle to survive.
•How do you value <i>The Quixote</i> for improving your subject?	Teachers from the Language area value greatly the novel for its language and literary worth. From the Quixote's Idealism to Sancho's Realism, we pass through fidelity and perseverance of the character's dream. But there few students who are not interested in the language of the book. In Alcalá, people think that the book gives new reflections and has a great value.	•There is a disagreement between areas. Language thinks that this book is essential to explain history while Science, especially Geography and History, does not accept it.	An inter-disciplinary frame of the work, intrinsic value of the book for the formation of education, which is one of the singular contributions of the literary master works like <i>The Quixote</i> .

What kind of contribution does the novel give to the teacher?	The reading, teaching and reflection of the work has given positive experiences such as recognition of the students' features and the teachers' illusion for their task. Although people from other areas that Language say nothing, except one who thinks that the novel is in actual present.	Teachers of the Language area recognise the value of the novel for widening the knowledge, vocabulary and the retroactive perspective. Notice the compromise of authentic people and the scarce contribution of people of Science.	•Reading again and the contrast among literary works help to the reflection and improving of the professional teachers' style when they make the effort to discover the present and knowledge.
Explain a valuable experience as teacher using the book.	<ul style="list-style-type: none"> •Literary work and Linguistics. •Literary and written composition. •Novel technique. •Humanity and transcendence in the main characters. •Influence and impact of The Quixote. 	•The novel is for professional education due to its richness in material, scenes and episodes. The book can be used in all areas and made me choose the teaching career.	•The experts' vision, contributed by some of the chiefs of the departments, has experienced the integration and inter-disciplinary of The Quixote. Also the teams are restricted in number so there is an invitation for reflection and to experience the inter-disciplinary task.
Can you detail this experience? Where and when did it happen?	<ul style="list-style-type: none"> Analysis of texts and widening of vocabulary. •Rich in habits, literary genres, structure, etc. •Study of the literary genres and domain of the morphological and syntactical analysis. •Selection of phrases ad hoc. •Creation of poetical language. •Contrast with other sources. 	•This department has made several experiences through narration and theatre improving the level of discourse. We hope that would happen the same in other areas.	•To create the best exhaustive and satisfied personal and inter-department relations for a better collaboration.
With which kind of students?	Descriptions of La Mancha and of human beings. •Several academic years in the educational centre (third and fourth of E.S.O. and first and second grade of BACHILLER).	•The students from Bachiller are the best to comprehend this work, but its reading and representation is made in all levels of education for improving the level of teaching.	•Study from students of Primary School to University, especially of Secondary School: compulsory E.S.O. Or Bachillerato or post-compulsory.

	<ul style="list-style-type: none"> •Majority of students from the years cited above. 		
<p>Value your experience in the use of the novel taking into account:</p> <p>•Which kind of tasks do you point out?</p>	<ul style="list-style-type: none"> •Basically the teachers' tasks have been individually and by their own, scarce collaborative work. •Literary and language reference as in the description of sources in the area of Science of Nature. 	<ul style="list-style-type: none"> •The Quixote gives a humanist knowledge, narrative forms and the most genuine historical and literary heir from the XVII century. <p>Other tasks to point out are:</p> <ul style="list-style-type: none"> -To teach students into narration. -Capacity of the teachers to choose master works. -Establish the real values for teaching and living. 	<ul style="list-style-type: none"> •Point out the narrator's role to compare the dialogue of contrasts such as the utopia and Realism, essential and ordinary values, chivalric books and the emergence of the picaresque genre. Because of this, to discover the present impact and the projection of the books is a hard task.
<p>Introduction about The Quixote.</p>	<ul style="list-style-type: none"> •Work of the department, success in the Language area, more than other ones, due to the didactic use of the novel. 	<ul style="list-style-type: none"> •The Quixote is situated in Spain, particularly in three areas (Madrid, Alcalá y Córdoba) where our teachers work, linked to the Cervantes' figure. An holistic, integrated and inter-disciplinary vision must be needed. 	<ul style="list-style-type: none"> •Formative task of the novel for teachers who consider it as an inter-disciplinary work due its cultural value and its impact in the teachers' discourse and the students' integrated education.
<p>•With whom have you developed your experience (colleagues)?</p>	<ul style="list-style-type: none"> •Pointing out more collaboration among colleagues. There are a scarce collaboration among teachers and also among departments. 	<ul style="list-style-type: none"> •The colleagues of the Language department agree about the teachers' illusion for the novel, but there are not enough culture and an inter-disciplinary thinking about the book and the biography of some well-known characters. 	<ul style="list-style-type: none"> •The culture of the inter-discipline and the integration of knowledge is scarcely developed and there must be a more effort in the collaborative and interrelated discourse among teachers.
<p>•What other features do you point out?</p> <p>•Which materials do you design?</p>	<ul style="list-style-type: none"> •Most used means and texts are: - Selected books by several publishing houses. -Books of The Quixote in different editions. 	<ul style="list-style-type: none"> •Agreement among teachers about the necessity of the use of the mass media such as library, computers with great generalised links that can be connected with 	<ul style="list-style-type: none"> •Teachers must collaborate in the design and all the rational and creative means. We must take into account the importance of Fondos Cervantinos and the Cervantes

-Specific videos, reading books and particular representations.	classic means like the Cervantes Foundation, libraries, hemerotecas, etc.	award of literature, besides all the means that we have such as libraries, Internet, Fondos Cevantinos: University of Alicante, etc.
-Use of new technology.		
-Selection of a book in an old edition.		

Preliminary summary

This study is connected with another one conducted by Medina and Domínguez (2001), which tried to elicit a collaborative culture and to improve the processes of teaching and learning in the areas of secondary geography and history. Our study focuses on the inter-disciplinary culture and on the implicit and explicit values of *Don Quixote*. This paper also deals with the construction of an inter-disciplinary teachers discourse.

Our research points out the importance of a qualitative methodology and a three-part method to improve professional knowledge and to elicit data that can address the problems that arise from the research.

Nineteen teachers and fifteen students participated in our survey. We selected the people to interview based on their professional knowledge and their geographical situation: 6 from Madrid, 6 from Córdoba, and 7 from Alcalá de Henares.

This process led to five key questions for the teachers to discuss and synthesize.

- 1) How often do you use *Don Quixote* in your subject-area teaching and in creating class discourse?
- 2) Has the use of the novel improved your level of teaching, in terms of your
 - professional knowledge,
 - self-image as a teacher, and
 - your values.
- 3) How highly do you value *Don Quixote* as a reference work-in your subject?
- 4) Which aspects are the most relevant for the quality of teaching using the book?
- 5) What kind of inter-disciplinary work has this experience fostered? How can we improve the integrated teaching, the collaborative thinking and the emergence of a discourse of quality and comprehension among teachers?

After analyzing the data through the three complimentary methods(see above), we reached the following results.

Findings

1) The didactic use of the novel does improve the level of teaching, especially in specific subject areas. It also leads to innovative constructions of knowledge and ways to present it. By far the best way to communicate knowledge is through discourse, which is based on the way of teaching for its permanent dominion, variation and strictness.

2) What other works can improve this success in the narrative-expressive parameters and enrich of the human way of life and communication?

The program's introduction to *Don Quixote* welcomes improved teaching and both personal and professional analysis. It also invites teachers to reflect, to clarify their experiences in terms of ideals, transformation and compromises, accepting that reality is always changing and opening themselves to dreams while ignoring daily problems and common-sense solutions. Both typologies are reinforced thanks to a dialogue and a "worked synthesis" which is appropriate for the teachers' collaboration and transformation.

Through this dialogue, the teachers in the Language and Literature area generated a vision of creating a new discourse. They are quite conscious of their role as educators who must make many contributions to the artistic field, in terms of values, backgrounds, rich narratives, and innovative roles. The selection of these works show how points of view about cinema, literature and theatre can differ so much.

3) How do you value the novel in the educational field given your experience in your area?

The teachers' answers are clear, especially those who chose their careers after reading Cervantes' work. However, the science teachers had less experience in using these masterworks because the books are not valued in their classes. Nevertheless, there are exceptions.

The teachers agreed verbally that they were satisfied and saw great benefit from this book. In fact, they see improved collaboration among departments and in the narrative expression of their discourse.

4) Which aspects of the novel most helped your class? The teachers in the language area listed these benefits:

- Widening and enriching of vocabulary.
- Rich and fertile narrative style.
- Essential content for socio-historical knowledge.
- Contributions to the semantic, syntactic and morphological analysis of the language.

- Implicit and explicit messages about the background.
- Geo-historical knowledge of the society, regions and ecosystems where the characters lived.
- The possible visions of the world, provided by the sane Sancho and the insane Quixote, are shown in a permanent and enriched dialogue that presents archetypes, the complexity of communication and need to try to live with others who are different and less organized.
- The novel is a psychological and didactic creation which shows how people try to overcome problems in a society in crisis and their troubles as teachers. Cervantes had a great communicative-expressive capacity to present two extreme personalities. On one hand, we see the knight's folly, linked to an imaginary world with a geo-historical-personalized frame. On the other hand, Sancho's realist discourse is linked to the real problems of the micro-world and adapted to his knight-master's surprising adventures.

5) Inter-disciplinary experience, integrated teaching and collaborative work.

Teachers of language have tried to teach this novel in an innovative and creative way, though teachers in other areas have not shown the same aim.

Medina and Domínguez (2001) see the need to work harder toward creating a collaborative culture and encouraging integrated teaching to create inter-disciplinary processes that will transform educational institutions.

These teachers agreed on the need to promote inter-disciplinary knowledge for the construction of the integrated and inter-disciplinary discourse. This discourse is helped by the study and analysis of master works, shared communication, and the integration of the work and analysis of *Don Quixote*. It also complements other works and general biographies that teachers could share.

The new discourse has common sources because masterworks provide vocabulary and inter-cultural styles of inter-cultural reflection, which provide spaces for communication and ways of understanding that satisfy all teachers.

The discourse of *Don Quixote* and its influence on the creation of the teaching discourse

Don Quixote creates a discourse with semi-mythical characters and produces a unique narrative style, which synthesizes the most valuable cultural inheritance from the chivalric tales. Moreover, it is a turning point between the end of the Renaissance and the mockery of chivalric values by the witty and cavalier main character.

Reading the classics gave the teachers flexibility in their discourse, and an investigative knowledge of multiple ways to find meanings in individual or teams study. We believe that if people could take charge of their own discourse, they would become better able to express their emotions and feelings. Using this vocabulary correctly allowed the teachers to transform their way of teaching.

The discourse in *Don Quixote*, created by Cervantes, is full of metaphors, ways of expression and synthesis of the most bourgeois language terms and various laborers: peddlers, messengers, venteros, arrieros, farmers, shepherds, etc. In fact, Cervantes used the contemporary social semantics and syntax to express this knowledge. He was a master in the use of the narration form and he showed his wide knowledge of the chivalric world

Reading this book with the students gave the teachers a chance to reflect and consider because it contains a mixture of the most important chivalric values such as service, protection of the weak, recognition of love, and dedication to good causes. But *Don Quixote's* delirium blurs the reality as in the episode with the windmills that he considers giants to be overcome.

This creates a contrast between the most classical chivalric values and Don Sancho's realism and pragmatism, which represent the common farmers' sense and knowledge: they see problems in their concrete dimensions. This contrast allows teachers to show the complexity of situations, of the two visions.

How were Quixote's knowledge and the development of his teaching used by the teachers in their discourse?

It is hard to anticipate the process of creating a teaching discourse, given the different social-communicative needs in each classroom and the teachers' creative activities. In fact, not only is the knowledge about Don Quixote presented in a semantic, syntactic and narrative-linguistic way; it also allows the creation of a wide process of interpreting general knowledge. In addition, the imaginative and realistic characters' lives of that time allow fertile analysis, both personal and interpersonal. An example of this is Cervantes' triple portrait of his society. First, he situates the action in a specific place. Then, he richly explains the knights' way of living and their customs. Finally, he defends the chivalric values of protecting the weak and worshipping the beloved one. In fact, these values are used as models of behaviour nowadays.

The professors' way of teaching and their exhaustive analysis of *Don Quixote* provided essential elements for developing a discourse which will produce a rich knowledge in the class. These elements are the basic characteristics and linguistic keys for consolidating the didactic communication.

Teachers create a didactic discourse when they generate a flexible and investigative communicative structure from the most prominent basis and concepts. This discourse allows them to explain their ideas to the students and to acquire a rich style for responding to the continuous challenges of the personal and academic reality.

The teaching tasks require a creative frame and deep social and historical knowledge so they can develop their own discourse to explain reality to others. However, in each historical age people try to consolidate a unique discourse reflecting their own reality. Thus, the didactic discourse must draw on the most representative deeds from the past, but use current vision to evaluate the most characteristic events of one time.

How can we characterize a prominently didactic discourse with a current vision reconsidering and accepting the best values presented in *Don Quixote*?

The main task is creatively teaching the novel's discourse, considering its historical potential from a present current perspective and analyzing the key contributions. Moreover, they must reconsider the specific didactic interpretations that they and their students make, considering the geographical situation because the images in the book are examples of humanity and the human contrasts (for example, Quixote's idealism versus Sancho's realism).

The creation of a fluid discourse, investigative and completely didactic, depends on finding new human forms, conditions and situations but narrated genuinely in Cervantes' historical ecosystem. The basic elements are the most vibrant contributions of the participants. Furthermore, as this is an interpretation of the discourse in a socio-historical ecosystem, it must include the excitement of the present time and the description and recognition of the best-known characters.

The creativity in closely reading *Don Quixote* lets teachers reveal the metaphors, find the most representative attributes and turning points of the book, and help students find ways to understand and live the teaching-investigative reality. This process increases expressive fluidity, so we should pursue the clearest meanings and find answers that give us ways to describe the reality, the existential situations and the processes of collaboration in centers and classes. Moreover, teachers are conscious that they must work hard and with vision to create the most adequate discourse for the students and the most engaging one for the educational community to adapt. In addition, teachers can compare the geographical places of the text and the actual ones arriving at the conclusion that there is little difference between reality and fiction. For example, Villarta de San Juan and Puerto

Lápice, both cited in Cervantes' text, are real places in Spain so the author must have conducted exhaustive research about them.

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Part Two: Group Sessions – Workgroup 2

Gender Differences as Relational Processes: Reflecting Reality Constructions in Interviews

Julia C. Nentwich

The 11th Interview: I arrived in time at Company X to have an interview with Ms. Meier. This would be the last in a row of 11 interviews with equality professionals in Switzerland. This one was somehow special because when I initially called the company to talk to the official equality representative I had been told that they did not have an official equality representative, but that I should definitely talk to Ms. Meier as she is somehow the informal one and involved in a lot of change efforts towards more gender equality in the company. After the first telephone contact my impression of Ms. Meier was of "a complaining victim." I remember her saying that a lot of change would be necessary in this company but that this would never happen and that improvements are very slow and came just in little steps. Women still have to fight a lot she said. All this goes through my head while I am waiting for her at the reception area for some minutes. Finally Ms. Meier arrives and guides me to a meeting room where we can talk undisturbed. On the way she asks me a lot of questions about my job and what I am doing. I feel a little bit interrogated and wonder why she is that curious about the university institute.

To begin the interview I ask her for her opinion about why her name was on the receptionist's mind when I asked to talk to the gender equality representative. The answer is easy: she has no idea and no clue and does not even want to think about it. Wow! I am talking to somebody and the start of the interview (to which she had agreed with great interest) somehow is at the same time the end – she does not know why I should talk to her. I try to go on with my interview guide, but without great success. Either she refuses to answer my questions because they are too general and reality is not that easy in her eyes or my questions are too concrete and she does not want to talk about the intimate details of the company. Hmm. I am puzzled. The frustration I sensed in the telephone call is gone. The company now is great in terms of gender equality – compared to other companies. One always has to see it in the societal context, she tells me. As if I would not know... but we are in an interview and my aim is not to show how much I know but to get her talking. But how do you get someone to talk if the someone does not want to? I decide to dump the interview and to stick to one last objective: getting out of here without losing face. My questions are polarizing and the way I am asking them will not provide good data for my dissertation, she tells me. Aha. By "polarizing" she means that I am talking about

women and men and differences or similarities. But I did not talk about my attitudes – I asked if this is relevant to her. It is not. That is more than obvious. But neither can she answer the question of what is important to her. I feel helpless and it is even getting worse, the interaction starts to feel more and more aggressive. Now she is accusing me of being stuck in a "seventies feminist discourse." This is too much, too much for a constructionist feminist of the third generation. I am finally punching back, leaving the "normal path" of the interview. At this point I start to see the situation as a game. If she wants a contest about who has the better way of thinking, ok, she will get one. I ask her what she means by "seventies feminist discourse." And finally I am getting an answer: looking for differences and constructing women as the victims, men as the bad guys. This is definitely not her way of doing things and - giving me good advice – I should not do this either. Am I doing this? I did not realize it, but, well... maybe my questions could be understood in this way.... Finally, after 45 minutes I make my way out of the room. Puzzled and frustrated and angry. What went wrong? What did I do that she reacted to me in that aggressive way? This interview felt like a disaster.

Gender differences as relational processes – reflecting reality constructions in interviews

The situation described in the "11th Interview" made me think about what had happened and "what went wrong" in the course of the interview. But it also made me wonder what had happened in the other ten interviews where I did not have this feeling that everything went wrong. How was it that in all the other interviews we seemed to understand each other and did not have to fight about what the topic was? Following Järvinen (2000, p. 371) who says that "our unsuccessful interviews can teach us something about our successful interviews" I will try in this paper to find some answers to these questions, looking more closely at the construction process that takes place in the interview situation. If it is possible to construct different understandings of what the interview is all about and what the reality of every question is, how is reality mutually constructed in the interview situation in the first place? How is understanding or misunderstanding constructed in an interview? Analyzing this construction process I will focus on the notion of relating (Hosking, 1999; Hosking & Ramsey, 2000; Dachler & Hosking, 1995).¹

¹ So far little has been written about the aspect of reality construction and relating in an interview context from a social constructionist perspective. But a few papers are of interest for the point I want to make here. Focusing on the issue of relating in qualitative research

Developing the concept of a "process of relating," I will come back to the construction process in my research study of different understandings of gender equality in Switzerland², and will try to give some answers to the question of "what happened in Interview 11?"

Constructing reality in relationships: the role of the researcher in constructionist research

...the researcher's position is something like Escher painting a picture of himself painting: a view that stresses research as like all other relational processes and the researcher as like all other participants – part of the construction process. (Hosking, 1999, p.126)

In the constructionist view, the interview is a situation where reality is constructed in a meaning-making process and through the relationship between interviewer and interviewed, jointly explicating accounts and drawing on discourses to (re)construct their reality or view on gender equality (cf. Holstein & Gubrium,

designs in the sense of relationships, Bourdeau (2000) explores the similarities and differences between an interview situation and a therapeutic setting; Ceglowski (2000) reflects on her relationships to the research partners in her study as well as to her mentors and tackles the issue of objectivity and subjectivity in qualitative research comparable to the discussion about "going native." Järvinen (2000) reflects on the construction of meaning in life story research and how so-called "successful narratives" in the eyes of the researchers are constructed. More in line with the notion of relating as reality construction investigated in this paper, Howarth (2002) focuses on the construction of identities in the research situation from a social representation perspective. She concludes, as I do, that it is important to reflect the relationship between researcher and researched, not because it is a methodological problem in the sense of producing artifacts or biasing the results. According to her, "This is not simply a methodological problem. Difference is the fabric of day-to-day life in today's hybrid societies. The misunderstanding, the anger, the pain, and the guilt that one's positioning brings forth are the substance of contemporary self-other relationships" (p. 30).

² The goal of the study was to explore the question of how gender equality is constructed in the German-speaking region of Switzerland. I conducted a total of 11 problem-centered interviews (Witzel, 2000) between July 2001 and February 2002. The interview partners were all female: three equality representatives in state bureaus, one president of a women's organization, four equality professionals in charge of the equality policy in different companies, two representatives of a public organization and one female CEO of a small company. My analysis focused on the topics and accounts they used in describing the daily work with the equality policies and arguing for certain aspects of change (see Nentwich 2002 for the interpretations of the study).

1995). Interviews are not "pipelines for transmitting knowledge" (Järvinen, 2000, p. 371) but a situation where both partners are negotiating about a certain construction of reality. This does not mean that they have to agree about every issue raised in the interview; it does mean that they have to agree about the applicability of the discourses and accounts used to make a certain issue arguable in the first place.

Therefore it is the topics, accounts and discourses provided in the communication process in the interview which are of interest in the analysis and lead to a better understanding of the processes of constructing gender in general. But it is not only the content providing information about what gender is but also how the researcher and the interview partner relate to each other: the relationship³.

Hosking (2000) calls this understanding of knowledge and science "multilogical," in contrast with the traditional understanding of "monological." She sees the consequences of this different understanding especially in the role of the researcher. In the traditional monologic understanding of science, she says, "the researcher writes the script, directs the process, and decides where to present the show. She does so by constructing, e.g., research aims, what counts as knowledge, how the process will go on, and where the results are reported –all in relation to the local cultural 'game rules' of science" (p. 2). In the multilogical (constructionist) understanding of science and knowledge "the researcher's standpoint or logos (reason, argument, discourse) becomes viewed as one of many possible standpoints" (p. 10).

This means that the researcher and the interview partner are equal partners in the situation – both of them having the power to define what counts as right or wrong but negotiating what counts as reality in the situation. Conducting multilogical research means taking seriously the act of constructing in the interview situation and not expecting to find new aspects of an objective reality.

Being equal partners in the "co-creation of knowing" (Broussine & Fox, 2002, p. 10) does not mean that the interview partners are equal partners in the sense that they become "co-researchers" as implicated in participative or collaborative forms of inquiry (Olesen, 1998, p. 317-318; Broussine & Fox 2002,

³ Differentiating the forms of relationships in an interview situation, one could talk about the relationship between the researchers on a research team and the impact of those relationships on the interpretation of the data as Broussine and Fox (2002) describe it in their analysis. One could also focus on the relationship between the researcher and the reader or the public. This aspect becomes important when dealing with the topic of publication and the "third-order construction": what takes place when we write up the results and present them to the public. Here I want to focus primarily on the "second-order construction": the researcher's reflection on the relationship between interviewer and interview partner in the interview situation.

p.10). Such an understanding would ignore the different standpoints of the researcher and the interview partner – the researcher with all the theoretical knowledge and the interview partner with the "hands-on practice." Because both the researcher and the researched do have different standpoints, it is important to take these differences into account in order to reflect the power relation, "the researcher's potential for exploiting and otherizing the research participants" (cf. Howarth, 2002). Taking both interpretations seriously in the process of developing one version of reality does not mean that one is denying the different standpoints and their consequences. Co-constructing knowledge or reality in a constructionist sense would mean appreciating all possible definitions and versions of the situation without privileging any one. Co-construction takes place where we focus on it or not. The important issue about power in the interview situation is to consider the interview as a co-construction of power, facts and taken for granted. Analyzing this process of construction of what is constituted as "real and good" in the course of the interview is the task of the researcher if the issue of power is taken seriously.

Therefore, being multilogical means being aware of multiple possible versions of the situation and analyzing what happened in the process of privileging one definition in the specific situation as "reality." This means challenging the underlying assumptions made in the interview by one or both of the partners in order to generate understanding. Understanding in this sense means agreeing on the context of interpretation, or as Wittgenstein (1997) put it, exploring the joint "form of life" of both the researcher and the interview partner, and not agreeing on specific issues. Only if the researcher and the interviewed can agree on a context where the utterances make sense can meaning be constructed. For example my interview partner in the 11th interview framed my questions as "seventies feminist discourse," which implies that women are the victims and men are the ones to blame. If this was not the context I thought of when I asked a question, we will not agree about the meaning of the dialogue and it will be important to negotiate the context in the interview situation, or to challenge the perspective of the researcher in the analysis.

Exploring the perspective of the researcher also means tackling the theoretical background of the study and asking questions about how, for example the research question in itself co-constructs the interpretation. In the context of research about gender this would mean being reflexive about the notion of gender in general (cf. Hagemann-White, 1993). Brossine & Fox (2002, p. 4) give a good example of how the research question reifies what originally was the research subject: women. One of their interview partners "argued that she did not want to be seen as a 'woman chief executive' but rather as a chief executive who happened to be a woman." This example shows that one possible

construction – in this case the existence and relevance of the category "woman chief executive" – is set as given and not to be questioned when doing research about women chief executives. All reality constructions that deny this construction and deal with something else are excluded and the research will be the result of privileging the interviewer's perspective. In doing research about "women" or "men" we risk defining a category before we ask questions about it (Hirschauer, 1995, pp. 69-70). We take the two sexes as a given category and start to look for differences instead of similarities or instead of questioning the category in the first place. Hence, research about gender holds at least two risks (cf. Broussine & Fox, 2002, p. 4): first, the danger of presenting women's experiences as if they were uniform and therefore essentialising women and denying differences and second, the contention that the focus on women in organizations problematises women (for a general discussion see Olesen, 2000; Behnke & Meuser, 1999; Hagemann-White, 1993)

The process of "relating"

We view relating as an ongoing process of construction carried out on the basis of language. By "language" we mean to refer to the realm of action and of social processes – language is social rather than private ... – a social communicative process that people 'do' together. (Hosking, 2000, p. 6)

An interview is a situation where one person, usually the researcher, is asking questions and another person, the interview partner, is answering them. But the game played here is not only question and answer; it is simultaneously a negotiation about what is real, good, important or not applicable. This agreement on something called reality and what reality is about can be described as the product of co-ordinated, reflexive processes of action, communication and language – or relating. If the researcher asks a question in an interview, the interview partner has to understand the question and give an answer. Giving an answer means at the same time "yes, I understood what you have been asking" and "yes, I agree, in my reality this is also a relevant question." The importance of this agreement becomes obvious in situations where the questions (or the answers) do not make sense to one or the other, or both. In this sense relating means co-ordinating with someone else, agreeing on a context for a text or a supplement for an act.

Hosking (1999, p. 121) gives the following example: "Suppose I enter the office of someone with whom I have arranged a research interview (act). Possible supplements include: 'other' screams for the police; continues with what she was doing as though I had not arrived; or insists on doing some ritual

cleansing before joining me in my journey into the unknown; each supplement give a different meaning to the act and invites the process to continue in a different way."⁴

Relating therefore describes three aspects of the process of reality construction (cf. Hosking, 2000, p. 9-10 and 1999, p. 124):

1. First, it stands for a co-ordination between act and supplement, text and context, one person and the other.
2. Second, these co-ordinations are constantly reproduced in a reflexive process. One knows what one has to expect when going to a research interview – and it is not somebody screaming for the police. This repeated use of co-ordinations or expectations of a certain situation are achievements which produce the impression of being natural, unquestionable or taken for granted. But they are not: co-ordinations are historically and socially located, and they depend on reference to different possible contexts or on how someone relates to them.
3. Third, relational processes are not new but build on what is already available. For example one's knowledge, expectations or even fantasies about how a research interview proceed make them reflexive in the sense that they reproduce ways of co-ordinating and at the same time produce and confirm them.

Relating therefore is a process based on language to co-ordinate acts and texts; its products are taken for granted in the process of understanding. Understanding in this sense means agreeing on certain natural, taken-for-granted facts one need no longer negotiate (e.g. gender). Or, as Wittgenstein (1997) would put it, the meaning of an utterance and therefore understanding depends on the form of life one is acting out (cf. Nentwich, 2001). This implies that a reality construction always draws upon discourses already available and at the same time (re)constructed directly in the interaction. This means that on the one hand understanding is reproducible: if the way of relating always refers to what is commonly available in that context, then it should be possible to analyze different possibilities of relating in one form of life or at one time in a specific context. On the other hand, understanding is local and historically grown and therefore depends on the specific context, it is a "doing" (cf. West &

⁴ Hosking (1999, p. 120) uses another example to illustrate the importance of "the other" for construction of reality: "The Zen narrative of, 'the sound of one hand clapping' could be a useful reminder that to make something is a co-construction involving many co-ordinations. Co-ordinations might be achieved in two hands clapping, shaking in formal greeting, or playing a piano."

Zimmerman, 1987) in a specific context. This means two things. First, "it recognizes that both researcher and participant are positioned and are being positioned by virtue of history and context" (Olesen, 2000, p. 226); it also means that both the researcher and the interviewed person are not passively positioned, but position themselves actively in a certain context by offering some discourses and not others to the relationship. And, reflexively, they mutually construct their position at the same time.

Analyzing the "process of relating"

Broussine and Fox (2002, p. 8) see two basic consequences of a constructionist understanding of relating: "to be *reflective*, for example about what was coming out of the data, but also to be *reflexive* – to be aware of ourselves individually and in relation to each other in the process of researching." To reflect on the context of interpretation and to be reflexive about the role of the researcher in the process of interpretation, the researcher must question the underlying assumptions on at least four different levels:

1. the theoretical background of the study (research question, basic concepts),
2. the researcher's own background in the form of subject positions (cf. Edley, 2001) and possible discourses offered (e.g. gender) for co-ordinating (research process, topics, interactions);
3. the background of the interview partner and possible expectations and assumptions offered in the process from the first contact until the interview finally takes place; and
4. the process of understanding in the interview situation itself.

The four levels together form the process of relating; each level provides a context for the interpretation of what is said in the interview situation itself and the interpretation. Hence, it is important to take notes about this process and possible interpretations in order to facilitate different perspectives and ways of understanding in the analysis⁵.

⁵This applies to what Witzel (2000) calls a "postskriptum" or postscript, a file where the researcher takes notes about the interview just after it. I believe we should extend this note taking to the whole research process – from the first contact with the interview partner until we write the report – and to use a framework like the one I present in this paper in order to coordinate our potential questions with the process of relating.

The following questions will provide some guidelines: What aspects of the process of relating could be important to take notes about? What should we question, and what should we take into account in the course of analysis?

Different levels of analyzing the process of relating

Questioning the *theoretical framework* and research question:

- What are the basic unchallenged concepts in the research questions and what role do they play in the interview situation?

Questioning the *subject positions*:

- Subject Positions of the interviewer and interview-partner: Which discourses are offered and which are offered but are unnoticed and/or set aside? (e.g. gender)
- Where is power linked to a subject position?

Questioning the *process of understanding* in the interview:

- Where did we understand each other? Which shared understandings did we agree on and why?
- Where did we misunderstand each other? Which different understandings did we use here and why?

I will now develop the concept of relating a bit further and use it as a basis to analyze the process of the "gender equality project," returning to the question of the 11th interview.

Questioning the theoretical framework

As it is beyond the scope of this paper to provide the entire theoretical background of my larger study, I will deal very briefly with this aspect of the process of relating. I based my theoretical framework on a constructionist notion of gender in the sense of "doing gender" (West & Zimmerman, 1991). Questioning the theoretical framework requires to me to allow many perspectives, and not privilege one of my own understandings of gender and gender differences. Thus it was important to design the interview in a way that did not reify common assumptions about gender differences. I tried to do this by not privileging one definition of gender – by always asking for the opposite definition. But I think this was exactly what my 11th interviewee "misunderstood;" in any case I did not succeed with these aims in that interview. Ms. Meier accused me of constructing differences when I asked about the relevance of gender and gender equality. And she was right: talking about gender equality implicitly means talking about

women and men and how they are different. This is a topic all the other interview partners agreed on in the interview, leaving it unchallenged.

Questioning subject positions

Depending on the mutual construction of subject positions the researcher offers various aspects to connect to in the course of an interview. This means that the researcher plays an important role in what is traditionally labeled as "subjectivity" in research situations, but also in how the process of relating will take place and therefore reality is co-constructed. With the notion of subject position I refer to aspects of social identity the researcher "brings" with him/her to the interview as possible contexts the interview partner may relate to (cf. Edley, 2001). For example, being a female researcher conducting interviews with women about the subject of gender equality did imply in most of my interviews, that I was a feminist with an emancipatory interest. Ms. Meier related to this assumption by placing me in the context of the 70's discourse, a position she was opposing in the interview. Imagine a man conducting the same study – would this research focus not imply a scientific interest instead of a political one? But the issue here is not only the fact that I belong to a certain social identity category like "male" or "female." The notion of the subject position also implies that the relevance of being placed in a certain category is part of the reality constructing process in the interview situation and therefore again reflexive. The researcher and the interviewed person must agree that the discourses building on the subject positions are applicable and make sense to both. In this sense, relating means relating to a subject position and agreeing on this relating. To be provocative during an interview, one could challenge this act of relating and its implications. In this sense the two parties' agreement that the discourses refer to a certain subject position is the basic element of the interview relationship; depending on the discourse one relates to, one will find a different set of contexts for a specific text and therefore a different meaning of what the interview was about.

My interview partners and I related to several other aspects of the subject positions: being young, at University of St. Gallen, a foreigner, a psychologist, etc. Being from the *university* made it easier to make contact, especially with companies. The university context allowed a serious interest in the questions which would justify the time spent in an interview. Being a *foreigner* made it easier to ask "stupid" questions about everyday life in Switzerland. As I am German I cannot know all of the details about Switzerland, so it was easier for me to challenge the assumptions made in the interview. On the other hand the German interview-partners – also foreigners in Switzerland – tried to connect with this aspect: as we are both German we both know what is special and unique

about Swiss society compared to Germany. Being *young* (under 30) became important in two different constellations: I was in the age of a possible daughter when the interview partner was 50 or older, or a possible sister of a partner about my age. As some of the partners were *psychologists* this subject position took on some importance: being the same age and with a comparable university degree one knows the meaning of terms like postmodernism or mainstream. "Being the daughter" became obvious when the issue in the interview was the generational conflict in feminism and which side I belonged to. In the interviews where I belonged to the "right side" I was treated like the good daughter doing important research and asking relevant questions. In the 11th interview I was lectured about basic facts which I should have obviously known but did not from the perspective of Ms. Meier.

Questioning the process of understanding in the interview situation

These aspects of the theoretical background and the subject position have emerged from my analysis of the different interview situations and the process of understanding in each situation. Reading through the interviews focusing on the aspect of relating I first asked the following questions:

- Where did we misunderstand each other and why?
- Where did we understand each other without questioning and why?

If the process of understanding was undisturbed throughout the interview, it was harder to answer these questions as the forms of life one shares and the discourses one draws upon are taken for granted and thus not obvious. Therefore, the 11th interview was an opportunity to look for the major misunderstandings, the differences in the understandings and how they could happen in order to learn about how we achieve understanding in the first place. Misunderstandings can be connected to an emotional impact on the researcher. Looking for "emotional situations" or situations where the researcher "did not feel too good" might therefore be a hint for discovering misunderstandings, or conversely for discovering agreements on a certain understanding, e.g. when both parties start to laugh (cf. Broussine & Fox, 2002, p. 8).

Another perspective was to look for questions which were not asked because of a certain understanding or even a taboo in a specific situation.

The interview situation has to be analyzed according to two basic questions:

- What has been said?
- And what has not been said?

And a second round of analysis is needed to reveal the underlying

assumptions about understandings in the interview situation as well as the processes of privileging and muting⁶.

The more I analyzed the possible underlying assumptions, the more I saw situations where the understanding was not questioned. And with every situation I saw more clearly the underlying assumptions and the specific context in which the two of us agreed or disagreed on a certain aspect.

Implications

Reflecting on the process of relating shows how some versions of reality become more important in an interview than others, as some discourses became the center of argumentation and others were silently set aside. This does not mean that the findings of an interview might be biased in the sense that they do not reflect what the interview partner said or what could be the "true interpretation." My reflection shows that reality construction in an interview is always an interactive construction between the researcher and the interview partner; it depends not only on bare "facts" like position, age, gender but also on the interpretation of these facts and their consequences in relation to each other. Therefore it is not only interaction but an reflexive process. In itself, being a woman does not have consequences for the research situation or the findings of a study. But interpretations about being a woman and the interview partner relating to certain aspects of it and not to others makes it an important difference. Ms. Meier did relate to the aspect of being a woman doing research about gender equality with one possible interpretation: being a "70's feminist." This may be one of many possible explanations of why she refused to accept most of my questions (acts) while denying the existence of an answer (supplement). In refusing to agree on the context which she felt I suggested, she also refused my reality construction and it turned out to be impossible to construct a reality we both agreed on. The only way out of this dilemma was to talk about that phenomenon, to ask her why she rejected the context of my questions. Asking her about her understanding of the 70's discourse therefore enabled her to construct a reality sequence which was different from the earlier ones because I now accepted her definition of the situation. If I had done this earlier the interview might have been less frustrating. On the other hand all the other interviews might have

⁶ After conducting each interview I took notes in the *Postskriptum* (Witzel, 2000) about what I had not asked and what additional questions I would like to ask now that the interview was over, and some possible explanations for the taboo. I also wrote down my first impression of the "main topic" of the interview in order to have an idea what the underlying assumption could have been.

been more controversial if I had insisted on differences in understanding instead of agreeing on basic assumptions. Relating therefore seems to be a narrow path between confrontation and agreeing on a specific reality construction, always balancing both in order to continue the relationship.

My analysis shows that the answers not given in an interview just as much as the answers given, provide new insights about the reality being constructed. Thus constructionist researchers need to reflect on these aspects of how a certain version of reality is mutually constructed in the interview. This reflection should be documented systematically so the researcher can account for certain interpretations. It is not a question of finding the one true interpretation in an interview sequence but rather being aware of all possible interpretations in this specific context and understanding how a certain reality is constructed by the interviewer and the interview partner.

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Gender-Specific Aspects of Coming to Terms with Sexual Abuse: Results of a Qualitative Study

Silke-Birgitta Gahleitner

Introduction

In recent years sexual violence against both boys and girls has gained increasing attention. However, gaps in professional knowledge remain regarding the kinds of help most suitable for survivors of sexual abuse and opinions are divided on this point. In my work as a social worker and psychotherapist I have been confronted with the question whether boys and girls deal differently with experiences of sexual abuse over the course of their development. More knowledge of how boys and girls come to terms with the experience of sexual violence might give us a deeper insight into the problems involved and provide new ideas for developing differential approaches for the counseling and psychotherapy of survivors of sexual abuse.

While previous research in the field of sexual violence has provided a large body of data, data on gender-specific aspects still contain many contradictions. Quantitative research has produced a number of indications, but only a little consistent, detailed evidence of individual and gender-specific modes of coping with sexual violence (Gahleitner, 2000). I therefore decided to investigate this research question using qualitative methods.

I begin with a few introductory thoughts on sexual abuse as a traumatogenic factor in (gender) development. I then briefly review the current status of research in this field and my research question and methods, and then present the main results of this section of the study.

Sexual abuse as a traumatogenic factor in the development of (gender) identity: The state of the art

A general consensus now exists across all disciplines that the development of (gender) identity begins in early childhood and proceeds in a life-long "active interaction with the ... environment" (Hurrelmann, & Ulich, 1998, p. 4). Modern theories of socialization and developmental psychology are based on bio-psychosocial concepts that are multifactorial and cover the entire lifespan (Hurrelmann, 2001; Faltermaier, Mayring, Saup, & Strehmel, 1992; Trautner, 1991). The development of the two sexes is so divergent, from early childhood onwards, that different, individual gender concepts form in the first few years of life (Trautner, 1991, pp 322 ff.) strongly influenced by the ideas of gender prevalent in the surrounding culture. In this view, gender roles must be considered as 'rules,' part of the complex socio-psychological relations of dominance which are manifested

in the individual subject (Hagemann-White, 1984). However, the respective individual modes of expression of these gender roles also have a reciprocal effect on the overall system of gender construction (Nyssen, 1990; West & Zimmermann, 1987).

In western society nothing is more closely linked to gender and gender identity than sexuality. Everything that is experienced as erotic and sexually arousing or considered to be sexual activity has a special place in the 'cultural two-gender system' (Hagemann-White, 1984). Traumatic experiences have a great impact on this gender-specifically differentiated self concept and are processed and integrated within the context of this system (Butollo & Gavranidou, 1999; Cicchetti, 1999). It is therefore not surprising that, as girls and boys who have experienced sexual abuse come to terms with its sequelae, both commonalities and differences between them appear with increasing age. The impact of sexual abuse is directly gender-specific, but its effects only become clearly evident in the socialization process (Gahleitner, 2000).

To date, however, the results of research conducted on this specific issue have been sparse and in some cases highly contradictory. For instance, while some authors postulate marked differences in the specific events of the abuse experienced by girls and boys and attribute substantial importance to these differences, other researchers see no gender-specific differences in the circumstances of the abuse and their sequelae (cf. Gahleitner, 2001).

Research question and methods

Following the lines of the above considerations, the present study aimed to investigate two questions; 1. *How and where are gender-specific aspects manifested in the process of coming to terms with sexual abuse;* 2. *To what extent are these gender-specific aspects reflected in the coping process.* Coping strategies are defined as all psychological coping strategies of an individual in the domains of thinking, feeling and action which are aimed at integrating the experiences and re-experiencing the sexual abuse in the most functional manner possible (van Outsem, 1993; Möller, Laux & Deister, 1996).

This process-oriented, explorative research question required a qualitative methodology. Problem-centered interviews with an open-ended initial invitation question (Witzel, 1982) were employed to gain access to the lived realities of survivors of sexual abuse in such a way as to demonstrate the inter-linking of social influence and their individual modes of processing their experiences. The interviews were semi-structured in order to facilitate comparison and create a basis for a process-oriented, flexible method of data analysis, alternating between an inductive and deductive procedure (Mayring, 2000).

Using the method of 'theoretical sampling' (Glaser & Strauss, 1967, 1998), I selected the interviewees in a stepwise fashion in order to achieve the greatest possible variety. As would be expected with the subject in question, most of the study participants were contacted via therapeutic and counseling institutions. However, with a view to achieving maximum comparison, I also included contrast cases such as victims in different age groups some who had never come into contact with psychotherapy, and some whose modes of coping had led them to become perpetrators themselves. In line with my goal of obtaining insight into gender-specific modes of trauma processing, two thirds of the interviewees were women and one third men, following the prevalence rates currently reported in the literature (Bange & Deegner, 1996).

In analyzing the interviews, I used a slightly modified form of qualitative content analysis (Mayring, 1993, 2000), combined with a gender-sensitive procedure developed by Hagemann-White (1993, 1994) in order to have greater scope for an explorative, inductive approach and to do justice to the gender aspects of the issue under investigation. This method involved pairing twelve of the twenty interviewees according to similarities in the circumstances of the abuse they had experienced, its severity, whether they had sought professional help, and gender (each pair consisting of a woman and a man), and analyzing them as single-case studies. On this basis I carried out six comparative studies of the pairs thus created and then compared them with each other in an overall contrasting process including the remaining eight interviews. For the communicative validation (Köckeis-Stangl, 1980), I discussed the results of the individual cases of my analyses with the interviewees. In order to support the argumentative interpretation and to ensure that the results had practical relevance (Auckenthaler, 1990), I also discussed them in a qualitative analysis group and with professionals working in the field of rehabilitation following sexual abuse.

This procedure allowed me to carry out a varied and yet "systematic search for statements that fall within the range of gender relevance" (Hagemann-White, 1994; pp. 314) and thus to establish at which points and in which situations women and men employ specific coping strategies and to what extent this choice of coping modes includes gender-specific aspects – or whether the lived realities of survivors of sexual abuse exhibit quite a different structure. In what follows I present the major results of the study for discussion.

Results of the study

The analysis revealed gender-specific aspects of the coping process following sexual abuse in three different domains: in the inter-

viewee's social environment, in the effects of the abuse experienced, and in that of the coping strategies employed.

Gender-specific aspects of the social awareness of sexual abuse

All interviewees reported difficulties in talking about their experiences of abuse. Most of them had finally decided to do so after several decades of silence, feeling forced to seek help with their symptoms. In the context of the socially-induced problems associated with opening up and being heard, the interviewees also described trauma-induced memory problems and/or gaps in regard to the sexual abuse they had experienced.

Overall, the men in the study described the process of becoming aware of the sexual abuse as more difficult than the women. Many of them were only able to label it explicitly once they had received external confirmation. Before this they had "never thought of it as abuse" (Mr. P). They said feelings such as helplessness and powerlessness are taboo; women were more readily accorded victim status, a victim role was denied to them. This erroneous attribution of the victim role to women and the perpetrator role to men is particularly evident in cases where women sexually abuse boys.

Gender-specific aspects of the effects of sexual abuse

All study participants felt that they suffered substantial impairment as a result of their experiences of abuse at various times in their lives and had attempted suicide or experienced other crises. Nineteen of the twenty interviewees believe that they will continue to process the abusive events in some way as long they live. However, the women seem to be more concerned about this than the men. While the men tend more to think that they have survived the worst, the women describe the life-long process of coming to terms with the abuse as an integral and permanent part of their lives by which they repeatedly feel challenged and at times overwhelmed. Thus, for example, Ms. T. repeatedly affirmed that for her coming to terms is a "life-long confrontation," while Mr. T. stressed that "the bad bit's over."

On the sequels of sexual abuse, on several points the interviewees are initially in agreement. In particular, there are few differences between the initial effects in childhood. Both sexes are equally affected by various post-traumatic symptoms. According to Möller, Laux and Deister (1996) various forms of extreme traumatisation induce uniform psycho-physiological reactions such as intrusions, constrictions and hyperarousal and characteristic alterations in personality which are classified by the current diagnostic manuals as Post-traumatic Stress Disorder (PTSD). Both men and women also continue to experience similar after-effects in adulthood such as disturbances in interpersonal

contact and relationships, often associated with uncertainty regarding their body image and with sexual problems, crisis situations and the risk of suicide. However, the women were more aware of these sequels than the men. The women also talked more of psychosomatic complaints, auto-aggressive self-destructive impulses and behavior and sexist devaluation and experiences of victimization in many areas of life, while the men reported substance abuse, aggressive fantasies and concrete acts of violence or feelings of failure in their working lives and training. Thus, almost all the interviewees reported reactions compatible with the gender-typical spectrum of effects; women tended to attribute their reactions to themselves and to describe themselves as having a victim attitude, while the men saw their reactions as more externalized and themselves as having a perpetrator attitude and as avoiding whenever possible any reminders of or reflection on their victimization experiences.

Gender-specific aspects of coping with sexual abuse

The modes of coping these men and women employed following sexual abuse agreed in some areas but also showed some gender-typical differences. They also reveal some – initially unexpected – tendencies to integrate these differences in the active phase of the process of coming to terms. All interviewees described avoidant coping strategies in the initial phase. At the time of the abuse and immediately afterwards the amnesic and dissociative phenomena have important protective functions. However, today many of the interviewees are in conflict about the dysfunctional aspects of these avoidance strategies. Eighteen of the twenty interviewees thus feel the need to process their experiences actively. The most important strategies for the entire integration process mentioned by both men and women are social and professional support and talking about the abuse experience. Both men and women also mentioned education, expressive and artistic media, and spirituality as supportive and promoting of reflection in the coping process.

Before they began the phase of actively processing the abuse experience, all the interviewees described crises and situations which they felt unable to deal with, to which they reacted with widely varying coping attempts. The main gender-specific differences were the above-mentioned discrepancy between the internalizing and auto-aggressive strategies used more by women (9 out of 12) and the externalizing and aggressive modes of coping employed more by men (7 out of 8). This discrepancy becomes particularly clear when the risk of repeating the sexual abuse situation in the role of victim or perpetrator is included. Whereas almost all the women (10 out of 12) participating in the study had experienced sexual revictimization, the majority of the men (7 out of 8) tended more to describe tendencies to per-

petrator behavior or fantasies. These results indicate that sexual traumas tend to reinforce gender-typical differences.

In turn, these differences have a reciprocal effect on the coping process. Thus, women are initially better able to admit to themselves that they have become victims of sexual abuse and to perceive the accompanying feelings and sequels, while men remain in denial for longer. However, several of those who were aware of their suffering but had at their disposal no suitable strategies for emerging strengthened from the encounter became malignantly fixated on their victim status. Thus, both men and women who attempt to integrate the experience of sexual abuse may lead to develop extreme forms of gender-stereotypical behavior such as aggressor behavior in men and self-damaging behavior in women; for both sexes it becomes more difficult to come to terms with the traumatic events.

In contrast, the men in the study reported that they had become more open to feelings and had a greater capacity for emotional resonance on their way to recovery: "it gets better ... when I am able to express my feelings ...," while women talk about getting their feelings under control in an instrumental way. While Mr. T, for example, could depart from his perpetrator role only after his lawyer confronted him and then acquired such capacities as the ability to feel and be vulnerable during therapy, Ms. T. could let go of her victim status and develop problem-solving strategies. Thus, neither the women nor the men in the study appear to have been able to integrate their abuse experiences in a positive manner without the use of *both* expressive elements *and* instrumental components.

At the start of the active phase of trauma processing the two sexes initially seem to have differing access to the instrumental and expressive components, which are highly genderized in the 'normal' socialization process. However, at the 'turning point of recovery', this pattern of polarized gender roles is evidently broken. Here the study participants increased their use of coping strategies traditionally attributed to the opposite sex. An interesting question thus arises: Is it not crucial for trauma victims to have all conceivable coping strategies at their disposal, so that any departure from the typical behavioral roles can have a healing effect?

Discussion

The prevailing taboo on the subject of sexual abuse and the resulting difficulties associated with opening up are discussed in the literature and known to helping professionals working in the field (cf. for example Rush, 1991; Olbricht, 1997; Gahleitner, 2000). The memory problems and gaps reported by the study participants are in line with current research results on memory

following traumatic events (cf. for example Williams & Banyard, 1999; van der Kolk, 2000). The same applies to abused men's greater tendency to deny their problems as compared to that of abused women (cf. for example Weidner & Collins, 1993; Küssel, Nickenig & Fegert, 1993; Schlingmann, 2002). Recent studies (Watkins & Bentovim, 1992) show that their denial is subject to a strong social influence. Even professionals perceive sexual abuse is in a 'genderized' way: professionals presented with similar case reports pertaining to both sexes assumed that the girls had been abused twice as often as the boys (Kavemann, 1996; Rossilhol, 2002).

Both the sequels common to both sexes and the differences reported by my interviewees are corroborated by many corresponding reports in the scientific literature on sexual abuse and by practicing professionals (cf. for example Briere, 1992; Fegert, 1994). The socially promoted tendency of women towards auto-aggression and of men towards externalized aggression has also been described in the general literature on gender (cf. for example Rommelspacher, 1992; Alfermann, 1996). The gender-specific differences in regard to the awareness and patterning of symptoms have also now been well established by research on trauma, gender and coping (cf. in particular Teegen, Beer, Parbst & Timm, 1992; Cornelissen, Gille, Knothe, Meier & Stürzer, 2001).

At first glance the situation with respect to coping with sexual abuse is similar to that for the effects. Many researchers confirm the commonalities and differences between the sexes (cf. for example van der Kolk, 1999; Crittenden, 1997; Pennebaker & Beall, 1986; Herman, 1993; Olbricht, 1997), with only a few exceptions. The greater prospects of integrating the abuse experience in a meaningful way described by the women in this study can initially be seen as consistent with the results of coping research, according to which women tend more towards vigilance, – becoming preoccupied by the prevailing problems – while men tend to be more avoidant (cf. for example Krohne, 1993; Weidner & Collins, 1993). Researchers on gender also describe this difference as a female tendency towards expressivity and a male tendency towards instrumentality (c.f. in particular Sieverding & Alfermann, 1992). However, this gender-specific aspect has not previously been accorded much attention in models of coping with sexual abuse.

To date researchers have provided no concrete evidence on the tendency towards cross-gender coping strategies following sexual abuse, i.e. the interviewees' tendency to integrate polarities in the course of their coping process. This result of the present study contradicts those of previous trauma research and adds a new gender-specific perspective, because the earlier research focussed on the differences. Although researchers on trauma and psychotherapy see both emotional and cognitive restructuring as

central components of the healing process (cf. for example Roth & Newman, 1991; Greenberg & Safran, 1987, 1989; Auckenthaler & Helle, 2002), few reflect on this fact from a gender-specific perspective. On the other hand, while some gender researchers have reflected on gender-specific aspects, they usually attribute emotion-focused processing with an emphasis on the expressive components to women, and problem-oriented coping with the use of instrumental abilities to men (cf. for example Sieverding & Alfermann, 1992; Benishek & Morrow, 1995). The present study found less evidence of a gender-typical distribution of these aspects than of an attempt to integrate both extremes in the coping process that was common to both sexes.

Summary and conclusions for qualitative research

Viewing the interviewees' coping processes from a general perspective, we see that following an initial phase of avoidance both sexes made coping attempts in the form of mostly unconscious trauma compensation. Only during a phase of severe stress, which was frequently characterized by a rigid adherence to gender-role stereotypes, did they encounter opportunities to actively confront the abuse experience. If they can successfully process both the emotional and the cognitive components, that is fully exploit both gender aspects, they can find relief through this conscious confrontation with the trauma. As a rule, however, both the expressive and instrumental components are subject to a strong gender-specific influence, so an effort at de-constructive integration is also required. The results of the present study show that this is an essential element in the process of coming to terms with the abuse. Where this integration effort effectively promoted the interviewees processing of the traumatic experiences, they felt relief and became less preoccupied with the trauma. Thus, gender constructions and de-constructions may be an essential component of the process of coming to terms.

The new insight that the present study provided for trauma research therefore lies in this gender-independent aspect of the process of coping with sexual abuse. Only with the aid of the process-oriented, inductive procedure adopted for the data analysis could this gender-integrating aspect emerge – initially unexpectedly – from the data, which thus failed to reconfirm the conventional gender stereotypes. In gender research we frequently encounter difficult epistemological problems. As research always takes place within our social context, we cannot directly imagine what gender could in fact be outside of this context. Faced with this dilemma we can only try to comprehend the concept of gender as precisely as possible and illuminate it empirically from widely differing perspectives in an attempt to approximate its structure step by step. Here I believe that the combination of

Mayring's content analysis, with its inductive-deductive search process, and Hagemann-White's gender-sensitive procedure allowed me to discover gender-specific phenomena and avoid getting completely caught up in pre-determined structures. This appeared to me to be a fruitful and realistic compromise.

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Using a Feminist Approach in Researching Disability Issues

Levan Lim and Annette Ullrich

Introduction

In this article we discuss the use of a qualitative research methodology with a feminist orientation to examine the process of community building in an intentional community for persons with and without intellectual or learning disabilities. This intentional community, called the Friends of L'Arche, is located in Brisbane, Australia. Founded seven years ago, it is in the process of building a new L'Arche community.

L'Arche is an international confederation of over 125 communities in over 29 countries that intentionally welcome people with disabilities.¹ Long before the word 'relationships' became an important term in the field of disability as it is now, L'Arche's philosophy had revolved around a shared system of beliefs about the value of persons with disabilities, the importance of relationships, and a sense of community.

The study was conducted by a team of three researchers, who were all involved in L'Arche and/or the board of management established by the Friends. As researchers, we sought to understand the perspectives and experiences of people involved in the group and their ways of creating space for relationships in the midst of a western cultural context that places more emphasis on values of individualism.

Our concern was also to further our subjects' interests, for example by raising consciousness about their current needs. A report of our findings was used in an application for government funding.

This article grew out of our curiosity about the ways that feminist concerns inform research on disability (Lather, 1995, p. 293; Morris, 1995, p. 262; Rogers, 2000; Rose, 1994; Zarb, 1992). Feminist research shows us that different ways of constructing knowledge produce different kinds of knowledge (Wasser & Bresler, 1996, p. 6). Feminist studies also alert us that

¹ Today each hemisphere of the globe is broken into zones and each zone into regions. Within a given region, each community has individual homes. Each community is an autonomous legal entity, with membership in the International Federation. Before being accepted as a member of the International Federation, each community is evaluated on standards derived from the International Charter. L'Arche homes are financed in different ways around the world. In Western countries, government support is often available but usually must be supplemented with donations. L'Arche homes in poorer countries are often supported by the International Federation of L'Arche (Harris, 1987, p. 323).

gender and other significant historical, political, or social features leave their stamp on negotiations of meaning (Luke, 1998) as well as on processes of building community and including persons with disabilities. Our research interest matches the method of analysis we use here, Voice-centered Listening (Brown & Gilligan, 1992; Gilligan, 1993; Kiegelmann, 2000). Based on feminist theory, this qualitative approach shares certain principles with current efforts at community inclusion in the field of disability. Among those are an emphasis on relationships, the transformative potential of research, and empowerment of undervalued members of a society.

Purpose of this study

Recently, those involved in disability work have come to understand that integration is only meaningful if it includes processes of social interaction, relationships and acceptance. This understanding has provoked changes in thinking about disability and how services should be provided to enhance community inclusion (Amado, 1993; Bradley, 1994; Nisbet, 1992; Schwartz, 1992). As a result, current efforts at community inclusion in the field of disability focus on regenerating communities themselves to accept and value people with a disability (Bradley, 1994; Condeluci, 1995; Gartner, Lipsky, & Turnbull, 1992; McKnight, 1987). To learn how communities can progress towards a "community vision of society," it can be helpful to share insights into the community-building process of an intentional community for people with disabilities like L'Arche (Lim, 2002).

History and Philosophy of L'Arche

L'Arche was founded by Jean Vanier in 1964. The name "L'Arche" is derived from Noah's Ark of the Hebrew Bible, which protected people and animals from the flood. Today, L'Arche is an international federation of over 125 communities worldwide where people live in the spirit of the Gospel and the values of welcome, simplicity, and forgiveness.

Long before the word 'relationships' became an important term in the field of disability, the philosophy of L'Arche emphasised the value of persons with disabilities, the importance of mutual relationship, and the vital role of community.

Spiritual beliefs about the value of persons with disabilities play an important role in L'Arche communities and have been articulated by several authors (Hryniuk, 2001; Sumarah, 1987). Spirituality in the context of L'Arche revolves around the unique and mysterious value of each person, the creation of communities of hope and peace in the spirit of the Gospel, and a simple lifestyle. However, the spiritual dimension of an intentional commu-

nity like L'Arche is easier to experience than to articulate. Part of the spirituality in L'Arche is manifested in the way people relate to each other: there is a desire for dialogue, and emphasis on personal growth and creation of community. It is through an interplay of transcendence, forgiveness and celebration in L'Arche that difficulties are faced and transformed (Sumarah, 1987, p. 167).

Professionals in special education are showing greater interest in spirituality, and organizers of recent international disability conferences are explicitly asking for contributions concerning the link between spirituality and disability. Three such conferences were held by the International Association for the Scientific Study of Intellectual Disability (IASSID), Inclusion International, and The Association for People with Severe Handicaps (TASH).

Research questions

This study examined the experiences of the Friends of L'Arche for three reasons:

1. to explore the values and beliefs that support the inclusion of persons with disabilities;
2. to identify how a sense of community evolves around their intention to welcome persons with disabilities; and
3. to clarify the link between spirituality and disability.

Theoretical framework

Several theoretical frameworks help illuminate the complexity of the perspectives and experiences in building community within the Friends of L'Arche group.

First, from a sociocultural perspective, this process can be described as participating in a 'community of practice' (Lave & Wenger, 1991; Wenger, 1998; Wenger, McDermott, & Snyder, 2002), because learning occurs through social interaction and negotiating meanings concerning disability, values, relationships, community and spirituality.

Second, from a community psychology perspective,¹ the process of community building happens through "reflective-generative practice" (Dokecki, 1990). The members of the Friends group in Brisbane transformed the "societal ideal of the isolated, self-

¹Community psychology has taken official status as a freestanding interdisciplinary professional organization and is Division 27 of the American Psychological Association. The concern of community psychology is system change and improvement (Newborough, 1992, p. 14).

contained individual into an ideal of individuals who become more whole through learning to be involved in and committed to expanding circles of caring for others" (I.2; Meacham & Boyd, 1994, p. 72).

Foucault writes that social practices and institutions are products of historically and culturally situated discourses; this premise underlies many feminist and cultural studies and theories (Luke, 1998, p. 20). Several key concerns in cultural studies are shared by feminists, including meaning making and the construction of identities and knowledge (p. 23). This emphasis in both feminism and sociocultural theory has much in common with current efforts and concerns in the field of disability.

This shared theoretical basis enables us to move beyond the specific concerns of each field of inquiry and to develop an understanding of community inclusion that acknowledges differences of identity and the cultural construction of knowledge (p. 18).

The third element in our theoretical framework is a qualitative approach to understanding the ways meanings are interpreted and framed within the Friends of L'Arche group.

Research Methodology

The study is based on in-depth interviews with eleven members of the Friends-of-L'Arche community in Brisbane, Australia. The participants ranged in age from 25 to 60 years. We used a semi-structured set of questions framed around reasons for getting involved in the community.

The ways in which knowledge, meaning, interpretation, and discourse are structured depends on many different factors (Taylor, 1995), including gender. In order to find out about gender-specific differences, we interviewed six men and five women who had all been members of the Friends of L'Arche group for at least three years at the time of the study. This ensured that the selected participants spoke with credibility about their experiences.

Voice-Centered Listening

The interviews with the participants were tape-recorded, with their consent. The content of each interview was transcribed by the second author as well as a research assistant. To analyze the data, we used Brown and Gilligan's method of Voice-Centered Listening (Brown & Gilligan, 1992; Gilligan, 1993; Kiegelmann, 2000). This method has its origins in relational psychology and the feminist theory of the 1980s, which shaped qualitative research in many ways. The basic assumptions of Voice-centered

Listening are the concepts of "Voice" and of "Listening". Listening refers to the way we enter into relationship with the interviewee and his or her view of the world: how do we learn from the other person, about the world we share in common, especially the world of relationships? The concept of "Voice" refers to the relationship between speaker and topic, and between speaker and listener.

In analyzing the interview data, we followed Brown and Gilligan's Listener's Guide (Brown & Gilligan, 1992; Gilligan, Brown, & Rogers, 1989). These authors suggest that in order to look at different levels within the transcripts, the researcher must read the interview transcripts four times with different goals on each reading. After reading for plot, for personal response, for self, and for social context, we listened to different strands in the answers and gave them 'working titles' in form of a voice name. The different voices were identified by members of the research team involved in this study who met regularly to validate the voices.

We also kept a research journal (Richardson, 1994) to document our ideas, insights, problems, questions, and reflections as we read the transcripts or listened to the tapes. This research journal assisted greatly in making conceptual sense of the data and our own process of gaining a deeper understanding of what we were reading and listening to (Barnes, 1992; Wolcott, 2001). For example, it was interesting to observe how our thoughts and feelings were transformed after we listened to a tape and/or read a transcript for the first time compared with the feelings and thoughts we had after reading for different goals and during the final stages of analysis.

Data Analysis Using Voice-Centered Listening

In the *first reading*, we concentrated on the thread of the content. Based on this first reading, we began to document the different experiences people had with the Friends-of-L'Arche community in Brisbane, from first hearing about it to the most recent developments; based on those experiences we wrote summaries for each member. To protect their privacy we changed the names of the members. Summaries of our personal responses were included in the analysis of the first reading.

In the *second reading*, we traced the voice of the 'self' of each person and analysed how each person spoke of herself (first person, second person, etc.). In particular, we paid attention to switches of this "self-voice". Interpreting the "self-voice" helped us to understand how people experienced themselves in their relationship to the Friends-of-L'Arche community in Brisbane as well as to other groups or communities they may belong to. Using 'I', 'you', 'we' or 'one', participants signalled their adoption of different speaking positions. We noticed, for example, that the

interviewees interrupted themselves more often or changed from active to passive voice, when they came to talk about personal difficulties or challenges they experienced in the context of their involvement in the Friends-of-L'Arche group.

In the *third reading*, we were interested in each person's social context, locations, cultural background, family conditions, etc. in order to create a framework for our interpretation.

In the *fourth reading*, we listened to different nuances in the answers and responses. We looked for what Gilligan (1993) calls "counterpunctual voices" by tracing how each person individually went through the process of becoming a member of the Friends-of-L'Arche community in Brisbane. For each of the nuances in the way people referred to their experiences with L'Arche, we gave a "working title" in the form of a voice name. This enabled us to compile a number of different voices for each person. Each voice pulled out something specific and brought us closer to the thrust of this study, which was to understand the meanings of their experiences in the context of the Friends of L'Arche group.

Findings

We uncovered a large variety of tones, commonalities and differences in the personal accounts of the interviewed participants. All members have experienced or still are experiencing *relationships with a person with a disability characterized by acceptance*. This experience is often linked with the realization of how difficult life is for some people with disabilities and the validation of the gifts they can bring. Another important discovery was the interplay between *action, reflection and spirituality*. We found many different voices that characterized the complexity of this interplay, for example, 'Voices about the connection between disability and spirituality'.

A reading for 'Voices of care and justice' and comparing 'Voices of why community is important to me' throughout the transcripts brought interesting insights into gender-specific findings correlating with Gilligan's observation in her research on moral decision making (Meakes, O'Connor, & Carr, 2002). In her analysis of care, Gilligan (1993) found differences in the voices of justice and care between men and women. Consistent with her findings, a female member described L'Arche as being fundamentally about care and personal growth while a male member emphasised that his commitment to L'Arche is basically routed in his concern for social justice. Noah for example says:

L'Arche is about creating justice... it's about taking a different stance and um, and giving opportunities for people to experience inclusion, connectedness, relationship, to be valued, not excluded, rejected, marginalized, devalued.

The findings represent a discussion of 'voice-clusters' emerging from the ongoing data analysis. Condensing them into larger dimensions or meta-categories (Glaser & Strauss, 1967), we discovered four that were basic to community building within the Friends of L'Arche community.

These four dimensions influence and shape the process of building a community where people with disabilities have a meaningful place. The experience of i) relationships (heart, relationships) characterised by acceptance motivates the desire to ii) do things together (hands, action). In the process, iii) common values like friendship, mutual care and social justice become important (head, reflection); and iv) a spiritual dimension serves as an overarching vision for the community. This vision is primarily an *immediate vision*: they want happiness, growth and a better quality of life for people with and without disabilities, but it is also an *ultimate vision*, which concerns a change of society, the vision of creating a more loving world, where everyone has a place to live. Each of these four major dimensions is further discussed below.

Spiritual dimension

We found five different aspects of spirituality that are basic to the process of community building.

The *first* aspect is spirituality as a "focus beyond" that helps people to find meaning in difficulty and constructive ways of working through conflict. Some members expressed feelings of uncertainty about the meaning of all their efforts as well as personal conflicts, but found that their shared spirituality helped them to address this. Francis describes tensions as a natural part of the process of community building:

As we come closer, we begin to see more glaringly the faults of others. That's when you count more on God, the spiritual side to help us through, so it's giving us another opportunity to grow if we do it right in terms of looking up to God and seeing God in each other.

Second, some mentioned spirituality as a dimension of personal and community growth. Sophie says the spiritual element that has made the Friends-of-L'Arche group

a place where everybody can grow, just keep on growing, ... and growth is sanctity, is growth in the love of God, because there isn't any other growth really. That's real growth, in my understanding.

The *third* aspect concerns the relationship between spirituality and culture. Any expression of spirituality is influenced by the cultural context. Many members spoke of living in a culture where the "me"-values of individualism are dominant and about

their desire for some deeper sense of belonging. Some members describe how "being part of a worldwide family" is encouraging for them. They also mentioned the ecumenical and inter-religious spirit in L'Arche as positive and inclusive. In L'Arche India, for example, Hindu, Moslem, and Christian people live together, keeping their own faith but coming together through the valuing each other, especially the persons with a disabilities.

Fourth, spirituality is manifested in relationships. Eric describes it:

To me it's something about the mystery, the mystery of God. It's like God's present but God's also not present, a mysterious reality, something you can't grasp but something you experience. For me the way I understand it, maybe God's revealed through the relationship and an aspect of God is that other person, because somewhat of God's life is in the other person, it's quite hard to put words around.

Another member said:

The reality of Christ for me personally...has come to me specifically through a relationship with a man with a disability. One day it was like a flash, ... through that man, not through the learned speakers I'd listened to for years, not through the singing, not through the wisdom of the wise, but through one man's eyes....I don't know how it happened, but I know it happened and it happened almost instantaneously.

The *fifth* aspect is the connection between spirituality and disability. In the process of community building, crucial qualities of the heart have been brought by people with a disability in the group. Aaron describes how spirituality in L'Arche also involves the recovery of joy and wonder:

the sheer joy that John gives, when we pick him up for church. You can't obtain that sort of joy from other people.

One person quoted John, who constantly says to people,

"You'll be at L'Arche, you'll be there on Sunday three o'clock?" He kind of ropes people in, so they say, "Oh, we can't miss this!"

Joanne mentions another core member's "great big beam". She says,

the smile you know, he's got such a warm smile, it just draws you in.

Eric mentions the tolerance of people with a disability.

They often accept you for who you are ... there is something very important about that sense of acceptance which I think a lot of people seek.

Reflection

The interviews also reveal that the group has developed through several kinds of reflections: on their relationships with one another, their history, and their activities as well as upon the experience of other L'Arche communities and the existing literature on L'Arche.

Their process of reflecting upon their beginnings, their current situations and their vision for L'Arche has pulled them onwards in growth. Their vision is to become a strong and nurturing community for people with and without disability and also to be an inspiration for society, "a light on the hill" or "a beacon in the dark."

Like L'Arche, the group in Brisbane hopes to be a sign of reconciliation in a society that often devalues and excludes people. It acts according to the Gandhian tradition of community development. As one member said, "You have to act in the world according to the change you would like to see."

Action

Through "working together" and "welcoming people" in different activities like Trivia Night and "bush dances," the group has grown in numbers. People have also learned from each other through joint action and have gotten to know each other's weaknesses and strengths. Through those opportunities for interaction, their relationships have deepened and they have developed their sense of mission. Important elements in this process are the monthly community gatherings and the simple prayer ritual. Another important step was establishing a board of management and finding a house for the community.

Interest in relationships characterized by acceptance

Three people we interviewed came to know about L'Arche through a family member with a disability and were looking for "the best solution for future care". Three others lived in L'Arche communities in Australia, Ireland, and India. Two members have friendships with persons with a disability, and two others spoke of significant encounters with the founder Jean Vanier or the idea of L'Arche.

Those experiences reveal that relating with a person with a disability helped these members to recognise the common humanity they share and their own desire for mutual relationships (Lim & Choo, 2002; Taylor & Bogdan, 1989). The growth of Friends of L'Arche rests upon these first experiences of mutuality. Through such experiences, people's worldviews change, acceptance is engendered and inclusion is facilitated. Connecting with

others helped them develop a sense of belonging, which strengthened their sense of identity.

Intentional community is built on relating with others (Kelly, 1998, p. 55) and is itself a structure and safeguard within which relationship can occur and grow. Central to the process of community building within the Friends of L'Arche are the cry – and the capacity – for genuine relationship of people with disabilities. As one member says,

I think the experience of a lot of people with disability has often placed them in the role of outsider or the marginalized person. They bring a sort of gift from being in that position, from being on the outside and I think the gift is being able to see what's important through being denied it. They've been marginalized and they really intensely value relationships with other people of a mutual nature, of friendship, which many of us take for granted. People with an intellectual disability, if they get a chance, often put a lot of strength and effort into maintaining that relationship.

Conclusions

Closely connected with the experiences described here is a set of beliefs and values that attributes positive meanings to disability, focusing on qualities and characteristics "that are not readily apparent to outsiders who do not have the same type of relationship with the person" (Taylor & Bogdan, 1989, p. 29). When people put great effort into creating an opportunity for a better life outside institutions for their friends with a disability, they transcend "cultural values and social pressures" (Taylor & Bogdan, 1989, p. 33). When they come from diverse backgrounds they bring a crucial understanding about the value and importance of being present for people with disabilities in different ways.

Closely connected with this central element of acceptance are the other dimensions of action, reflection, and spirituality.

Community provides a framework for relationships and does justice to the desire and capacity of many persons with a disability to enter into genuine relationships. The concept of working "With Head, Heart and Hand" (Kelly, 1998; Newborough, 1992) captures three basic dimensions of community building: head (reflection), heart (relationships) and hands (action).

Living in community also has an impact on the larger society; a member who lived in a L'Arche community reported on a woman, who said that "just knowing you were there as a community" was a "wonderful source of strength". This reflects "the potential of community development to transform society" (Ife, 1995, p. 207).

All those experiences have led to the development of a sense of community and have the potential to transform individuals and

society. Those experiences carry political implications for the inclusion of people with disabilities, because they lead

to a commitment to protecting the life, liberty and happiness of all persons, regardless of the differences that may divide us (Coulter, 2001, p. 10).

Implications for community inclusion of adults with disabilities

Our findings lead to several kinds of implications: for preparing workers, constructing identity, and (including spirituality in community) the role of spirituality.

Implications for preparing workers

In most current staff-preparation programs the emphasis is on changing and improving the system. The focus in L'Arche is on personal growth. In order to enhance community inclusion, people who train to become professionals in the field of disability should be encouraged to reflect on their personal beliefs and experiences, and how those can diminish or promote the value of persons with disabilities. Such reflection would also support a change in the wider society.

This is not the only intentional feature in L'Arche. The international L'Arche movement developed from a committed relationship between Jean Vanier and two men who had formerly lived in an institution, Phillippe Seux and Raphael Simi. In order to protect its values L'Arche communities all over the world have established community structures. The Charter of L'Arche for example captures and safeguards the vision and spirit of L'Arche all around the world.

Given this history, L'Arche's belief in personal growth through relationships and the nurturing role that community structures provide are important in preparing staff to meeting the challenges of community inclusion (Lim, 2002).

Implications for constructing identities

Many L'Arche members have experienced dissatisfaction with the current world view in the field of disability that encourages a fragmentation of the professional and the personal (Gaventa, 1993; Schwartz, 1992). Their friendships with people with disabilities showed them that to form genuine relationships they must "reach out" (Nouwen, 1991) to the other person. Thus the experience of integrating the personal and the professional is sowing seeds for inclusion and a more human society.

Dokecki (1990, p.140) describes the community psychology framework that the Friends-of-L'Arche group has experienced. He captures what it means to relate to others communally by

intending, in a direct and positive way, the welfare of others for their own sakes. One can realize one's self only through a fundamental caring for the not self. According to Dokecki this is the implicit intention of all fellowship: the complete realization of the self through self-transcendence.

The socio-cultural approach highlights two key points here. The first is the reciprocity with which L'Arche members adjust their participation in the process and current stage of community development. The second is the transformation that occurs in their individual potential for participation. As a result of the ways new members are integrated, both the purposes and the means of joint action are constantly being transformed (Wells, 1999, p. 322). This process can also be described by the phrase "you only know the path by walking it" (Kretzmann & McKnight, 1993, p. 376).

Implications for the role of spirituality

In modern societies, where many people are alienated from their own past, culture and country, from their neighbours, friends and family and from their deepest self, we can observe a quest for community. The spirit of hospitality in L'Arche encourages people to let down their guard and listen to the voices speaking in their own hearts. As spirituality is manifested in relationships, the search for community is also a spiritual quest (Dokecki, Newborough, & O'Gorman, 2001). Intentionally giving voice to the spiritual gifts and needs of its members, L'Arche leaves room for mystery and provides a hospitable space for personal growth. And growth is sanctity.

In this study we have found that tapping our spiritual lives in ways that are life giving, open to difference, and accepting of others (Dokecki et al., 2001) through genuine relationships, can be transformative. This is true for people with and without disabilities and for society as a whole.

Although L'Arche is "only a fragile little boat", as Francis, one of the interviewed members said,

L'Arche is a reminder to us that God is in each other, so we need to treat each other well, gently, with love.

Methodological consequences for qualitative psychology

In order to translate knowledge about the nature of relationships into transformative action, insights into the philosophy of an intentional community like L'Arche can be useful. A community vision of society can be informed by such insights and help in working towards a more inclusive society.

The emphasis on relationships in the Voice-centered approach is suited for the creation of new knowledge in the field

of disability. Several resources within feminist theory can help with the task of developing a new vision of a more caring society for persons with disabilities. It is an appropriate framework to describe necessary efforts aiming at both **political transformation and personal empowerment** in disability research and practice. Empowerment is an outcome of changed consciousness, and results from both internal transformation and the effects of these transformations on the broader community (Weiler, 1995, p. 23).

If researchers want to change as well as understand the world, they must consciously build **empowerment** into the research design (Lather, 1995, p. 293). In this process it is essential to empower the researched and **build dialectical theory** rather than impose a theory (Lather, 1995, p. 295). At the center of an **emancipatory social science** is the dialectical educative process, which contributes to consciousness-raising and transformative social action. Researchers have much to learn about praxis and practices of self-reflexivity from looking at feminist efforts to create empowering research designs that recognize data generated from people in relationship. The research process then necessarily becomes a social process that incorporates our own experience and subjectivity as well as reflections on our own values.

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Part Two: Group Sessions – Workgroup 3

Classical test theory revised: A critical discussion from a Constructivist position expanded using Buddhist psychological considerations

Leo Gürtler

In this article, I discuss classical test theory in terms of its usefulness as a quality standard for qualitative investigations and research into reconstructing subjective theories. I also use Buddhist psychological assumptions to emphasize the need for, the possibilities of, and the impact of self-application on a practical level within the research process. The researcher's interaction with herself/himself is the main topic of the discussion. I explicate four positions:

(1) I start with a short review of classical test theory, its assumptions and resulting problems for the field of qualitative research. The basic elements of objectivity, reliability and validity are still strongly emphasized in most areas of research in psychology (see e.g. Amelang & Bartussek, 1990; Bortz, 1993), and also in medicine and other social sciences. This applies not only for quantitative investigations based on statistics, but also for alternative methodological approaches. This fact leads one to assume, that classical test theory is used whether or not it is the best standard of quality in each case.

(2) Using a Cognitive-Constructivist approach, I then narrow my focus on research in the field of subjective theories (developed by Groeben & Scheele, 1977). I will argue that the special way subjective theories are constructed requires us to use alternative qualitative standards. Direct dialogical interaction between researcher and subject is better evaluated by qualitative standards like those described e.g. in Glaser and Strauss (1979), Flick (1987), or in the two phase-model of research postulated by Groeben (1986). I use the terms "research subject" (for the researcher) and "research object" (for the person who is being researched) according to the use, in German, of Groeben et al. (1988) and Groeben and Scheele (2001).

(3) I end my argument with an emphasis on the (self-)application of standards of quality in practice through the researcher. I focus primarily on the researcher's interaction with himself/herself (his/her past experiences, memories, implicit stereotypes, assumptions etc.). I argue that research is always influenced by the history of the person, and his or her likes and dislikes as well as personal preferences (for people, theories, reality constructions). I then bring in a view based on Buddhist psychological assumptions

about the characteristics of the interaction of mind (which is operationalized as a sense organ) and matter (i.e. body) as a framework for practice, to show how this ongoing interaction shapes thoughts and resulting activities (in this case research activities). I postulate that self-reflection should take place not only in the intellect; it must extend over the whole person. In particular, scientific investigations depend highly on self-reflectivity and on the ability to experience reality as it is and not as one would like it to be. The practice of insight meditation provides concentration, awareness and equanimity as the basic tools to approach that goal. As a consequence, research subjects are better prepared to follow the changes in interactions and to reflect their own constructions of reality in each phase of the process. I explore how insight meditation raises questions and solutions that traditional research techniques do not raise and consequently do not answer satisfactorily.

(4) Thus, all my positions in this article lead to a critical discussion of classical test theory, and its assumptions and consequences. They question the basic understanding of research processes and data handling which are assumed in classical research approaches using test theory. The practical aspects of insight meditation enhance and facilitate the process and the quality of scientific studies. I will close by showing differences between classical test theory and qualitative procedures with a research example of an ongoing study on humor. I will show that the application of classical test theory would inhibit important research findings that lead to a deeper understanding of the phenomenon in question.

Basic Assumptions of Classical Test Theory

Classical Test Theory, as mentioned above, is often implicitly used to measure the quality of research without comparing research methods and methods of analysis with the basic assumption that this application is appropriate within a specific investigation. Especially in qualitative research, this oversight leads to distortions of the benefit of various methods, when classical test theory is not the best procedure for evaluation.

Introductions to research methods in the tradition of classical test theory can be found in Amelang and Bartussek (1990) and Fischer (1968, 1974). The roots of classical test theory reach back to Spearman's (1910) findings that without measurement errors mask the real correlation of test items. Gulliksen (1950) explicated the classical test theory in the form still used today. Modern test theoretical approaches tried to enhance the model (e.g. introducing probabilistic test theoretical approaches like the Rasch model; see Amelang and Bartussek, 1990, pp. 139ff). The

Rasch model aims to avoid a particular problem: that the coefficient of reliability is highly dependent on the empirical sample and therefore on the size of the sample. Despite its deficits, most psychological tests and much current research within the social sciences still refers to this theory.

Classical test theory tries to establish a proper statistical basis for testing. It uses a scientific structure to ensure that research is independent from the researcher, exact in its resulting values, and congruent and adequate with test findings derived from other empirical data or highly correlated with relevant theoretical constructs. These demands result in three standards of quality:

- Objectivity = independence of test scores from the research process
- Reliability = accuracy and precision of test scores, defined using the concept of "stability"
- Validity = adequacy of test scores to represent constructs and other variables that the test is postulated to measure

Objectivity, reliability, and validity are the core items of this evaluation model of scientific research, and will be explicated in more detail below. First, a core belief in this theory deserves review. Any discussion about standards of research begins with the idea of a true value (e.g. the measurement of a personality trait like neuroticism or extraversion) and its relationship with empirical scores (i.e. all the real scores that can be observed or measured) and with measurement errors (i.e. all the influences that lead to deviations from the true value). The idea is that true values cannot be determined using the single measurements so common in qualitative methodology. Because of that assumption, various errors (e.g. uncontrolled environmental variables, and other variables that influence the measurement) mask this postulated true value. As a result, they must adjust the empirical values for researchers to approach the true value by about the amount of error term. The relationship between these three variables is follows:

$$\text{Empirical Test Score (ETS)} = \text{True Value (TV)} + \text{Error Term (ET)}$$

Researchers assume that endless repeated measurements under identical test conditions for the same person will lead to a clear identification of the true value – but only if all error terms are uncorrelated and do not systematically bias each measurement. Error terms must be randomly distributed in their influence on actual test scores. After repeated measurements, the error term will settle at a mean of zero with a limited variance. Then, the

empirical test scores will be identical with true values. Furthermore, researchers using this theory assume that none of the error terms or empirical values will co-vary or correlate with each other. ETS and ET are independent from each other a priori. An empirical co-variation between ET and ETS would mean that some systematic bias (e.g. the influence of a third, unknown variable) is distorting the entire term. If this shows up, the researchers must identify and control all systematic biases as new variables or eliminate them. The need to control variables has led to an overemphasize of standardized conditions of research situations. This need brought up an overemphasis on the classical experiment. But full control over all influential variables can only be reached in laboratory experiments; it is seldom possible in the field studies that are less frequent in classical test theory research, but highly valued in qualitative research.

The reasoning above also implies that classical test theory focuses on long-term and stable characteristics, because true values are best identified by methods of repeated measurement. If the researcher alternates or changes characteristics or variables that are highly dependent on and interactive with test items or life conditions (e.g. interactions, the environment) they are bound to be neglected or not measured properly. It is no surprise that this traditional classical test theory is widely used in personality psychology (e.g. Amelang and Bartussek, 1990). The psychological study of traits which are seen as stable needs this strategy of research, which Amelang and Bartussek (p. 131ff) call a "Theorie der Reliabilität" or theory of reliability. A deeper look into the discussion raises the question of whether or not personality can change. This question is directly connected to the methodological discussions collected by Heartherton and Weinberger (1994).

Standards of Quality Resulting from Classical Test Theory

In the following, I discuss the three criteria of quality used in classical test theory, in their order of importance. Each of these yardsticks depends directly on its predecessor. The whole quality of a test can therefore only be as good as the worst performance of one of its criteria. That is, the chain is only as good as its weakest link. The criteria are dependent on each other and ordered in a fixed sequence. In combination with the construct of a true value, the system attempts to minimize complexity and multiple influences on test scores and behavior.

Objectivity

Objectivity means that test scores should be independent from the researcher. Thus it represents the core of methodological be-

haviorism (Groeben, 1986b; Groeben & Scheele, 1977, pp. 34ff.). In the best research no interaction occurs between research subject and research objects. Computers, well programmed, can help reach this goal (e.g. used in the psychology of perception). Every interaction between humans bears the possibility of systematic alterations and systematic influences on the error term. This must be avoided in every phase of research: data collection, data analysis, and data interpretation. For the sake of objectivity, the researcher tries to minimize every subjective influence on the data, especially the influence of persons. This influence is measured by calculating the correspondence between the various persons who collect or analyze data.

Reliability

Different strategies can help establish reliability, or accuracy of measurement. They are all based on the stability of the underlying construct a test tries to measure. The most common ones are split half (dividing the test into two equivalent halves and calculating their correlation with each other), parallel-test (calculating the correlation of two different tests that postulate to measure the same construct) and re-test (i.e. repeating the measurement after some time). Another strategy, internal consistency, is based on the inter-correlation of all test items with one another. In it, each item is regarded as a parallel test and inter-item-correlations are regarded as equivalent to parallel-test reliability. A necessary condition for internal consistency is the homogeneity of all test items. This reduces the variability that can be measured, because variability would lead to a heterogeneous test and thus to reduced reliability.

Validity

Validity means measuring what one claims to measure. The validity of a given construct depends on its correspondence with other constructs or measured variables. This means that validity depends highly on the validity of those other reference variables (e.g. for the measurement of success or failure), which must be proven in advance. Different forms of validity are used. Researchers seek predictive or concurrent validity by forecasting on subsequent or simultaneous behavior in performance or life situations from the empirical test scores (ETS). Examples are success in school, therapy or future employment. Face validity – for example, the idea that driving skill is best tested by actually driving a car – emphasizes that performance should directly represent the construct in question. Construct validity, commonly sought in personality psychology, focuses on a construct which is not directly observable. It must be reasoned empirically as well as

theoretically, e.g. through an intelligence or uncertainty-certainty orientation (Huber & Roth, 1999).

Considering the above criterion, we must ask if they are appropriate for evaluating qualitative methodology. For example, the direct interaction of research objects and research subjects raises many issues which can either be regarded as part of the error term or from a qualitative position – can be seen as essential elements in the situation (e.g. building up a relaxed atmosphere free from stress or other constraints). In qualitative work, interviews are not usually repeated. Some research questions would become absurd if the researcher tried to "correlate" parts of them with each other to measure stability. On the side of validity, the process of reconstructing subjective theories itself ensures the quality of the resulting theory. If we try to trust our research objects, we have to believe that their explications are actually representing them. The primary way to explore their belief systems is to ask them. Again, the process itself and its structure of communication ensure the validity of the resulting subjective theory structure. If people act as they claim to act, they may point the researcher toward a different research question and Groeben's (1986) two-phase model may be a good starting point. In such cases, standards of quality have to be discussed again. The process of reconstruction itself facilitates and enhances the probability of a change in several aspects of the belief systems. This change directly contradicts the concept of reliability.

Critics on Classical Test Theory

General criticism of the classical test theory, its assumptions and resulting methodological consequences can be found in Flick (1987), Lamnek (1995), and Birkhan (1992). The latter writes from the perspective of the research program of subjective theories. Their various arguments support following discussion.

First, classical test theory is useful as a theory of reliability only in those fields of psychology in which changes are not important or are explicitly based on stable characteristics like traits or other personality constructs. The criterion of objectivity as an attempt to avoid distortions in the subject-to-subject interaction undermines the importance of personal communication and interaction in doing research, i.e. the research relationship. Researchers cannot understand the personal meaning of selected test items without engaging in dialogue on those issues. Therefore, they cannot know what their objects assume about the test items. This can dramatically reduce validity if the research depends on contextual variables and does not try to minimize or eliminate the context in which the objects live.

Most qualitative research approaches emphasize the research relationship as an important instrument of the research process.

The researcher and the object try to reach a consensus about the object's understanding (see Scheele & Groeben, 1988) of all relevant and important topics. Classical test theory does not provide for, or expect, this work. Its primary focus is on identifying statistically based differences in the means of large samples and not on individual perspectives or personal constructs. On the other hand, qualitative methods focus on case studies or small samples, but with the aim of more deeply understanding qualities and their various manifestations in different contexts. This approach aims to answer specific research questions in the most appropriate way.

Any influence that cannot be standardized and controlled is part of the error term; In classical test theory, for that reason it is operationalized as a random variable. The concept of reliability leads researchers to neglect other, highly valuable, subjective information within the ongoing research interaction: conditions, personal feelings, surroundings, atmosphere, past experiences or spontaneous impulses. In classical test theory, these error variables are as deficits to be eliminated or at least minimized.

In theory, as mentioned above, depending on the size of the sample, errors should lead to a mean of zero to reveal the true value as the actual object of research. But this means that many important influences are not only evaluated as disturbing, but are also handled as equally important without reflecting their different meaning, emphasis, and influence on different persons.

Using the Constructivist approach allows researchers to alter the process of (re-)constructing reality which results in different personal experiences according to time and place. This process of changing experiences which Maslow (1996) might call self-actualization, can make the research process more satisfying for both parties. Of course, it can also lead one to believe that some opinions and most basic concepts of life (e.g. ethical attitudes) are stable over time. On the other hand, the very process of investigation may change the object of research, which is quite possible and understandable. This change is not an error, but simply the process of someone making progress toward autonomy. Of course, for some research questions scientific criteria like those formulated by Popper (1943), are needed to evaluate research from various angles.

All error variables that can influence empirical test scores are important in revealing how interactivity influences can alter human cognition, emotion, motivation, and action. This process requires the exploration of personal opinions, which can only be stated by the research objects themselves. They are the first and often the best sources to explain their own actions. This attitude in research has consequences for the design of research instruments: they must be sensitive to stable characteristics as well as to unstable, fast-changing ones. Only if objects cannot or will not provide explanations that are in line with empirical obser-

vations and findings, will other methods have to be used (see Groeben, 1986, for further details on action, doing, and behavior in this context).

Defining test scores as a product of reactivity also suggests that research objects will not only try to find sense in test items but in fact will try to every time! But this searching for meaning and sense would mean that test scores are not a product of reactivity but the outcome of activity (in this case a product of cognition and reasoning) based on emotions and somatic markers (Damasio, 1994). Sometimes, test items look more like a problem-solving task.

Thus, an interaction between research subjects and test items will very likely have at least some impact on empirical test scores. This interaction, namely the influence of the method used to explore the subjective perspective of research objects, is part of each investigation. To state in advance that this interaction should be eliminated, as classical test theory does, seems to be a senseless attempt to cope with the complexity of human experience. Lamnek (1995, p.18) remarks that by trying to standardize methods in most quantitative approaches, researchers think they can avoid actually doing research. But this makes their connection to the research field only imaginary, because at least their instruments interact enormously with research objects.

Another problem derives from the idea of stability: self-actualization (Maslow, 1996). People can at least potentially explore themselves and they also often try to change themselves if they discover new ways of acting. This process of exploration is an explicit part of Kelly's (1995) personal construct theory. This process is also reflected in the two-phase model of reconstructing subjective theories in which one explores contents and then actually reconstructs those structural contents (Groeben, 1986). From personal research experience, I have observed that in phase two some research objects question their personal belief systems and represent new and different views from those they held in phase one. Sometimes they emphasize other issues as relevant in contrast to what they described during phase one. The earlier postulate of stability still makes no sense in such a research context.

Another point of criticism stems from the human tendency to say what one thinks is relevant or interesting for oneself or for the researcher. To understand what an answer really means requires simply asking for it. Test items typically provide a very limited selection of answers and researchers seldom investigate whether the objects see the test items as appropriate. Even in direct research communication like interviews, many misunderstandings can arise because of different interpretations, verbal misunderstandings, etc. These hindrances can be minimized by asking, reflecting together, and reaching a dialogue-consensus (Groeben, 1986) or by introducing meta-communication for reflection. This

is not possible when test items merely act as stimuli for reactivity. Classical test theory, as stated above, provides no guidelines to understand behavior, cognition or emotion from the subjective perspective, but simply aims to present statistical information from large samples on a specific topic. To test clear hypotheses in large samples using bio-physiological measures like neuro-psychological tests on the effects of brain injuries, classical test theory seems to be a useful approach, especially when enhanced by probabilistic test theory. Other researchers (Mayring, 1990) question the appropriateness of the classical test theory even for the quantitative paradigm. But if research questions require "understanding," classical test theory is rarely appropriate.

Several types of interactions occur during research; these are strongly related to measurement concepts.

Excursion into Measurement Concepts

According to Gigerenzer (1981, p.90), the two-order model of measurement neglects intrapersonal states like cognition, self-awareness or emotions. The two-order model consists of the interaction of

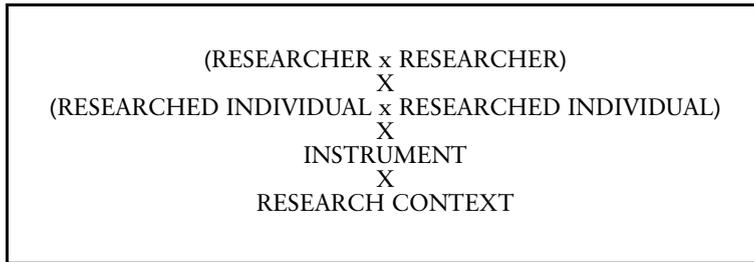
OBJECT X CHARACTERISTIC

Newer approaches (Birkhan, 1992, 257), based on Gigerenzer's approach, use a three-order model:

INDIVIDUAL x OBJECT x CHARACTERISTIC

Introducing one new variable – the individual – increases the number of interactions, making for a more complex research model in which more elements must be considered. Still, this is not satisfying, because in qualitative research at least two persons come into contact, each with different backgrounds, opinions, emotions, experiences, and so on. Additionally, people interact not only with other people but also with themselves and their own past.

An appropriately extended interaction model would include four elements (see also Birkhan, 1992, 267):



All research participants (subjects and objects) interact continuously with themselves (their past experiences, memories, assumptions, stereotypes, emotions etc.), with each other, with the research instrument (questionnaire, interview), and with the research context (actual atmosphere, surroundings). Thus, the number of interactions increases dramatically. If it was very difficult in the two-order model to control all variables, it is virtually impossible to control every variable and every interaction in the two over two over two model. Instead of trying to control people's subjective aspects, researchers can use strategies (e.g. transparency, metacommunication, building rapport, self-reflection) to consider all subjective elements and all interactions as being proper parts of the game. Later, as I discuss insight meditation, I will add further arguments on using subjectivity that will narrow the focus to interactions between the subject(s), the object(s), and their own selves. Here, I reiterate that research situations are very complex. It seems useful for the researcher to establish and develop self-awareness of intra-personal (cue-)reactivity with past and ongoing experiences. The role of the researcher is to reflect together with the objects, fostering communication and dialogue, being transparent, and helping them to reach a state of being satisfied with their own answers to questions and related tasks. In the research program of subjective theories, one main goal is for objects to be satisfied with the outcome of their self-generated data, feeling they are represented in it. Another important point is the development of a dialogue-consensus, which requires great motivation and commitment from the object and must thus be explored in advance. If the object is not motivated enough, perhaps the study can be simplified or alternative, less demanding procedures will have less negative side effects. This is a serious problem for I see no clear and general solution. Careful sample selection can help minimize the problem.

My next focus is the standards of quality which are applicable to qualitative methodology, especially the research program of subjective theories.

As stated above, in this paper I focus mainly on research in the program of subjective theories; I now focus on studies in which an epistemological subject is postulated (Groeben & Scheele, 2001). Given space limitations, I do not discuss other areas of qualitative research (e.g. with handicapped people, infants, or non-verbal communication) in detail. According to Glaser and Strauss (1979, cited in Flick, 1987, p.247), general standards of quality should be based on three criteria:

- kind of data collection,
- analysis and description of qualitative data, and
- reception of qualitative data (e.g. through readers).

The same authors who criticize the approach of classical test theory also give guidelines on more appropriate criteria in the field of qualitative methodology (Lamnek, 1995; Flick, 1987) and the research program of subjective theories (Birkhan, 1992). Several elements are most important in discussing standards of quality in qualitative methodology. Generally speaking, relevant criteria are precision ("reliability"), clarity, the possibility of systematically altering data, and actually researching what is truly intended ("validity"). For each criterion, different methods are used.

Language and communication are among the most important instruments in the social sciences. Language should be precise and clear (Birkhan, 1992). If research objects are not clear or cannot express themselves clearly, the researchers' task is to help them or to agree with them that some elements cannot be explicated in clear terms. This extra information, located on a meta-level, adequately categorizes these data for later analysis. The precision enhances reliability if reliability is defined in terms of exactness and precision.

Additionally, the whole process of research should be transparent from the beginning. This enhances commitment and helps to clear most questions, considerations, and doubts in advance. Qualitative approaches seldom try to trick research objects, as often happens in traditional psychological experiments.

Birkhan (1992) adds that it is useful to maintain a separation between reliability and validity, because it is always possible, that high reliability does not lead to high validity. Huge gaps can exist between those two criteria. For example, a person can constantly lie about one topic: this is highly reliable behavior, but absolutely not valid.

If data are very precise, a comparison with real life or other constructs becomes easier and validity is enhanced. The special situation in qualitative methodology (direct communication, the great effort required for research objects to generate their per-

sonal data) and the efforts to establish an authentic and transparent research relationship are further elements to secure the validity of the resulting data. Reliability and validity depend on each other as they do in classical test theory.

Objectivity, as discussed above, is not appropriate for qualitative approaches. The fact of a research relationship between subjects is not congruent with the term objectivity. It would be better to use a term like "disturbances of communication" to describe influences that systematically interfere with the relationship or the data in negative, unproductive ways, i.e. in reduced validity. For example, one research partner may consciously or unconsciously not speak his or her personal truth, and not say what he or she really thinks. On the other side, a researcher may not hear the issues he or she intends to explore. In each case, validity is reduced.

In contrast to the postulated stability of classical test theory, which depends highly on the error term, qualitative approaches recommend and encourage the recognition of changes (of mental attitudes, behavior, feeling and thinking) and self-actualization, if they occur. But these changes should be logical, reasoned, and not arbitrary (Flick, 1987), but based on replication. Furthermore, qualitative research reflects the conditions in which data are generated; it sees only a limited prognosis for the behavior and understanding that comes out of these data if these conditions are not an explicit part of the ongoing reflection.

Some researchers (Flick, 1987, Lamnek, 1995, pp.245ff.) also favor the term triangulation, derived from Campbell and Fiske's (1959) "multi-trait multi-method," which Denzin (1978) brought into the qualitative methodology. This means exploring the same research topic using different methodological approaches to gain different angles and perspectives. These different perspectives are often collected at different points of time and place. The task is then to integrate differing data sources and to evaluate if they can be integrated into a coherent research result without logical inconsistencies. The idea is, that if equivalent results emerge, after considering the uniqueness of each strategy and method – the outcome can be seen as valid.

As described above, Groeben (1986) postulates a two-phase model for testing subjective theories based on the adequacy of the object's later actions; he believes subjective and observer perspectives can be combined into a valid result. Groeben and Flick (1987) also suggest communicative validation and dialogue-consensus as ways to insure that both research partners reach an understanding at the end of the research situation.

Selected Criticisms on Standards of Quality in Qualitative Methodology

Now I focus on one issue: the researcher's interaction with himself or herself as a possible source of disturbance of the research situation. I believe that Groeben (1986) explicates the potential of self-care and the practical aspects self-application, but he provides no guidelines or methods of practice. Following Kelly (1955), the "observer bias" points towards the construction of reality - even in scientific work. One can understand this idea by remembering that almost all theories and data analysis allow for interpretation in at least two different ways, but often provide more interpretations.

To be aware of all those subjective constructions, images, world views, and blind reactions on a deeper level of conscious life experience is a task which goes far beyond mere intellectual-cognitive reflection. From a Constructivist point of view, there is no "objective" or independent "ideal" reality. Everything is part of an ongoing constructive process with its characteristic of change. This is true for the whole process of scientific research, too. Accepting this perspective, scientific investigation is a product of social, individual-biographical, and cultural processes on the level of inter-personal and intra-personal interaction. Thus, theory building as well as data collection, data analysis, and data interpretation can be regarded as elements in reconstructing of subjective theories that occur within a social community, which of course has its own rules and regulations. The researcher must consider all these influences simultaneously in order to remain open or at least reflective, with research objects and their unique opinions.

Various approaches developed in psychology seem to be useful to the researcher seeking to master the task of being autonomous and fully capable of acting without being unconsciously distorted in perception and interpretation. Self-exploration in psychotherapy is one possible way of climbing up some steps on Maslow's (1996) pyramid of needs and wants. Another solution is having supervision or working in highly effective groups or multi-disciplinary teams. The researcher's most difficult task is to reflect world views that seldom even seem effective and which may stem from cultural or family habits. Self-application to change deep-rooted habits of thinking, feeling, and reasoning seems to be a delicate job.

I now introduce an old Asian technique to explore the process of reconstructing reality and of exploring the arising and passing away of mental models: Insight meditation. I postulate that this technique can have a great impact on the researcher, on the investigation process itself, on analyzing, and on the attitude of the mind in interpreting data. Practicing the technique, can give the researcher heightened awareness and wisdom about oneself

and one's interaction with other people and social contexts. As a consequence, mental habits can be altered and dissolved or recognized in their influence on daily routines and communicative habits.

An Alternative Approach: Buddhist Psychology

Insight meditation is based on spiritual traditions that aim to develop insight into personal habits, personal constructions, mental models, dysfunctional belief systems, and resulting deficits in action and social competencies. The technique I describe here, a method of self-observation of breath and physical sensations, is called Vipassana, or "to see things as they really are." It emerged out of the direct experience of Siddhata Gotama, also known as the historical Buddha. Vipassana is a method to develop a proper life-style, concentration of the mind, and insight and awareness about oneself (see Buchheld & Walach, 2001 for an overview of awareness in research.) Introductions to the theoretical and practical aspects of Vipassana can be found in Scholz (1992), Solé-Leris (1994), Hart (1999) and on the internet at the URLs www.dhamma.org and www.vri.dhamma.org. Schumann (1999, 2000) provides further introductions to Buddhist thinking, historical developments and its founder, Siddhata Gotama.

Vipassana is a technique which works strictly with actual reality: breath and bodily, physical sensations. In the tradition of Sayagyi U Ba Khin, as taught by S. N. Goenka (1997a, 1997b), it is taught around the world in ten-day courses to anyone who is interested, except those with severe mental disturbances. There, the practitioner learns to observe and maintain an ethical life style (called Sila in Pali, the language in which Buddha's teachings were originally written) as an essential prerequisite to enter the field of meditation. Then, through the technique of Anapana-sati, i.e. observation of one's incoming and outgoing natural breath, one develops the ability to concentrate the mind to a level at which it is possible to feel various normal bodily sensations like heat, pain, trembling, etc. Then, Vipassana is introduced; it can be described as mere feeling of sensations (see Scholz, 1992 for a clarification of that issue). The meditator learns to scan his or her body for sensations which are merely observed. One practices observation and equanimity by not reacting towards any kind of sensation (neutral, positive or negative). Sensations are chosen as the object of meditation, because they link body and mind, according to the experience of the Buddha himself.

This task can not only be a source of mental calm, but is most notably seen as a source of insight into one's own mental processes and their influence on action and behavior. This reflection which is both mental and physical, is crucially important for the researcher who wants to stay in touch with reality (i.e. with

his/her bodily sensations). Newer findings in neuropsychology (Damasio, 1992, pp.227ff) also emphasize the roles of bodily sensations as the source of intelligent, rational, and altruistic activity.

The Underlying Model of Buddhist Psychology

Like Psychoanalysis, Buddhist psychology postulates that the human mind has different parts. On the surface, the so-called conscious mind acts, thinks, feels, sleeps, and dreams. Below the surface, the so-called unconscious mind (which is not identical to Freud's definition of the unconscious) reacts in ignorance towards every physical sensation, 24 hours a day. In this perspective, people are not really happy, because they do not have full control over their minds and the behaviors they exhibit. Their pattern of mental activity is to react without being aware of doing so. As a consequence people mostly have control over the conscious parts of their minds, but not over the unconscious parts which are more important and which shape motivation and intentions of activity. Research activities are also influenced by that vicious cycle of reaction-reaction. But by practicing self-observation, specifically by calmly observing normal bodily sensations (see Scholz, 1992), a meditator develops wisdom. This wisdom involves how the mind interacts with the body, and the body with the mind, and how belief systems, mental models, and assumptions about relationships in the world shape and form thinking, feeling, and acting. Through the process itself a meditator becomes capable of reducing dysfunctional aspects of the mind and also learns to transform them into positive attitudes, peace, and altruistic love. Especially in interactions with other people or in critical life situations, a practitioner becomes more able to confront situations with a firm and stable mental attitude. Vipassana works because every time a feeling or thought or impulse arises in the mind, a sensation is related to that part of the mind (Anguttara Nikaya, Verse 107, in Vipassana Research Institute, 1993, p. 70) and this sensation can be felt in the body (see Scholz, 1992, pp. 301ff. for further details). The meditator is urged not to react to any kind of sensation, because they are impermanent and cannot be a source of real happiness. Then, through the experience of not reacting, the meditator eliminates the deep rooted habit of reacting and the freedom to act emerges automatically (see Goenka, 1997a, 1997b).

Consequences and Practical Aspects of Insight Meditation

The benefits of Vipassana meditation are said to be endless and to lead to what is called in Pali "nibbana," freedom from oneself and freedom from unhappiness, ignorance and the changing nature of the world (Solé-Leris, 1994). In addition to these spiritual aspects,

the technique provides many useful possibilities for research. The subject-to-subject interaction, which I believe to be one of the most crucial factors in investigations can be enhanced. The relationship with research objects has a great impact on disturbances, clarity, and atmosphere and in the end on the quality of the resulting data. With the help of meditation, which has to be practiced daily to be effective, researchers can reduce much of their dysfunctional behavioral intentions; after all, we are also only human beings. The practice of Vipassana provides solutions on how to act in critical social situations without being overwhelmed by emotional impulses or other influences. Thus one can adopt autonomous action rather than be dominated by reactivity. Additionally, we can identify images or attitudes and constructs about relevant topics and transform them into openness towards new experiences that research objects express out of their momentary subjectivity. Also, the capability to work and to concentrate is improved during work and action is based on deeper aspects of the mind than cognition. Thus, cognition is more in line with one's whole being.

I suggest that this technique provides clear practical guidelines to realize what is often called "psycho-hygiene" or self-application (Groeben, 1986). Self-application is the other side of the researcher - researcher interaction I described above. Thus, insight meditation focuses on exactly this part of qualitative research for which no other clear practical advice has yet been established. The process of meditation itself (if practiced properly) is an ongoing self-transformation of motivation, cognition, and emotion in relation to the research situation, one's goals, and the methods used. Insight meditation adds another practical possibility to standards of quality and makes the practitioner more independent from outside conditions.

A Research Example: Subjective Theories of Humor

In closing, I will demonstrate the difference between classical test theory and qualitative approaches with the help of an ongoing study about humor in the field of educational psychology. As an example, I chose the 3WD (Ruch, 1992), a test of humor in which items (black-and-white cartoons and written versions of jokes) are rated for "wittiness" and "moral acceptance." I was able to reproduce approximately the three-factor analytical structure postulated by Ruch. Furthermore, Ruch (1992, 1998) has published research showing the high reliability of the 3WD. The 3WD can also be used in a computerized version, allowing almost perfect objectivity. Indeed, I found substantial correlations with sub-scales of the certainty-uncertainty scale (Dalbert, 1996) and the five-factor model of personality developed by McCrae and Costa (1987). These results would imply a good construct validity based

on high reliability and very good objectivity - if the terms of the classical test theory are good yardsticks for the quality of a test.

Different people think differently about humor. I conducted ten interviews with people from various educational contexts (school, vocational school, university, adult education). The interview transcripts show that jokes are of course part of humor - but often only a very small part. Many interview partners raised topics like handling conflicts or maintaining mental balance in their statements about the functions of humor. Jokes seldom play a stable and crucial role in the core of the subjective understanding of humor and its associated activities. On the other hand, when these people were asked what humor was, they often spontaneously responded with "laughing" or "saying something witty." A further exploration of what that meant to them usually led to an immediate change of topic: they often told stories about their private and public life, misfortunes, events, and attempts to deal with special, often critical, social situations. Then, e.g. the term "joke" was seldom used in conjunction with humor. At the extreme, one interviewee only used "joke" to illustrate, but not to constitute her subjective theory of humor. The identification of humor, life experiences, and the resulting role of wit was only possible for a researcher using dialogue methods and the standards discussed above to ensure the quality of all answers. A mere reactivity approach, in a humor test like the 3WD, failed to reveal deeper, but more relevant, aspects of humor, its experience, and the reaction that resulted.

Combining and Integrating Qualitative Methodology and Insight Meditation

In addition to the strategies, discussed, of enhancing validity that are common in qualitative psychology, insight meditation can be another element in triangulation. In this paper, I have focused on the researcher–researchee interaction in the multi-order measurement model and on research that mainly takes place in the research program of subjective theories. Further investigations are needed to explore how my arguments fit with other aspects of qualitative research. The research using insight meditation creates a shift in the triangulation, from concentration on outside objects to internal objects, the inner life of the researcher. Insight meditation is a technique which is practiced within, not outside, the practitioner. I tried here to show that the objectivity which is emphasized in classical test theory is an illusion for qualitative investigations. It also inhibits the necessary social process of interaction and communication which is crucial to collect valid data. I believe we find meaning only through subjective interpretation, making reference to theoretical hypotheses. This means that even in classical test theoretical approaches, theory building

and data interpretation are highly subjective tasks. Even more, Buddhist psychology places great importance on the changing nature of reality experiences. In the humanistic psychological sense of self-actualization, these stand in contrast to the stability concept as it is postulated more or less explicitly by classical test theory. In this thinking, therefore, change and a personal "update" to one's belief system, are not regarded as errors, but as opportunities to enhance the reliability, authenticity, and validity of results. Reflection on mental models stimulates developmental processes that can optimize one's action and performance. Active elaboration which often includes fundamental changes, shows that the research objects are committed and engaged in explicating personal constructs. But, of course, as stated above, the standards of quality interact and depend on the research question and the resulting methods of analysis. Research which depends on large samples needs different standards of quality than the exploration of subjective theories of small samples.

Additionally, from my subjective perspective as a researcher and as a practitioner of the technique of self-observation, I have the impression that this technique helps one to stay focused on the answers, in touch with oneself and the participants, and to develop a relaxed atmosphere in the research situation. Although these are personal and of course highly subjective impressions, they still lead us to try to integrate our personal experiences as a researcher with our inter-personal discussion of research facts and outcomes.

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Questions about new technologies and qualitative educational research in cyberspace

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Abstract

In this article I present thoughts generated from a case study. I focus not on developing the research sequence; instead I show how the questions I hoped to answer situated me as the researcher, in a frame of analysis and interpretation that varies from the typical qualitative approach.

I analyse and interpret data produced in an online forum in a class within the Social Education major in a long-distance university. My aim is to look at the Informational Paradigm together with the context in which the information is produced, cyberspace, and include them in the methodological process. I describe this paradigm and the cyberspace context and try to synthesize the characteristics of the two with the characteristics of the traditional qualitative research focus.

Introduction

Information and communication technologies influence formative processes on different levels. Pedagogical models and designs that are based in a web communication structure and distance-learning system incorporate variables that end up not only as learning processes, but also as the research and evaluation of their characteristic aspects. The greatest changes occur in the theoretical assumptions underlying instructional design, the practice that sustains the effects of that socio-cultural setting has on the subjects who are situated in a range of contexts.

In this article, I present some ideas that developed as I did research on formative experiences on the web and supported by the internet. This research was developed in the context of a long-distance university that needs to better understand the communication between the students and the teaching staff. This particular situation enabled me to reveal the levels at which the socio-communicative configuration changes the customary development of qualitative analysis.

The main question I explore is the epistemological foundation, especially the validity and representation of the processes and scientific results of new investigational processes. These new processes will have to be developed in the social and socio-historical context of developed communities, where technological predominance affects both personal relationships and the symbolic component. The Technological Paradigm introduces new

dimensions to qualitative research in the social sciences. On one hand, from an ethnographic perspective, we now have new aspects to consider: the symbolic components, new ways of constructing relationships, technologically mediated message processing, etc. All of this requires us to adapt the traditional objectives of ethnography of knowing, describing, explaining and interpreting the culture of communities and their surrounding communities or justifying the new setting of technological predominance. On the other hand, as a framework for analyzing and interpreting the data, the dimensions that characterize the Informational Paradigm have already been incorporated: the relevance of the information, the socio-technological penetration, the logic of the interconnection, the digital adaptability, and the integration of convergent support systems. These aspects, taken together, redefine the role that critical reflection plays in the specific interpretive analysis.

Qualitative research through asynchronous Internet communication tools: A case study

This article reflects a particular point of view adopted in a concrete research development. The study focuses on what a researcher can do with data results obtained in a mediated dialog using the internet communication tools: Internet Relay Chat (IRC) along with e-mails produced in a online forum. The context is a university that looks at the online forum as a teaching method, linked with theories on constructivism and communication and in association with the distance learning process.

In this setting, I used the online forum as a strategy to obtain discussion data and the opinions of university students. In the same way, I used IRC transcripts to compare and contrast the previously mentioned internet communication tools to analyze the personal communication in cyberspace.

My goal was to construct a qualitative method of analysis adapted to our case study, based on the data produced in internet conversations using asynchronous tools. This was all situated in the relational context defined as cyberspace, where the internet is not a simple operative technology, but the base where exchanges take place, as well as a symbolic space with specific practices and communication codes that actually interfere with ethnological research.

I begin by defining the main conceptual and epistemological principles, the theories that structure the research design and finally, the process that results in the data analysis.

In principle, on an epistemological level, and in order to preserve the conceptual/theoretical coherency as I interpreted data and drew conclusions (Miles & Huberman, 1994), I center

the discussion on determining just what paradigm adequately defines the context in which the data is developed and its contrast with reality. In this case, I chose the Informational Paradigm, which I describe below.

This method is based as much on traditional theories associated with the qualitative focus — psychology, sociology, anthropology and education — as on theories implied in the paradigm.

My data analysis uses common qualitative methods, especially the ethnograph approach, but I also consider some criteria that arose when I introduced the contextual variables in a relational space defined as cyberspace. My analytic process aims to answer these questions:

- 1) How can one interpret the texts that are generated from dialogues in an online forum?
- 2) How can one interpret the textual structures generated from the conversations when the emission/response sequence is not synchronous?¹
- 3) In what way does the subject matter that defines each sequence or chain of linked messages affect the communication?

Defining the paradigm adapted to cyberspace research

A paradigm that could serve as a basis for analyzing dialogue quotation data generated on the internet must integrate two paradigms. The first includes components associated with today's new technologies and the repercussions of these technologies on society (Informational Paradigm). The other paradigm includes qualitative methods (Qualitative-Interpretive Paradigm). Using such an integrated process, researchers could assimilate an analysis of communicative discourses of a descriptive type, an explanatory type and an interpretive type, contextualizing all of it in the socio-historical and spatial frames in that which the discourses were generated. This process would guarantee the

¹We know that the timeframe sequence in which interventions are produced in face-to-face conversations is one essential criterion for interpreting data in a qualitative analysis. Therefore, what happens when the timeframe sequence is not simultaneous? How does one interpret communication when it takes place in a timeframe between interventions? How does one interpret the motives that one has in sending a message in a context where the sender can see what the other people have already said about the same theme or a similar one? And in what way do the subjects that define each sequence or chain of linked messages affect the communication?

conclusions that are valid. In Table 1 (see below) I compare the premises of these two paradigms.

The new paradigm is the informational one. This new framework presents connections to the premises that are the base for my qualitative focus. Essentially, both paradigms share the same research process logic and some of the theories that influence their composition. In Table 2 (see next page) I show some of the theoretical and methodological links between the two focuses.

Table 1:
Comparison of the characteristics of the Qualitative-Interpretative Paradigm and the Informational Paradigm

<i>Qualitative-interpretative paradigm</i>	<i>Informational paradigm (adapted from Castells, 2000)</i>
<ul style="list-style-type: none"> • Holistic: multiply the conceptions of reality • Phenomenological: phenomena as an object of understanding • Interrelation between subject research and the research itself • Aims at description • Convergence between cause and effect • Implicit values in the research 	<ul style="list-style-type: none"> • Information as a primary object • Social and technological penetration² • Logic of interconnection • Digital data adaptability, flexibility, reconfiguration • Integration systems converge supports with technological applications

² One characteristic associated with new technologies is their capacity to penetrate the different layers of society: cultural, economic, educational, industrial, etc. On a social level, the penetration of these technologies in different environments permits the community to participate in different kinds of relationships. The characteristic of the internet as a free technology tends to mold, without defining, the individual processes and the collective relationships of the people who access information through this medium.

Table 2:
Similar theories and methodologies about the Qualitative-Interpretative paradigm and the Informational paradigm

<i>Qualitative-interpretative paradigm</i>	<i>Informational paradigm</i>
<i>Similar theories</i>	
Sociology, Psychology, Anthropology, etc.	Sociology, Economics, Learning Theory, Information, Representation Theory, Audiovisual Communications, Biotechnology, Nanotechnology, etc.
<i>Key methodological ideas</i>	
<ul style="list-style-type: none"> • Hermeneutic phenomenology (Husserl, 1970; Heidegger, 1962; Ricoeur, 1981; Habermas, 1968) • Ethnographic: anthropological, classic, systemic, interpretive, critical, & communicational (Malinowski, 1966; Boas, 1966; Jacob, 1987) • Symbolic interaction (Blumer, 1969; Glaser & Strauss, 1967) • Ethnomethodological (Garfinkel, 1967; Cicourel, 1972) 	<ul style="list-style-type: none"> • Systems theory (Bertalanffy, 1976; Checkland, 1993) • Cultural sociological theory (Wertsch, 1993; Ramírez, 1995) • Education critic theory (Anderson, 1994; Muffoletto, 1994; Nichols, 1994; Yeaman, 1994) • Communication theory • Mediated action (Vygotski, 1989)³ • Cultural objects (Giddens, 1990) • Cognitive mediation tools (Cole, 1999)

The Informational Paradigm helps to explain the social processes in settings based in internet technology and structured around information networks. From a qualitative point of view therefore, an analysis of social construction in cyberspace is appropriate, because it is a virtual learning community. Thus this process should show how this paradigm can contribute.

In education research, we first need to define, explicitly, a conceptual framework for the teaching and learning process. In this case, the educational process can be defined as a communicative one. The dialogue between the actors in the pedagogical processes (including teacher, student, materials, hardware, etc.)

³ According to Vygotski (1989), superior cognitive processes become possible when the subject interacts with the tools, the settings and the possibilities. The tools are a medium through which humans, engaged in external activity, hope to change the aim of the activity. Interpreting these theories helps us understand the processes that influence the interaction between the subject and the tools.

becomes a significant aspect for gathering data in a scientific environment, especially when the context is so prevalent in new technologies like the internet.

I now present the main ideas of the Informational Paradigm. I assume the readers of this volume are aware of the Qualitative Paradigm to which I compare it.

A framework for researching in cyberspace:
Context and components

The framework for my research consists of assumptions that guided the data gathering, analysis and interpretation. My design followed a structure and methodology similar to the ethnographic one and integrated the components of the Informational Paradigm.

Castells (2000) cites Freeman, (1988) who describe the Technological Paradigm, adapting the classical analysis of scientific revolution in Kuhn (1962) to the changes produced in today's transformation technology and the interaction with society and economy. Castells specifies the features of the Informational Paradigm, making an argument similar to mine here (see Table 1).

The first characteristic is *information as a primary object*. The technology is used to manipulate the information. In a digital process, the binary codes play the major role in the communicative process between humans and humans, humans and machines (computers and other equipment that contain a microchip), machines and machines, etc.

The second feature is *social and technological penetration* and refers to the new effects of technology. Human activity processes, like community members, mold new technological media and are not molded them.

Interconnection logic is the third feature: certain systems or relationship groups have to do with information technologies. Net morphology, like internet disposition, is presented in new social configurations. Internet morphology and internet disposition are based on the interconnection between computers. The internet is used as a common communication protocol. This disposition shapes a net structure. The people can use their personal computer (or another machine linked to the net) to exchange the messages on the net. Net connection implies a way of communication all-to-all at the same time independent from spatial distance. Interconnection logic is necessary to structure things that have not been previously structured: processes or kinds of relationships that are not net interconnected issues. Now, however, information and communication technologies can link these processes and/or relationships and incorporate them into a linked setting. For example, industrial production processes can

now be carried out as world net processes with the materials, operators, construction sites and other parts of the process *physically* separated but communicatively linked by new technologies, especially internet technology. Similarly, distance education can be structured by net logic, in contrast to the industrial concept of distance education.

The fourth characteristic is *flexibility*. The components in a technological system or in organizations and institutions can be reordered, along with their internal processes. In a technologically mediated organization the management frame can be reordered without destroying the organization's material support.

The last feature is that *systems integration in convergence supports technological applications*. In this paper, my focus is on information and communication subject matter, especially internet development. The internet is changing forms of communication because programs now enable us to codify and decode data. These programs are much better than those that earlier could only be run over telephone lines.

Because the informational paradigm defines types of relationships on a social level, some of these characteristics can be moved into the realm of *cyberspace* to outline a specific framework where people can carry out communication processes, and sometimes develop educational or other processes. Cyberspace is made up of the general context in which we analyze internet communicative research, in all types of timeframes and participative formats: asynchronous, synchronous, one to one, one to all, etc.

Some clarifications about cyberspace are needed to clarify my framework. First cyberspace and cyberculture are not the same. Cyberculture can be taken as an idealistic cult because it talks about ideal constructions. Obviously, qualitative research on social processes cannot focus on ideal issues but requires real interactions between people, through various communication methods, and the relationships they have built over time.

Cyberspace, in contrast to cyberculture, is a semantic concept, and in Durkheim's (2003) terminology, it finds anthropological support in the most concrete social realities; analyses of it would be, paradoxically, about material dimensions. Two characteristics of cyberspace are crucial here.

On the one hand, it is a *non-physical social material space* that exists in a dimension without physical material. Cyberspace does not consist only of the sum of computers, telephone lines, satellites, mobile telephones, etc. because it is not physically limited. Cyberspace refers to the internal things that happen within the machine/device, the things made possible by all the machines and devices, all of this producing a setting where relationships between people are formed. That is, cyberspace is not made up of machines, but they do make its existence possible.

This creates two very interesting issues for the qualitative method, in the form of new ways of human socialization: the non-territorial and the non-corporal. Mayans (2002, p. 239) talks about a conjunction of these two characteristics: the fact that neither a physical / geographical space nor a corporal presence is necessary to facilitate the communication process, which is a necessary condition for sociability to take place.

On the other hand, cyberspace is a *practiced space*, a concept from Certeau (1988), because it is inhabited, it can form an eminent social space.

These characteristics are derived from a space with an ontological entity based on its users and their social practices. That is why the interactions in this setting, using automatic elements (for example, a web site) have an ontological quality similar to what people themselves have.

Considerations about Method

As stated above, a method of analysis derived from establishing a relationship in dialogue form (with the result synthesizing both characteristics) between the two paradigms maintains the basic structure of qualitative analysis, introducing the contextual features of the informational society and the web communication structure in the data interpretation stage.

The problem emerges when people link messages with their own criteria: themes, curiosity, time, chance, etc. In this case, I propose some changes in the traditional qualitative analysis processes. In a similar situation, the subjects' analysis presents the same problem in association with the link between e-mail messages.

Table3 shows an example of a sequence produced in the WebCT⁴ student forum:

⁴ WebCT is a Learning Management System (LMS) used by the Universidad Nacional de Educación a Distancia (UNED). It is a computer program that provides academic staff with a coursework shell to manage an online learning environment. It contains various online tools, like a blackboard and an online forum, in a common interface.

Table 3:
Example of a message sequence produced in the WebCT

<i>Number of message</i>	<i>Identity</i>	<i>Subject (R: response)</i>
1	A	X
2	AA	R: X
3	A	Y
4	AAA	R: X
5	A	R: Y
6	AAAA	Z
7	AA	R: R: Y
etc...		

This example presents a simplified structure of communication interactions in a WebCT forum, produced by a class in Social Education. The general subject matter of this forum has to do with the class material, but the message chain (messages linked to one another through interventions and responses between subjects) makes reference to other "sub-subject matter." Subject A writes the first message, talking about the subject matter "X" (shown in the "Subject [R: response] column). Then Subject AA introduces a new topic in response to the original subject matter "R:X" (shown as Number 2). The communicative logic in face-to-face interaction situations would allow a correlative sequence of responses to the subject matter, but in a virtual forum, it is possible to encounter delayed responses which appear just moments after the original subject has been introduced. As a result, the message that was intended to respond to a particular subject is found entangled in a different dialogue sequence from the subject it refers to. For example, various other subjects messages are inserted between 4 and 7, which respond to subjects X and Y respectively.

This example shows how the disruptions in the subject matter sequencing and in the timeframe order can alter the communication analysis process. In response I have developed some criteria that allow us to interpret the data correctly.

Essentially, the initial research phases, the data collection and analysis, do not differ from those of a conventional ethnographic process. However, in this case, the data collection tool is the online forum, with all its characteristics. The data analysis follows the categorization method, using codes associated with significant text segments. The content being analysed and the information presentation are also similar to those of research done in a physical setting.

The variables associated with the Informational Paradigm that allow us to contextualize of the analysis results form a major part of the interpretation phase. We categorize our conclusions based

on the collected information and studied them further using our theoretical models. In this synthesis we bore in mind some specific criteria of the cyberspace texts generated in this setting:

- Timeframe for the sending and receipt of messages on the forum. Following the theory of networks, the sending/receipt criterion is associated with another binary logic, that of inclusion/exclusion, and to the importance of a node within a network. Nodes grow in importance when they can absorb a large amount of information and become more efficient in absorbing this information. Given these factors of timeframe and nodes, when we interpret communication produced in a computerized environment, we can consider what the subject does with the information transmitted through the forum and how efficiently he/she responds to the objectives of the communicative dynamic.
- Emitted/transmitted emotions: the amount of meta-information in the messages.
- The feedback, which complements the information, making the interaction effective.
- The linguistic codes that are used: they let one situate oneself contextually in the content.
- Formative components: the increase in cognitive potential in a determined timeframe sequence, the reasoned contrast of information, the reflection and criticism of the emitted / received contents, the enrichment of activities and personal experiences, etc.

Conclusions

Because this article deals only with reflections/observations that arose during the study, I do not present empirical data-based results. I do predict, however, that integrating the contextual premises allows me to make certain paradoxical conclusions. Three examples follow.

- Some subjects who do not have an important presence in the forum (in terms of the number of interventions they make) may still assume a major role as essential nodes in the communication dynamic and the formation of the forum.
- Following the interventions and the forum itself does not necessarily determine a person's ability to process the available information adequately.
- The relevance of a topic discussed in the forum is not necessarily related to the timeframe in which the responses are generated.

These results seem paradoxical when compared with communication in a physical space, or a "face-to-face" relationship. From this point of view, the Informational Paradigm and cyberspace can lay the foundations for an epistemological framework in which to conduct research in social contexts using the qualitative approach.

In conclusion, conventional qualitative research can be used as one way to analyse textual data that is generated in communication. Still open to debate are the results of the concrete data that is collected when the research is based in cyberspace and how the data can be interpreted. The answer must consider all the symbolic issues, in addition to the material data processed in the computer, as non-verbal data, but must also consider it as a special social form whose codes are linked to the cyberspace context.

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Using qualitative methods to evaluate learning software: The example of a problem-oriented patient simulation

Thomas Link and Michael Schmidts

Introduction

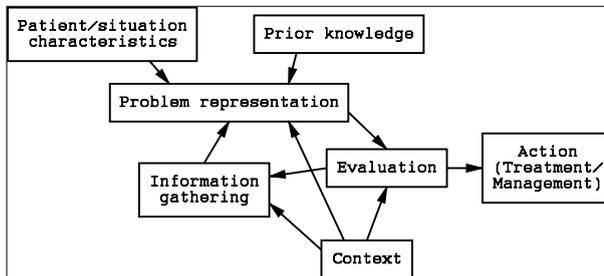
In this paper we describe the use of a problem-oriented patient simulation software package (Bearman, 2003) to train diagnostic reasoning at the University of Vienna. We chose DxR (Myers & Dorsey, 1994) as an example of this type of software but we point out that this study is neither a usability study nor a technical evaluation research project. Nor is it a comparison of competing software solutions aimed at selecting the best one (e.g., Baumgartner & Payr, 1997). Instead, in this study we emphasize two aspects: the suitability of a patient simulation for practicing clinical reasoning; and the appropriateness of this software in our specific institutional context, where German is the "official" language and we face differences in curriculum style, e.g. discipline-based vs. integrated and problem-oriented.

When we ask if the program promotes diagnostic reasoning, we presuppose a certain model of how to arrive at a diagnosis properly. This dominant hypothetic-deductive model of clinical reasoning (Gruppen & Frohna, 2002), which we summarize in Figure 1, emphasizes the initial problem representation (Sisson, Donnelly, Hess, & Woolliscroft, 1991; Chang, Bordage, & Connell, 1998) and the early generation of hypotheses. In the course of a constant re-evaluation, the user progressively rules out obsolete hypotheses by performing decisive examinations until the likelihood of one hypothesis justifies its selection as the final diagnosis. This model assumes that medical doctors develop a multitude of hypotheses during the initial phase of a clinical encounter, after which they incrementally rule out implausible hypotheses or refine potentially correct ones until their conceptual model of the patient's problem "fits" the information. Medical experts often do not arrive at their diagnosis inductively, as has been demonstrated by many empirical studies (e.g., Raufaste & Eyrolle, 1998). The normative frame of the clinical reasoning process is set by formal decision theory as described in the works of Arthur Elstein (Elstein, 2000; Elstein, Schwartz, & Nendaz, 2002).

In the case of a computer-based patient simulation, it is the case author who defines which examination steps are required to arrive at the correct diagnosis and which are necessary to rule out wrong hypotheses. When we ask if the software package is suitable for promoting correct diagnostic reasoning, we thus ask three other questions: 1) Can the students' reasoning process be described in terms of this model? 2) Do the software design and style of case presentation interfere with the students'

reasoning, either positively or negatively? 3) Is their reasoning about a specific case in compliance with the case author's specifications?

Figure 1: The process of diagnostic reasoning as described by Gruppen & Frohna (2002)



In conducting this small evaluation study we faced constraints on both time and resources. In this paper we intend to demonstrate that qualitative research methods are not only adequate for evaluating complex and dynamic features, but also that they are appropriate for answering research questions like ours, quite quickly and cheaply. In the context of evaluation research, the efficiency of a research method is undeniably important.

The Software Package "DxR"

Bearman (2003, p. 538) distinguishes between two types of patient simulations. First, in the problem-solving approach the researcher gathers information, usually by creating menus, formulating a diagnosis, and developing a management plan. The information used to describe a case is standardized to some degree so that case authors can enter the data in templates, which reduces the costs of case development. Second, the narrative approach often includes a personal story line so that events are embedded in a time-line. Implementations of this type of patient simulation usually contain more video material and an individually crafted story line. To some extent, they resemble early hypertext novels, in which the reader had to make a choice on the basis of the given information and thus decide on the story's further direction.

DxR is a good example of the first type of patient simulation. In this web-based simulation, the virtual patient encounter is prototypically divided into three parts. In the first stage, users

have to generate hypotheses and test these hypotheses by asking questions, performing examinations, or ordering laboratory tests. Questions, examinations, and laboratory tests are grouped under categories and presented in menus. A search facility allows to user to find an item by its name. For physical examinations and laboratory tests, the users have to interpret the finding; they are then given the opportunity to read an expert comment. The patient is represented by five fixed images: the head (the initial view), the body seen from both the front and back, the chest, and the abdomen. This phase ends as the user generates a diagnosis and justifies it. One advantage of this particular implementation, DxR, is that students have to make their hypotheses explicit and relate every single examination to one or more hypotheses. They can add hypotheses or remove obsolete ones during the course of their examination, but at any given moment they have to justify what they are doing.

In the second stage, they have to plan further patient management, which includes medication, education, cooperation with other doctors etc. In the final stage, the program gives a short assessment of the user's performance. This assessment includes a description of the patient's problem by the case author and a list of examination steps that users should perform if they encounter a patient with the described complaints.

The software package DxR was previously evaluated by Bryce, King, Graebner, and Myers (1998) with fourth-year medical students at the University of Sydney. These researchers used a mixture of quantitative and qualitative methods and the students' experiences to analyze the learning effect. The methods include observation (6 out of 17 groups of 2 to 4 members each), focus groups (2 groups of 12 members), questionnaires (to 31 people), and a written examination (the test results were compared to a control group). These authors found the students accepted this patient simulation quite well: 68% of the 31 students who completed the questionnaire said the program was easy to use, and 90% said the program was an effective learning aid. Equally, 90% said the software was helpful for testing their knowledge and for practicing diagnosing.

Procedure

Evaluation studies of medical learning software often use a media comparison approach to determine their effectiveness. This approach generally implies an experimental design with pre-intervention and post-intervention tests. The usefulness of this approach has often been criticized, because possible knowledge gains are difficult to interpret (Friedman, 1994; Keane, Norman, & Vickers, 1991). In the case of patient simulation, the process is so complex that a comparison of pre- and post-intervention tests

is particularly unlikely to show significant statistical differences, and we cannot expect to find quantifiable learning gains after such a short period of program use. This model cannot be used to examine longer time periods because the research situation cannot be controlled: as the participants continue their studies, one cannot tell if possible learning gains are due to the intervention program in question to other unknown educational efforts. Learning to diagnose and to integrate one's knowledge in a rational reasoning process takes place over many years of training. Thus it seems inappropriate to imagine learning gains due to a single intervention. Moreover, in this quasi-experimental approach, it must be conceived of as some kind of black box into which the researcher cannot see. A qualitative alternative to this approach could instead compare the empirical reasoning process with its theoretical conception and thus ask how certain characteristics of the empirical process are determined by the general properties of a problem-oriented patient simulation or, more specifically, of one exemplary implementation.

In this study, which we conducted in Spring 2002, we asked students to work with the patient simulation DxR both on their own and in groups of two; in this paper we discuss only the single-user sessions. Five students worked through two to five cases each. The single-user sessions were limited to four hours per student so that the number of cases they processed depended on the individual pace. We gave no further information on how to use the program because it was intended to be used as a self-directed learning tool. Each participant started with the case "Matt Gibson," which we describe in greater detail below. The students were allowed to select additional cases according to their interests. Throughout this text, we refer to these five participants using the pseudonyms Helga, Silvia, Birgitt, Bernhard, and Daniel.

These five students were first-time tutors at the institute's computer learning center and participation in this study was embedded in their training. Participation was not obligatory: they were given the choice to work with the patient simulation or to do something else, and they were asked if they allowed tape recording. Their engagement with computer-based learning software naturally influences their level of computer literacy and their willingness to use computer-based simulations for learning purposes. We can assume that they feel more positive towards computer use than medical students on average. Because participation was part of their training and did not cut into their spare time, they had little reason not to participate or to question if the time spent learning with this program was spent well. Thus they may have continued working with the program even when they would have stopped doing so in a real-world situation. It is important to reflect on this effect, which is common to this type of study because it may make users adopt a more playful approach towards the patient simulation. Although the sample size is rather

small, the recurrence of certain phenomena makes it clear that it was large enough to identify some important features.

The participants were asked to say out loud whatever came to mind whether it was about the patient's problems, or certain program features. Think-aloud protocols are commonly used in examining software use (e.g., Land & Hannafin, 1997) and to analyze diagnostic reasoning although some question their usefulness in this domain (e.g., Elstein, 2000). Considering these previous studies and the limitations of our evaluation study, the use of think-aloud protocols was a natural choice. Still, we quickly modified this approach because, in single-user sessions, the participants could not sustain the attitude of thinking aloud for a long enough period of time without further support. The solution was that the interviewer sat next to the computer monitor in order to create a situation in which the participant could naturally tell someone what they were seeing, doing, and thinking.

The basic role of the interviewer was to some degree similar to that in the narrative interview (Schütze, 1978), in which the interviewer should remain passive and restrict their interventions to supportive utterances and intrinsic questioning. There were of course differences concerning the meaning of "intrinsic questions": in our context, the participants uttered not narrations but vague associations and thought fragments. By "intrinsic questioning" we mean rephrasing the participants' assertions and referring to what seems unclear thus leading the participants to further elaborate their statements. It would be an exaggeration to call this a client-centered interview in the tradition of Carl Rogers (year) as it lacks any therapeutic intent and is meant only to help the participants to sustain their flow of talk, although some inspiration was taken from Jörg Sommer's (1987) overview of dialogic research methods. Although the interviewer's interventions are meant to be non-directive, this strategy naturally involves the risk of interfering with the participants' reasoning process. In a few situations the participants did deviate from the previously described examination strategy because of an inappropriate statement by the interviewer. In almost all of these situations, the participants quickly returned to their original search path so that the interference created only a delay, not a rejection of already projected actions.

The participants' thinking aloud was tape-recorded and selectively transcribed. The protocol for the first "patient" was fully transcribed, capturing all possible details; the rest was transcribed more selectively, summarizing repetitive passages and elaborating only certain speech turns in full detail (Strauss & Corbin, 1996, p. 14). The rationale for this procedure was to find a good balance between accuracy and efficiency. The full transcription of the first case was useful to provide an overview of what is important or typical for this particular participant. Moreover, the first case, "Matt Gibson," was the only one that all

participants worked through and thus provided for a direct comparison.

To describe the reasoning process, we combined these transcripts with the computer log files, in what can be described as triangulation (Flick, 1995; Fielding & Fielding, 1986) or, more specifically, as inter-data triangulation (Denzin, 1970). The patient simulation itself makes it possible to access the user-interaction logs. The original rationale for this program feature is to allow teachers and examiners to get a better overview of the students' performance and to recode correct but incorrectly worded or misspelled answers. The participants did not know that their inputs were logged, but they were aware of the tape recording and the overall research situation. The log files served to better establish the order of successive examination steps that escaped accountability via the think-aloud protocols and observation. One could say that the log files give the program's view of the students' reasoning process. In this view, the user interaction is reduced to time-stamped binary properties (Did a user perform a specific examination? Does a certain keyword occur in the users' free-text input?) that form the basis of the automatic user assessment. Think-aloud protocols and log files can be seen as complementary perspectives on the computer-user interaction that describe different aspects of the reasoning process.

In analyzing the think-aloud protocols, we were interested in two types of curious statements: 1) those related to formal aspects of program usage, including language problems, difficulties with the user interface, or situations when the manner of data presentation did not meet the participants' expectations; and 2) those related to medical properties of the case presentations like possible inconsistencies or inexplicable examination results. While the first type of statements can easily be summarized across user sessions, difficulties concerning the simulation's construction or a particular case's "dramaturgy" can only be identified at the level of the individual session. As a consequence, we first summarized each session separately, by compiling and categorizing the sessions' "curious statements" and thus writing up a rough session description. Only then could we identify the patterns typical for a participant, a simulated patient, or this program.

When we reconstructed the sequential organization of diagnostic hypotheses, it was particularly interesting to describe those moments when the participants deviated from their projected procedure due to restrictions imposed by the program, or when they arrived at a new conclusion only because of cues in the case presentation. These deviations reveal the program properties that the user interacts with in developing a reasoning strategy. These properties do not necessarily distort the user's process, but can also result in scaffolding the development of a rational reasoning strategy when they force the students to make a decision or examination process more explicit. In the case of

DxR, a somewhat marginal example of such an intervention is that users must reselect the hypotheses they are considering every time they perform an examination. The participants found this feature to be bothersome, but on some occasions, they agreed that it was helping them rethink their strategy.

Neither scaffolding nor distorting factors are static qualities that can be described independently from actual program use. Their functionality can only be evaluated in situations by looking at how they interact with the user's reasoning path, as the quality of the intervention may vary with situational factors or previous user experiences. These properties of simulation use would escape an analysis that relies exclusively on standardized methods. In a perfect research situation, one would compile a typology of interaction effects between personal characteristics and program features and use standardized methods to roughly define probability ratios for these interaction effects.

Results

As described above, we were scanning the transcripts for two types of "curious statements" that referred to either the form or content of the patient simulation. Now we will discuss some formal features, referring to their consequences for the reasoning process: language issues, the data quality, missing context information, the relevance of "virtual costs" of examination procedures, and how students adapted to the program's assessment feature. We then present one specific case, "Matt Gibson," in detail. Finally, we discuss the consequences of this type of patient simulation on the students' reasoning process, in four categories: 1) introducing uncertainty; 2) disturbing the order of planned examination measures; 3) inducing users to make wrong decisions; and 4) providing cues to the correct solution.

Formal Aspects

In the history-taking and the laboratory-tests sections, the eligible items are grouped under headings; in the case of laboratory tests these included "Blood," "Immunology," "Microbiology," "Urine," and "Genetics." The participants with a comparably poor command of English had trouble finding the particular question or test they had in mind. To make matters worse, these participants could not use the search function, which required knowing the appropriate English term in advance. As a consequence, they sometimes retreated to scanning through the menu and selecting an item that just happened to be presented on the current page. The use of American measurements throughout this particular implementation aggravated the problem in that they sometimes could not tell if a finding (e.g., body temperature) was normal or

not. As the reasoning process can be described as a tree of examination steps that are evaluated in terms of normal / abnormal, this difficulty was a source of uncertainty that could lead to wrong decisions and deviations from the intended path. On the other hand, participants with a good command of English were able to proceed faster while remaining closer to what they would do in a real-world situation. As sources of frustration, language issues and general difficulties with the user interface appear to induce a more playful attitude towards the patient simulation.

Another source of uncertainty was the way some data was presented, differing from the way the participants would expect to get test results at the local hospital. In other situations, the picture or sound quality was not good enough to allow the participants to interpret the data correctly. This is of course a general problem with web-based software today. Technical limitations require a balance between network bandwidth and accuracy. As a consequence, the participants sometimes could not use this information to "discover" the right diagnosis on their own. They either relied on the expert comment or ignored the data.

From time to time, our participants wanted to know more about the examination's context: a more precise description of their role and their responsibility, and the time of the day when the examination took place. When treating a patient who has possibly suffered a heart attack, such information is crucial for planning the further patient management. A case author thus would have to consider only the patient data that the users might demand but also the relevant context information. One could argue that problem-oriented patient simulations, where the data are often entered via templates, are more prone to this kind of problem than a narrative patient simulation.

The relation between the virtual and real "costs" of certain actions could be another source of uncertainty. In DxR for example, it was easier to perform a CT-scan – fewer mouse clicks, less user input, and less – than a lung auscultation. This is a clear violation of real-world relations and it could, albeit not deliberately, favor the use of expensive laboratory tests over, in a real-world context, low-priced and basic examinations. Again, this problem may be intrinsic to this type of simulation that emphasizes the users' freedom to choose any possible action at any time at the expense of a coherent, carefully tailored story line. In fact, it would be very difficult to recreate the correct relationship between the "costs" (in terms of money and time) of all possible actions in a simulation that comprises all possible areas of medicine and does not predetermine the sequence of examination steps. This is different from domains like emergency medicine where the short intervention periods make it easier to recreate these aspects in a computer simulation.

Another unexpected finding was that the participants quickly developed theories about how their examination would be assessed by the program and how they could adapt to get better marks by asking more questions and by undertaking more examinations. In later sessions, they selected items they did not consider necessary simply because they thought the program would require them. When speaking about this feature, they often ascribed properties like unrealistic meticulousness or excessive strictness to the program's evaluation feature. In order to avoid being "punished" and to maximize their scores, they quickly developed ideas about the program's, or rather the case author's, expectations and performed some examinations they themselves considered irrelevant in this particular context and which they claimed no one would do so fastidiously in a real-world setting. They performed these examinations because they thought the program was not clever enough to recognize their thinking. This behavioral change is a dynamic feature, discernible only by closely observing the participants as they repeatedly use the program and say out loud what they are thinking. It would have been much more difficult, if not impossible, to identify this effect using a more standardized approach. Therefore, this type of finding can be described as typical to our approach – i.e., the ability to efficiently identify this kind of effect is an advantage of the particular approach we have chosen.

The Case "Matt Gibson"

We now discuss one virtual patient in detail: "Mr. Gibson, a 27-year-old male, presents at the emergency room appearing to be in severe distress, complaining of severe left-side chest pain." After the initial history taking, the participants had to describe the patient's problem. These descriptions, which are summarized in Table 1, consist of the following items: sudden or stabbing pain; lower left side chest; moving makes the pain worse; breathlessness when speaking; pain when breathing, coughing, or speaking; began yesterday when jogging; lying on the side that hurts helps.

The number in parentheses next to the participant's name indicates how many of these items she or he took into account. A higher number denotes a more complete initial description of the patient's problem. In the area of medical education, many authors have emphasized the importance of the initial problem representation for arriving at the correct diagnosis and the correlation of problem representation skills with expertise (Bordage & Lemieux, 1991; Sisson et. al., 1991; Hasnain, Bordage, Connell, & Sinacore, 2001; Chang et. al., 1998; LeBlanc, Norman, & Brooks, 2001). Without further information, this number tells us little about the participants' capabilities or the program's adequacy as there are too many factors influencing its value. In conjunction

with the transcripts, however, this rough estimate can serve as a contrast foil for better identifying a participant's characteristics.

Table 1: Description of the patient's problem

Silvia (4)	Stabbing left-sided chest pain, lower chest, growing stronger when moving, breathlessness
Daniel (5)	Stabbing pain when breathing and coughing on the left lower chest, occurred yesterday for the first time when running
Helga (4)	Patient feels a pain in the left chest when breathing, which first occurred when jogging. When lying on the right side, the symptoms improve
Birgitt (6)	Sudden pain on the left half of the thorax, breathlessness, lying on the side that hurts makes the symptoms better, occurred when jogging, breathlessness when speaking
Bernhard (3)	Thorax pain depending on breath, since yesterday, began with physical exertion

The participants' diagnostic hypotheses are summarized in Table 2. In this case, the correct diagnosis of this case is spontaneous left pneumothorax. The test that is crucial for diagnosing this case correctly is the chest x-ray. In Table 2, the diagnosis each student selected to justify the chest x-ray is marked with "+." The count next to each hypothesis specifies the number of tests undertaken to justify the respective hypothesis.

Table 2: Hypotheses

Silvia	Muscular induration (3); problems with the thoracic vertebral column (2); fractured rib (2); myocardial hypoxia (3); lung (6+)
Daniel	Pneumonia (12+); pneumothorax (1+); stitches in the side (0); bronchitis (2); pulmonary embolism (0); tumor (1+)
Helga	Pulled muscle (0); liver (0); lung (14+)
Birgitt	Pulmonary embolism (13); spontaneous pneumothorax (15+); secondary disease after infection (5)
Bernhard	Skeletal thorax pain (9); pneumonia (11+)

All five regular participants concluded with the correct diagnosis but only two of them (Birgitt and Daniel) considered the possibility of a pneumothorax before ordering the chest x-ray. The other ones were pointed to the right conclusion by the x-ray or by the accompanying expert comment. In this particular case, the chest x-ray plays a crucial role in that ordering it decides on the average students' success in arriving at the right diagnosis.

By comparing the program's log data with the transcripts, we can better identify possible problem sources or dysfunctional reasoning strategies. If we had looked at the log data alone, we would probably have misunderstood the crucial role of the chest x-ray and the according consultation text in this particular case. On the other hand, if we had only looked at the transcripts, we might have succeeded in extracting the required information from the text, but this would have been much more cumbersome and actually unnecessary, as the basic structure of a session is already summarized in the log data. Thus, data triangulation not only helps in validating our hypothesis, but also renders the evaluation process more efficient.

Table 3 gives yet another view of the participants' characteristics. These are quantitative properties but they are useful for identifying differences in the way the participants proceeded: Bernhard solved this case the fastest; Silvia needed the most time; Birgitt was perfectly able to solve this case with her initial hypotheses in a reasonable amount of time. If one looks at the final diagnosis, Birgitt and Daniel solved this case best in that they could arrive at the correct diagnosis without the help of the expert comment on the chest x-ray. In Daniel's case, the low line per minute ratio and the fact that he added comparatively more hypotheses in the course of his examination could be explained by considering personality traits and methodological issues: he paid too much attention to the interviewer's presence. More interesting is the case of Bernhard who was working with only one hypothesis at a time, which he pursued until he proved it false, and who sometimes adopted a more playful approach to the simulation. Silvia and Helga had serious difficulties with the language. Furthermore, Silvia was the youngest of the participants; one could argue that this case was too difficult for her. This might explain why it took her 72 minutes to solve this case. Helga, on the other hand, easily grew frustrated when the language difficulties became too great and she could not quickly find a probable hypothesis. The numbers in Table 3 give a good overview of the participants' differences in their reasoning strategy. But these differences only make sense with reference to the transcripts: then we can explain why certain differences occurred and how they relate to features of this type of software. At some point, we had to explain to each participant that they are supposed to list all possible hypotheses and then refine them. The program provides the means for following this workflow but at

least for our participants, this was not self-explanatory and required some kind of training or introduction.

Table 3: Summary

Partici- pant	Hypo- theses	Initial	Hypo- theses	Length of the log file ¹	Time spent (min)	Log line per min.	Money spent on lab tests (relative costs) US-\$
Silvia	5	4	80%	52	72	0,72	215,8
Daniel	6	4	66%	45	68	0,66	81,9
Helga	4	3	75%	39	47	0,82	81,9
Birgitt	3	3	100%	50	47	1,06	81,9
Bernhard	3	1	33%	53	37	1,43	165,1

1 This is the number of lines in the log file minus the 8 standard line.

Among our 5 participants, Silvia and Birgitt are the antipodes that describe the range of possible ways of working with the program. To see the difference between these two participants, please refer to Table 4, which contains two short excerpts. These statements are comments on the question, "Why are you here today?" which both participants were asking right at the beginning of their examination. The situation is similar; the responses are not. Silvia reads the answer and clicks on the next item. She accepts the answer as is and does not interpret or question the reply. She also seems more easily distracted by the way the questions are presented on the screen. Birgitt, on the other hand, gives several possible explanations and states a couple of hypotheses. For her, the patient's reply opens up a full set of possible search paths, and consequently, her strategy is more hypothesis-driven. This difference can be explained by a reference to the level of expertise: Birgitt has one more semester to go; Silvia is more of an "advanced beginner." Another explanation comes from research: studies have shown that knowledge representation (in terms of semantic networks) and categorization skills change as one gains expertise (Bordage & Zacks, 1984; Murphy & Wright, 1984). Here, excerpts from the think-aloud protocols can help in the presentation of important characteristics and differences. These excerpts could also serve as textual material for in-depth analyses that help us to better understand these differences more precisely.

Table 4: Example Excerpts

Silvia	Mh. The first one. Why are you here today? What problems are you having? ... Aha, now we know that it hurts when he breathes.
Birgitt	Why are you here today? ... Pain in the chest. It hurts to breathe. Patient appears to be in pain. ... So, he feels ... pain in the chest; it hurts to breathe; and it occurred when jogging. M-Hm. Well, I would like to know if he had any illness recently, if he, ahm ... Maybe he has asthma, maybe he has : some emphysema ...

Discussion

Our methodological approach provides data for two types of conclusions. First, we can discuss the type of student and situations in which problem-oriented patient simulations like DxR can become a useful learning tool. Second, we can compile a small typology of deviations that show possible sources of uncertainty and distortion that interfere with the students' reasoning process.

When we first experimented with this type of software, we planned to use it as a self-directed learning tool. All five participants found this type of program interesting to use and a new experience, in having to work with a patient from the very first clinical encounter until the final patient management. But among our five participants, only Birgitt and to some extent Daniel, who are both well advanced in their studies, would be able to make good use (i.e., complying to the model of clinical reasoning) of this program without making additional provisions. The other participants would require a formal introduction to the program's use, some kind of support from the teacher or tutors, and a categorization of the available cases according to their difficulty.

In the section on *Formal Aspects*, we described several sources of uncertainty: language issues, unfamiliar ways of presenting data, missing information about the examination's context, the relationship between the virtual and real "costs" of certain actions, and user theories about automated assessment and the subsequent behavioral change. Because we used think-aloud protocols, we can describe the context when these properties possibly become problems for our students. The interaction between personality traits (e.g., their command of English) and the program's user interface, as well as the consequences of this problem source for the user's reasoning strategy, is one issue that could not have been identified that easily with the use of standardized methods like checklists.

In our evaluation project, two factors required us to use qualitative methods. First, our description of the computer-user interaction had to encompass the whole reasoning process in order to determine if the program promotes rational reasoning strategies. This means we had to know why participants made a specific decision, which factors intervened in their decision making, and what other possibilities they were considering. Our notion of rational reasoning strategies relied on a specific conceptualization of medical thinking. By adopting a combined approach of thinking aloud and intrinsic questioning and by comparing the resulting transcripts with the application's log data, we were able to reproduce the dynamic of the reasoning process in a detailed way that allowed us to compare it with the underlying model. Second, we had to assume that some problems our users might encounter were specific to our institutional context, due, for example, to language problems or differences in curriculum style. Thus, one task of this study was to identify these possible problem sources and to describe them in a detailed way that makes it possible to develop counter strategies. This, again, required an open approach that is sensitive to unforeseen events and to their dependence on a specific context.

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Roundtables and Discussion

Comments on Hermeneutic Approaches in Qualitative Analysis

Harald Schweizer

Any system – and my mental structure, my mind also is a system – tends to preserve itself, tends to avoid changes. System theory therefore speaks of "autopoiesis." A hermeneutics that takes this into account has to find ways = methodologies that open my mind, widen the inner horizon even against the forces of avoiding any change.

In the process of reading any new instruction, which could require a change of my own ideology, is captured and assimilated. While in fact I learned nothing, I am interpreting the new information as a confirmation of my ideology, and so no change has taken place.

Hermeneutics that provides a recipe against such a "disease" firstly tends to prolong the reading process and therefore to intensify it. Any methodology that requires data collecting represents such a prolongation of text reading. Secondly, one has to follow the structure of that specific "object": A text is a type of sign. And any sign is bi-partite in nature (expression level – content level).

That is why no description is able to cover both aspects at the same time – the result would be too complex and inhomogeneous. Therefore, I argue firstly to describe the expression level (e.g., with the computer as a perfect tool). And then we can describe the semantical/pragmatical structure. Doing that – of course – the knowledge of basic cognitive categories is needed. They entail some critical distance to terms of standard grammars. But such a limited set of terms can be applied to all verbal messages in whatever language. In my view, they prove to be very helpful.

Such an approach takes seriously what the Austrian poet Peter Handke has formulated: he warned to conceive of language as a glass through which we are looking at a pretended reality "behind." He said that with the help of such a "glass" or language any object can be distorted. That is true in a literal meaning, e.g., optically, and in a metaphorical meaning: "to present a distorted picture of something" may come close to a criminal activity of fraud. Instead of unsuspectingly looking through the glass, we should break or even smash it. The pieces will force me to find out and better understand, how the glass/language is functioning. Then there is no longer a "reality" behind it. The search for "reality" has turned into a question of language and communicative behavior.

In my view, any teaching in schools or universities should aim at enabling the students to use independently or self-organizedly a method of describing and analyzing texts. Not the results of text description should be taught, but the very way to produce these descriptions. Of course, such a methodological framework necessarily is in a process of permanent evolution; it never is stable over time like any material tool. However, after three decades of developing pragmatics many points of view and perspectives are well established. Thus, if a teacher becomes aware that his/her students start to find their own interpretations, to draw their own conclusions, and to reflect theoretically the terminological tools – if all that happens, I think he/she can be happy and content.

Ethics in Qualitative Research – Next Steps

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The roundtable discussion

The reflections at the roundtable on the role of the researcher in qualitative research at the Second Conference on Qualitative Research in Psychology in 2001 raised questions about the significance of ethical aspects in the context of qualitative research (Gahleitner, 2002). This year at our roundtable on 'Ethics in Qualitative Research' we attempted to resume our discussion of these issues and develop them further.

We began by asking which dimensions of ethics are applicable in qualitative research. In addition to overarching values which are applicable to the entire research process and research as a whole, individual ethical aspects play a decisive role in all parts of the subject- and process-oriented procedures of qualitative research projects, from beginning to end. Thus in the field of qualitative research, ethics can only be understood as process ethics. However, we must accept that not every detail of the overall process can be planned and controlled, and that we must account for uncertainties and possibly also errors in judgement, etc. It is thus important to relinquish feelings of omnipotence and be confident that difficult situations can also contain their own solutions and at times even opportunities for creative changes.

First and foremost the ethics of qualitative research are oriented towards the principles of general ethics (Soltis, 1989). Specific values which play particular roles in the research process are responsibility, reflection, and transparency. Responsibility as a basic attitude, for example, is already part of the approach to research and is called into play as the researcher selects the subject of investigation, the research question, and study design. As the research process progresses, responsibility continues to be important in handling the data collection and analysis. One example of this is the fundamental obligation of all research projects to protect the data on the research participants. Ethical considerations must also be applied, for instance, in handling the

research results, in order to keep those results from being abused. Similarly, reflection is a constant requirement in qualitative research with its numerous decision-making processes. To make the most important contents, aspects and processes transparent – both for the community of researchers and the research participants – is also one of the basic ethical requirements in qualitative research. Here, a prime example is the research contract, which includes an informed consent agreement and explains the procedure to be followed and its respective modalities in advance. It is presented to the participants in writing for them to sign.

In order to examine the role of the overarching values and their applicability in a concrete example within the research process, we selected the situation of the narrative interview. Here, the interest of qualitative research is to obtain the interviewee's subjective narrative as extensively as possible and with the least contamination possible. To achieve this, the interviewer must approach the interviewee empathically and yet form an appropriate distance. Assessed by the criteria richness, specificity and depth, narrative lines tend to be particularly rich in emotional content. As much as possible they should remain uninterrupted and be accorded space which the interviewee can fill without outside influence. However, owing to their peculiar quality, narrative lines are also associated with a substantial risk of spontaneously actualizing stressful material (e.g. Gahleitner, 2002). Here researchers come into conflict with their ethical responsibility towards their interviewees. This applies particularly with sensitive subjects, like those in trauma research. How should researchers handle such situations?

Here two overlapping value categories come into conflict. Research serves first and foremost the interest of acquiring new knowledge and can fulfill neither supportive nor counseling functions, let alone therapeutic ones. In critical areas of research this must be conveyed to the interviewees in advance, possibly as an element of the contract. However, critical situations may still occur in context, even in well-planned research, and demand immediate solution-oriented action (e.g. Gahleitner, 2002).

There is therefore a risk that in situations in which stressful material is addressed, the interview will come close to being a counseling session. To maintain the relationship between interviewer and interviewee during the research process, and to manage the ongoing situation in such a way that the interview can continue, the interviewer will need to make skilled, sensitive interventions. This raises an apparently paradoxical requirement: it is important for the researcher to have counseling and therapeutic skills in order to be able to conduct ethically responsible research, the researcher needs skills in order to accurately assess and structure such situations. Taking research

supervision or conducting interviews with a colleague can also be helpful.

Misunderstandings may also arise in the researcher-participant relationship. The interview is not an everyday situation. It is based on a hierarchical relationship and is generally far from meeting the ideal of reciprocal communication between two equals. The two participants not only have differing interests in clarifying the issues focused on by the research, but also draw differing degrees of 'benefit' from the situation (e.g. Gahleitner, 2002). In the course of the roundtable discussion it emerged that mutual respect is of special importance in this regard. This is partly expressed in the adoption of respective roles as expert and interviewee, acknowledging that the latter is an expert on his/her own situation. When misunderstandings occur it can sometimes be helpful to turn off the tape briefly in order to address the problem; then the interview can continue in an open atmosphere. When the problem is discussed, however, the researcher should at all costs avoid making promises that cannot be fulfilled. Thus, for example, interviewees are frequently assured that they can cancel their participation at any time. This is not always feasible, however, since it is no longer possible once the results have been published, even if they meet the criteria of the data protection regulations. An alternative in such situations would be to point out that the interview can be terminated at any time. One way to give the participants insight into the research process is to carry out a communicative validation of the data (Köckeis-Stangl, 1980). However, this may lead to difficulties, since the subjective interests of the interviewees by no means always coincide with the interests of the researcher. To give the participant a copy of the interview tape may be a helpful compromise in such cases.

In the course of the roundtable discussion it became clear that it is not possible to prepare for the participants for all eventualities. This is further evidence of the fact that in the field of qualitative research ethics can only be understood as process ethics. Whatever precautions are taken and binding rules are imposed, we cannot rule the possibility out that misunderstandings and problems may arise in the course of the research which must then be solved in accordance with the requirements of the respective situation. Thus ethics may not be reduced to a moralizing, bureaucratic brake on research, but must, like the choice of methods, be fitted to the subject under scrutiny and process-oriented. This applies not to the suitability of the fundamental ethical values in given research situations, each of which must be specifically justified, but rather to rigid adherence to inflexible and higher principles. That is, while one can establish abstract values, in the individual case one must consider the prevailing circumstances. Hurdles and limitations resulting from financial and other conditions during a research project can result

in further complications which must be solved as constructively as possible, taking ethical aspects into consideration.

Time was too short to do justice to all the issues addressed in our roundtable discussion to gain more insight into the individual phases of the research process and its respective ethical implications. There were doubts as to whether responsibility can be viewed as an independent superordinate heading, or whether it is merely an element in many different situations. The lack of conceptual clarity becomes particularly evident when one attempts to apply the principles defined to concrete examples from the research process (see Table 1). Thus, the interim result is an invitation to continue with the discussion. We would be pleased to receive remarks, constructive criticism, relevant bibliographical references or other ideas at any time and look forward to a lively exchange.

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	<i>Choice of subject, research question and design</i>	<i>Ethical dimensions of data collection</i>	<i>Ethical dimensions of data analysis</i>	<i>Ethical dimensions of the use of research results</i>
<i>Overarching ethical criteria: responsibility, reflection, transparency, etc.</i>	Responsible, reflective and transparent handling of the choice of subject <i>Example:</i> carefully considering and discussing the subject before beginning to reduce the risk of triggering unexpected and undesired processes	Responsible, transparent and reflective handling of the data collection situation <i>Examples:</i> correct handling of data protection, suitable treatment of stressful situations in interviews, self-reflection, transparent procedures	Responsible, reflective and transparent handling of the data analysis <i>Examples:</i> reflective handling of the power to interpret, communicative and external validation, rendering the procedure objectively comprehensible	Responsible, reflective and transparent handling of the research results <i>Example:</i> early provision of information regarding the use of the data and safeguarding against abuse of the data, exposure of and self-reflection on the procedure (methods)

Table 1: Ethical dimensions of the research process

Subject Index

- appraisal 109, 117, 120, 123, 124
 AQUAD 2, 34, 52, 62, 68

 biograms 29, 48, 156
 Buddhist Psychology 212, 213,
 216

 Cervantes' Don Quixote 3, 9, 49,
 51, 56, 57, 61-63, 123
 Cervantes' life 23, 24, 45
 classical test theory 4, 199-202,
 204-207, 209, 210,
 214-216
 community building 183, 185,
 189, 190, 192, 196
 conceptual framework 50, 225
 Constructivism 222
 content analysis 33, 52, 61, 62,
 65, 67-69, 71, 73, 74,
 94, 173, 179, 181
 coping strategies 49, 172-177,
 179
 culture of collaboration 142
 cyberspace 4, 221-223, 225-228,
 230-232

 data analysis 11, 50, 61, 113,
 143, 172, 178, 187,
 189, 203, 211, 222,
 223, 229, 233, 257
 data collection 10, 11, 50, 59,
 110, 121, 203, 209,
 211, 229, 253, 257
 diary 29, 45, 126
 dictionaries 66-68, 113
 didactic discourse 145, 146, 154
 didactic study 27
 didactics 29
 distance education 227
 dynamic 119, 180, 230, 236, 243,
 248
 dynamic feature 243

 emotion 109, 116, 117, 120-124,
 178, 180, 205, 207, 214
 emotion psychology 109, 121
 emotional experience 109-115,
 117, 121, 122, 267
 ethics 5, 128, 231, 253, 255, 256
 evaluation 65, 83, 86, 87, 90,
 117, 122, 200, 201,
 221, 235-237, 239, 243,
 245, 248, 249
 experience 9, 24, 25, 27, 29, 47,
 49, 58, 59, 92, 109-119,
 121, 122, 125, 131,
 133, 134, 136, 141,
 143, 148-152, 155, 171,
 174-178, 185, 188-193,
 195, 200, 206, 211-213,
 215, 247, 267
 expertise 129, 243, 246, 249
 (expression-)syntax 71, 73, 74, 76

 feeling 3, 93, 109-122, 124, 131,
 158, 172, 174, 208,
 210-213

 gender 4, 110, 112, 135,
 157-166, 168-182, 184,
 186, 188, 197
 gender differences 4, 157, 158,
 165
 grounded theory 31-34, 47, 155,
 180, 196, 232, 250
 groups of discussion 32, 34

 heuristic approach 9, 21, 121,
 123
 humor 9, 15, 20, 93, 200, 214,
 215, 218

 inclusion 147, 184-186, 188, 191,
 193, 196, 230
 informational paradigm 221-227,
 229, 231
 intentional communities 196
 intercultural communication with
 media 131
 internet 2, 126, 130, 150, 212,
 221-227, 231-233
 interviews 4, 29, 34, 48, 51, 126,
 132, 136, 137, 144,
 145, 156-160, 166-168,
 170, 172, 173, 186,
 191, 204, 206, 215,
 249, 255, 257

- introspection 21, 110-118,
120-124, 146, 267, 268

key words 28, 32-34, 36, 44, 62,
66, 146

linguistic discourse 23

measurement concepts 207
media education 127, 129,
132-134, 137, 138
methodology 9-12, 20, 21, 23,
26, 28-34, 36-40, 42-45,
74, 94, 95, 110, 122,
123, 128, 142, 143,
150, 172, 183, 186,
201, 204, 209-211, 215,
216, 226, 232, 251
migration 3, 125, 126, 129,
135-137, 139

narrative autobiography 32, 34
narrative nuclei 35-37, 40, 43

objectivity 159, 199, 201-204,
210, 214, 215

persons with disabilities 183-185,
193, 195
photography 126, 127, 129
pragmatics 71, 74, 85, 94, 252
Pragmatism 153, 233
process 2, 10, 11, 27-31, 34-36,
40, 43, 45, 47, 51, 58,
59, 62, 76, 81, 82, 86,
90, 93, 111, 113,
115-117, 121, 123, 128,
131, 133, 134, 136,
141, 143, 145, 146,
150, 153-155, 158-168,
170, 172-181, 183-185,
187-192, 194, 195,
199-201, 204-206, 209,
211, 213-215, 221-230,
235-242, 245, 247, 248,
251-257

qualitative content analysis 62,
68, 173
qualitative experiment 9, 20
qualitative observation 9
qualitative research 3, 5, 21, 23,
35, 45, 47, 48, 59, 68,
123, 127, 133, 155,
156, 158, 159, 169,
170, 178, 180, 183,
186, 195-200, 202, 204,
207, 209, 210, 214,
215, 221, 222, 227,
231, 232, 236, 249,
250, 253-256
quantitative content analysis 61,
67

Rasch model 200, 201
reading for multiple voices 52, 57
reading for plot 52, 187
reading for self 52, 54
reading for social context 52, 56
reality 4, 9, 13-17, 19, 20, 25-27,
29, 31, 33-36, 39, 43,
44, 46, 0, 54, 91, 100,
119, 143, 144, 151,
153, 154, 157-163, 166,
168, 169, 190, 199,
200, 205, 211, 212,
216, 223, 224, 251
reality construction 158, 159,
163, 168, 169
relating 56, 132, 136, 137, 139,
158, 159, 162-169, 191,
192
reliability 10, 199, 201-205, 209,
210, 214-216
research ethics 128, 255
research interaction 205
research interest 50, 51, 184
research questions 1, 7, 50, 59,
61, 65, 66, 121, 123,
130, 134, 165, 185,
204, 205, 207, 236
Researching online 232
role of the researcher 48, 122,
123, 156, 159, 160,
164, 208, 253, 256

self- and co-observation 32
self-application 199, 211, 214
self-reflection 29, 200
self-report 29
semantics 43, 71, 74, 94, 95, 153
spirituality 175, 184, 185,
188-190, 192-195
standards of quality 199, 201,
202, 204, 209, 211,
214, 216
subjective theories 199, 204, 206,
208-211, 214-216, 218
synopsis 71, 72, 84, 96

text analysis 3, 9, 15, 61, 62, 67,
 68, 123
 therapy 91, 112, 176, 180, 203,
 217
 think-aloud protocols 239, 240,
 246, 247
 transcription 28, 239
 transformation of experience 117,
 122
 transformative discourse 38, 141
 trauma 173, 174, 176-178,
 180-182, 254
 triangulation 127, 210, 215, 240,
 245, 249
 truth 13, 14, 17-19, 41, 87, 89,
 90, 94, 97, 210

 understanding 26, 28, 29, 32, 36,
 38, 43, 50-53, 73, 75,
 79, 94, 131, 138, 152,
 158, 160, 161, 163-165,
 167-170, 179, 181, 184,
 186, 187, 189, 192,
 197, 200, 205, 207,
 210, 215, 224, 249

 validity 9, 10, 20, 36, 50, 199,
 201, 203, 204, 209,
 210, 214-216, 221
 video 62, 126, 127, 129, 131,
 133, 137, 138, 146, 236
 Vipassana 212-214, 216-218
 voice method 3, 49-52, 54, 56,
 57, 59

 word count 62, 71, 84, 85
 word frequencies 62, 63, 65

Author Index

- Alfermann 177-179, 182
 Allespach 133, 136
 Amado 184, 195, 196
 Amelang 199, 200, 202, 216
 Anderson 225, 231
 Ashbaugh 195
 Auckenthaler 173, 178, 179

 Bader 74, 95
 Bange 173, 179
 Banyard 177, 182
 Barnes 187, 195
 Bartussek 199, 200, 202, 216
 Baumgartner 235, 248
 Beall 177, 181
 Bearman 235, 236, 248
 Becerril 47, 155
 Beer 177, 182
 Behnke 162, 169
 Benishek 178, 179
 Bentovim 177, 182
 Bergold 217
 Bertalanffy 225, 231
 Birkhan 204, 207-209, 216
 Blair 196, 197
 Blaney 195
 Bloom 30, 47, 155
 Blumer 225, 231
 Boas 225, 231
 Boesch 131, 136
 Bogdan 191, 192, 197
 Bordage 235, 243, 246, 248, 249
 Bortz 199, 216
 Bosse 114, 123
 Bourdeau 159, 169
 Boyd 186, 196
 Bradley 184, 195
 Braun 169
 Braunfels 11, 12, 90, 95
 Bresler 183, 197
 Brewer 232
 Briere 177, 179
 Briggs 231
 Brooks 195, 243, 249
 Broussine 160, 162, 164, 167,
 169
 Brown 19, 49, 59, 184, 186, 187,
 195, 196
 Bryce 237, 248
 Buchheld 212, 216
 Buckingham 126, 131, 133, 136,
 137, 196
 Burkart 3, 109-111, 122, 123,
 253, 271
 Burke 231
 Butollo 172, 179
 Byant 48, 156

 Campbell 210, 217
 Caputo 128, 137
 Carr 188, 197, 231
 Castells 224, 226, 231
 Castillo 101, 232
 Cavallaro 231
 Cazden 28, 47, 155
 Ceglowski 159, 169
 Certeau 228, 231
 Cervantes 7, 11, 12, 14, 15,
 18-20, 23-26, 37, 39,
 43, 47-50, 57, 59, 64,
 69, 75, 76, 80, 82-84,
 86, 87, 89, 90, 92-95, 0,
 150, 152, 153, 155, 156
 Chang 235, 243, 248
 Checkland 225, 231
 Choo 191, 196
 Cicchetti 172, 179, 180
 Cicourel 225, 231
 Clandinin 36, 47, 155
 Clark 231
 Close 11, 30, 47, 49, 155, 200,
 251, 254
 Cole 122, 225, 231
 Collins 177, 182
 Condeluci 184, 195
 Connell 235, 243, 248, 249
 Connely 155
 Corbin 239, 250
 Costa 214, 218
 Coulter 193, 195
 Crittenden 177, 180

 Dachler 158, 169
 Dalbert 214, 217
 Damasio 114, 122, 206, 213, 217
 Davis 232
 Deegner 173, 179
 Deister 172, 174, 181
 Delgado 232
 Denzin 170, 197, 210, 217, 240,
 248

- Deter 179
 Dick 30, 31, 47, 122, 155
 Dokecki 185, 193-195
 Donnelly 235, 250
 Dorsey 235, 249
 Dovi 232
 Durkheim 232

 Eco 131, 137
 Edley 164, 166, 169
 Elstein 235, 239, 249
 Emmons 196
 Euler 109, 123, 124
 Eyrolle 235, 249

 Faltermaier 171, 180
 Farrell 170
 Fegert 177, 180, 181
 Feliz 3, 48, 141, 155, 156, 271
 Fielding 240, 249
 Figaredo 4, 221, 271
 Fischer 182, 200, 217, 218
 Fiske 217
 Flick 68, 128, 137, 199, 204,
 209, 210, 217, 240, 249
 Fox 160-162, 164, 167, 169
 Frank 196
 Freeman 226, 232
 Friedman 237, 249
 Frohna 235, 236, 249
 Fuentes 25, 47, 155
 Fuhs 136, 137

 Gahleitner 4, 5, 171, 172, 176,
 180, 253-256, 271
 Garfinkel 225, 232
 Gartner 184, 195
 Gaventa 193, 196
 Gavranidou 172, 179
 Gegenfurtner 182
 Gergen 10
 Gibson 231, 232, 238, 239, 241,
 243
 Giddens 225, 232
 Gigerenzer 207, 217
 Gille 177, 179
 Gilligan 49, 59, 184, 186-188,
 195, 196
 Glaser 31, 47, 155, 173, 180,
 189, 196, 199, 209,
 217, 225, 232
 Goenka 212, 213, 217, 218
 Gore 48, 156
 Graebner 237, 248
 Grahame Jenny 137
 Greenberg 178, 180
 Groeben 199, 203, 205, 206,
 209-211, 214, 217, 218
 Gruppen 235, 236, 249
 Gubrium 159, 170
 Gulliksen 200, 218

 Habermas 225, 232
 Hagemann-White 161, 162, 169,
 172, 173, 180
 Hagen 179
 Hannafin 239, 249
 Harris 183, 196
 Hart 67, 68, 212, 218
 Harvey 131, 136
 Hasnain 243, 249
 Heatherton 218
 Heidegger 225, 232
 Held 133, 136, 185, 206
 Helle 178, 179
 Hepp 129, 137
 Herman 177, 180, 232
 Hess 235, 250
 Hine 232
 Hirschauer 162, 169
 Holland 196, 197
 Holstein 159, 170
 Holzwarth 3, 125, 126, 131, 137,
 271
 Hopf 217
 Hosking 158-160, 162, 163, 169,
 170
 Howarth 159, 161, 170
 Hryniuk 184, 196
 Huber, G. L. 7, 34, 47, 48, 52,
 59, 61, 62, 68, 122,
 123, 136, 155, 156,
 170, 180-182, 204, 217,
 218, 253, 256, 271
 Huber, I. 7
 Huberman 222, 233
 Hungtington 47, 155
 Hurrelmann 171, 180, 181, 256
 Husserl 225, 232

 Ife 192, 196

 Jacob 225, 232
 James 170, 181, 196, 249, 250
 Johnstone 109, 117, 123, 124

 Karen 248, 249
 Kavemann 177, 181
 Keane 237, 249
 Kelly 192, 196, 211

- Keuken 182
 Keupp 249
 Kiegelmann 8, 47-49, 59, 122,
 123, 155, 156, 170,
 180, 184, 186, 196,
 253, 256, 272
 King 24, 39, 237, 248
 Kleining 3, 9, 10, 12, 20, 21,
 109-111, 113, 122, 123,
 272
 Knothe 177, 179
 Kretzmann 194, 196
 Krohne 177, 181, 182
 Kuhn 226, 232
 Kuper 232

 Lamnek 204, 206, 209, 210, 218
 Land 52, 53, 57, 97, 239, 249
 Larry 249
 Lather 183, 195, 196
 Laux 172, 174, 181
 Lave 185, 196
 LeBlanc 243, 249
 Lemieux 243, 248
 Lim 4, 183, 184, 191, 193, 196,
 272
 Lincoln 122, 170, 197
 Link 4, 117, 185, 202, 212, 226,
 228, 235, 253, 272
 Lipsky 184, 195
 Lorber 170
 Luhmann 73, 95
 Luke 184, 186, 196

 Malinowski 225, 232
 Mandl 109, 123, 124
 Mann 99, 232
 Martini 90, 92, 95
 Maslow 205, 206, 218
 Maurer 3, 125, 126, 131, 133,
 134, 137, 272
 Mayans 228, 233
 Mayring 109, 123, 124, 171-173,
 180, 181, 207, 218
 McCrae 214, 218
 McDermott 185, 197
 McFarlane 182
 McKnight 184, 194, 196
 Meacham 186, 196
 Meakes 188, 197
 Medina 3, 23, 28-30, 34, 35, 47,
 48, 141, 144, 150, 152,
 155, 156, 232, 272
 Meier 157, 165-168, 177, 179
 Meuser 162, 169
 Miles 222, 233
 Miller 233
 Morris 183, 197
 Morrow 178, 179
 Muffoletto 225, 233
 Murphy 246, 249
 Myers 235, 237, 248, 249

 Nelson 232
 Nendaz 235, 249
 Nentwich 4, 157, 159, 163, 170,
 253, 272
 Newble 249
 Newbrough 195
 Newman 178, 181
 Nichols 225, 233
 Nickenig 177, 181
 Nida 94, 95
 Niesyto 125-128, 131, 132, 134,
 136-138
 Nisbet 184, 197
 Noam 179
 Norman 170, 217, 237, 243, 248,
 249
 Nouwen 193, 197
 Nyssen 172, 181

 O'Connor 188, 197
 O'Gorman 194, 195
 Oerter 179
 Olbricht 176, 177, 181
 Olesen 160, 162, 164, 170
 Ormsby 12, 59, 62, 69
 Otte 114, 123
 Otto 109, 123

 Parbst 177, 182
 Pasero 169
 Payr 235, 248
 Pennebaker 177, 181
 Peters 114, 123
 Pink 128, 138
 Popper 205, 218

 Rabin 196
 Rahm 114, 116, 123
 Ramsey 158, 170
 Raufaste 235, 249
 Reigeluth 233
 Rey 23-26, 37, 47, 48, 155, 156,
 271, 272
 Richardson 187, 197
 Rico 30, 48, 156
 Ricoeur 225, 233
 Robson 249

- Rogers 183, 187, 196, 197, 239
 Rommelspacher 177, 181
 Rose 113, 183, 197, 248
 Rossilhol 177, 181
 Roth 178, 181, 204, 218
 Ruch 214, 218
 Ruhe-Hollenbach 114, 123
 Rush 176, 181

 Safran 178, 180
 Sartre 123
 Sauleda 47, 155
 Saup 171, 180
 Scheele 199, 203, 205, 209,
 216-218
 Schell 134, 138
 Scherer 109, 117, 122-124
 Schlee 218
 Schlingmann 177, 182
 Schmidt 134, 138
 Schmidts 4, 235, 272
 Schmitt 109, 123
 Scholz 212, 213, 218
 Schorb 128, 134, 138
 Schorr 109, 117, 123, 124
 Schulze 111, 114, 122, 124
 Schumann 212, 218, 219
 Schwartz 184, 193, 197, 235, 249
 Schweizer 3, 5, 71, 72, 74, 76,
 86, 93, 95, 251, 272
 Sefton-Green 133, 137
 Sevilla 23-26, 37, 47, 48, 155,
 156
 Sheldon 196, 197
 Sieverding 177, 178, 182
 Silverberg 232
 Sinacore 243, 249
 Sinnot 196
 Sisson 235, 243, 250
 Slater 233
 Snively 7
 Snyder 185, 197
 Soete 232
 Soltis 253, 256
 Sommer 250
 Spearman 219
 Stewart 232
 Stocklmayer 28, 48, 156
 Straumann 179
 Strauss 31, 173, 180, 189, 196,
 199, 209, 217, 225,
 239, 250
 Strauss 47, 155
 Strehmel 171, 180
 Sumarah 184, 185, 197
 Swiss 167, 232

 Tausch 119, 124
 Taylor 186, 191, 192, 197
 Teegen 177, 182
 Theunert 128, 138
 Timm 177, 182
 Titone 48, 156
 Trautner 171, 182
 Turnbull 184, 195

 Ulich 116, 120, 122, 124, 171,
 180, 181, 256
 Ullrich 4, 183, 272
 Uster 20

 van der Kolk 177, 182
 van der Vleuten 249
 van Outsem 172, 182
 Vickers 237, 249
 Vipassana Research Institute 213,
 216, 217
 Vygotsky 233

 Wahl 218
 Wallach 216, 217
 Wasser 183, 197
 Watkins 177, 182
 Weich 14, 20, 21
 Weidner 177, 182
 Weiler 195, 197
 Weinberger 202, 218
 Weingarten 217
 Weisaeth 182
 Wellman 233
 Wells 194, 197
 Wenger 185, 196, 197
 Wertsch 225, 233
 West 163, 165, 170, 172, 182
 Westin 126, 139
 Wetherell 169
 Wiener 233
 Williams 177, 182
 Witt 10, 20, 21, 110, 122, 123
 Wittgenstein 161, 163, 170
 Witzel 159, 164, 168, 170, 172,
 182
 Wolcott 187, 198
 Wolff 249
 Woolliscroft 235, 250
 Wright 246, 249

 Yeaman 225, 233
 Yus 233

Zacks 246, 248
Zarb 183, 198
Zimmerman 164, 165, 170
Zimmermann 172, 182
Zucker 196

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