

HOPES AND FEARS: ENGLISH AND AMERICAN STUDIES IN SPAIN



Editors:

**Rosario Arias, Miriam López Rodríguez,
Antonio Moreno Ortiz and Chantal Pérez Hernández**

**Dpto. Filología Inglesa, Francesa y Alemana
Universidad de Málaga**

ISBN: 978-84-616-6917-2

www.aedean.org

2013

Credits

This volume brings together the papers delivered at the XXXVI International Conference of AEDEAN (Asociación Española de Estudios Anglo-Norteamericanos), that was held at the University of Málaga (Spain) from 14th to 16th November 2012. The Editors would like to express their gratitude to a number of institutions and individuals for their support, work and assistance as we put together the e-book. First, we would like to thank the members of the Department of English, French and German Philology (University of Málaga) for their enthusiasm, energy and advice before, during and after the Conference. Without them, this volume would not have seen the light of day. Second, we would like to thank the Board of the Spanish Association for English and American Studies (AEDEAN) for their encouragement, patience and support. Despite our delay in completing the volume, they have always supplied much-needed moral assistance, and have shown faith in our work.

The proceedings include three keynotes, delivered by Dr. Patricia Duncker (University of Manchester), Dr. Julia Lavid (Universidad Complutense de Madrid), and Dr. Andrew Monnickendam (Universidad Autònoma de Barcelona). We have structured the e-book in three sections: Literature, Linguistics and Round tables and workshops. Following the lead of Sara Martín Alegre et al's *At a Time of Crisis: English and American Studies in Spain* (2012), we strongly believe that the ebook will contribute to the visibility of the academic work in Spain and abroad. The outstanding quality of the papers included in this volume proves that English and American Studies in Spain is a fruitful academic field, and we are confident that it will remain so despite the difficulties that the humanities, and research in general, are facing these days.

We hope you will enjoy the contents of the e-book.

Thank you.

The editors

2013

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Departamento de Filología Inglesa, Francesa y Alemana
Universidad de Málaga

ISBN

978-84-616-6917-2

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Keynotes

On Writing Neo Victorian Fiction¹

Patricia Duncker
University of Manchester
Patricia.Duncker@manchester.ac.uk

Abstract

This essay revisits the founding texts of Neo-Victorian fiction: John Fowles' *The French Lieutenant's Woman* (1969) and A.S. Byatt's *Possession: A Romance* (1990) in the context of a reassessment of an ever-expanding genre in contemporary commercial fiction. I approach the peculiar phenomenon of Neo-Victorian fiction as a novelist, as well as an academic, and I interrogate the forms, registers and methods of the contemporary novels through the spectral presence of canonical texts (the Brontës, George Eliot, Charles Dickens) of Victorian fiction.

Keywords: Neo-Victorian fiction, John Fowles, *The French Lieutenant's Woman*, A.S. Byatt, *Possession*

What is the literary lure of the Victorian period to which contemporary novelists are attracted, like maggots to a corpse? Why have so many contemporary novelists decided to set their fictions in the Victorian period, or, to be more accurate, in the Long Nineteenth Century – a broad span of literary and historical time, ranging from Jane Austen to E.M. Forster? Should we consider these texts as a group, and if so, how are they to be designated? In what ways, if any, do these Neo-Victorian fictions with literary pretensions differ from serious historical fiction? And what trace elements do they share with other kinds of genre fiction, - romance, crime, thrillers, ghost stories, horror, - that have decorative period settings?² Alongside this flurry of fiction we have also been presented with a deluge of academic books, theses and journals, all negotiating the field as promising research territory. Christian Gutleben initially noted the appearance of these books as a contemporary publishing phenomenon, and described their common quality as 'nostalgic postmodernism' (2001).³ Mark Llewellyn set about the task of inventing precise definitions.

What is a neo-Victorian engagement? What is a neo-Victorian text? Can it be any text published after 1901 which is set in the Victorian period, or is it about characters from a Victorian text, or about real life Victorians? Can it be a text set in the contemporary period but with recognisable allusions to Victorian texts, characters, people? Where does

¹ This is a pre-copyedited, author-produced PDF of an article accepted for publication in *English: The Journal of the English Association*. The version of record [Duncker, Patricia. "On Writing Neo-Victorian Fiction". *English: The Journal of the English Association* 2014, first published online : September 3 2014, doi: 10.1093/english/efu019] is available online at: <http://english.oxfordjournals.org/content/early/2014/09/03/english.efu019.full?keytype=ref&ijkey=zdAUNdsloyNGwoL>.

² I have already addressed some of these critical problems. See Duncker 2011, 48-64. Elsewhere in the literary landscape we are enduring an explosion of Tudors. The question 'why?' and 'why now?' one particular historical period attracts contemporary writers is not exclusively confined to the Victorians.

³ French critics and intellectuals were among the first commentators on Neo-Victorianism.

conscious and deliberate appropriation begin and general awareness of accidental echoes of the Victorian end? (2008, 164-85)⁴

Here we have a genre in the process of creation, perhaps even the emergence of a genealogy with all the attendant uncertainties of categorisation and provenance. Clearly not all books, which contain a crime, are crime novels,⁵ and genres tend to establish themselves and evolve over decades, even centuries. So it may be helpful to ask a second set of questions, from the novelist's rather than the academic's point of view.⁶ These questions are certainly addressed by the 'content critics', whose main concern is with classification, not with form, technique, language, and method. The academic sector of my brain is not alarmed by this. I too am concerned with cultural and political formations, and know that genre fiction, even the most tedious and predictable examples, can be very revealing in any investigation of underlying cultural ideologies. But the novelist in me finds the fact that so much intellectual energy is spent on explicating banal trivia deeply unsettling. Just occasionally the more honest academics 'come clean' and admit that they are analysing work that has no literary value whatsoever. Here is Professor Francis O'Gorman discussing Salley Vickers's *Miss Garnet's Angel* (2000) which he describes as "not a volume without challenges for its reader":

Its caricatures of politics, unanalytical conception of religion, unsophisticated Christian apologetics, and its psychologically undeveloped characterisation are not easy to overlook (O'Gorman 2010, 3-22)⁷

Needless to say, he then goes on to overlook them. The significance and interest of a mass of badly written novels have been inflated beyond reasonable measure in the present round of 'Neo-Victorian studies'. We all spend a great deal of time reading bad writing, for study and for pleasure, but the quality of the Neo-Victorian writing considered by most commentators on the genre, which is the primary concern of any serious writer, seems largely irrelevant. It is not irrelevant to me.

The significance of the 'Neo' in Neo-Victorian deserves some comment here.

The term Neo when used in conjunction with a political movement, implies a desire to return to the political beliefs of that movement's past (for example Neo-Fascism) and the desire for the reinstatement of earlier and often conservative values, as opposed to more radical change (Gay, Johnston and Waters 2008, 10-11).⁸

⁴ See also Ann Heilmann and Mark Llewellyn, 2010. This is a survey of the territory, picking out ideological threads in the contemporary fictions and offering close readings of selected novels. The authors are especially interested on the story of Saartje Baartmann, the Hottentot Venus, and the way in which her life and body have been re-appropriated (Heilmann and Llewellyn 2010, 106-142).

⁵ Clearly not, or E.M. Forster's *A Passage to India* and *The Wind in the Willows* would be candidates for the genre.

⁶ I hereby declare an interest. I have written a Neo-Victorian novel, although I didn't know I was doing so at the time: *James Miranda Barry* (1999), and have just written another one, *Sophie and the Sibyl: A Victorian Romance* (forthcoming), although this time around, with the help of a good many academic revelations, I did know exactly what I was writing.

⁷ I haven't much time for Salley Vickers, but O'Gorman goes on to make many interesting points about Venice. Overall this volume (Arias and Pulham 2010) is filled with important and interesting reflections both on the Victorians and the Neo-Victorians.

⁸ For further discussion of the issues and a delightful list of Neo-Victorian clichés see Heilmann and Llewellyn 2010, 4-8.

This suggestive observation appears in a tiny footnote in a volume on the Victorians and Neo-Victorianism, edited by Penny Gay, Judith Johnston and Catherine Waters, *Victorian Turns, NeoVictorian Returns*, and is discussed at length by Heilmann and Llewellyn, who offer a precise and convincing definition of the Neo-Victorian. “To be part of the Neo-Victorianism we discuss in this book; texts must...in some respect be *self-consciously engaged with the act of (re)interpretation, (re)discovery and (re)vision concerning the Victorians*” (Heilmann and Llewellyn 2010, 4; original emphasis). In other words, you have to know what you’re doing when you meddle with the Victorians and have an agenda, whether obvious or covert. ‘Neo’ does, of course, also mean new. Does it matter if we are looking backwards to the Victorians themselves or taking our stand on Victorian ground and looking forwards into the twenty-first century? And are not all historical novelists Janus-faced, always looking both ways at once? ⁹ But the suggestion that Neo-Victorian writing manifests a longing to return to something secure, conservative, even reactionary, and above all familiar, cannot be swept aside. The conservative aesthetics of Neo-Victorian fiction, an issue raised by Christian Gutleben, still needs to be addressed. Neo-Victorian fiction writers insist on that which is not new, as much as enjoying the appropriation and adaptation of the old for new purposes. Indeed, the most interesting Neo-Victorian fiction writers insist on having their Neo-Victorian cake as well as eating the high Victorian one Miss Havisham never touched.

In whatever ways the Neo-Victorian phenomenon is configured, the academic critical consensus names the same two texts as godfather and godmother to the monstrous brood: John Fowles’ *The French Lieutenant’s Woman* (1969) and A.S. Byatt’s *Possession: A Romance* (1990) ¹⁰. Neither book was born a Neo-Victorian text, but became one. The birth of a genre begins here, with these two flawed, ambitious novels, which, each in its own way takes on the Victorians. Both books were discussed in academic journals and taught at school and university levels as post-modern or experimental historical novels, before they achieved their current status as the first Neo-Victorian fictions. Byatt’s publishers called attention to the link between the earlier best-seller and her own Booker Prize-winning text on the flyleaf of the first edition: “Like *The French Lieutenant’s Woman*, it is formally both a modern novel and a high Victorian novel”. But Byatt deliberately describes her novel as *A Romance*, and these two registers of fiction, the novel and the romance, are very different from one another, both in outcome and intent. Her epigraph, which cites Nathaniel Hawthorne’s Preface to *The House of the Seven Gables*, amounts to a manifesto:

When a writer calls his work a Romance, it need hardly be observed that he wishes to claim a certain latitude, both as to its fashion and material, which he would not have felt himself entitled to assume, had he professed to be writing a Novel. ... The point of view in which this tale comes under the Romantic definition lies in the attempt to connect a bygone time with the very present that is flitting away from us (Byatt 1990).

The tension in Byatt’s novel lies not in the old eighteenth-century split between the novel of manners and the Gothic world of the fantastic, nor between realism and myth, but between the two time periods in the narrative, the bygone period of the Victorians and “the

⁹ See Heilmann and Llewellyn’s most interesting discussion of the mirror image, the glass that looks backwards and forwards in A.S. Byatt’s *The Children’s Book* (2009) in *Neo-Victorianism*, pp. 156-163.

¹⁰ Jean Rhys’ *Wide Sargasso Sea* (1966) a modernist re-working or prequel to *Jane Eyre* is also often cited as a Neo-Victorian text. Her stylistic and literary agenda seems so radically different from that of Fowles and Byatt I would not include her work in the Neo-Victorian project.

very present that is flitting away from us". Both Fowles and Byatt's novels already seem to be part of a past present, and a past reading of the Victorians that no longer exists. For Fowles too has a double narrative: his omniscient narrator, that magnificent and controversial presence in the Victorian novel, who tells you how to read the book, is located in the 1960s, recounting the events unfolding in the 1860s. All serious writers are concerned with chronologies of time: the times in which the work is written, and the connection between the present and the period described. Fowles' version of the Victorians is rooted in the 1960s. Look at the epigraphs to the chapters and note some of the authors cited: Hardy, Arnold, Marx, Darwin, A. H. Clough, and Tennyson, - he quotes extensively from Tennyson's "Maud". Mrs. Caroline Norton and Jane Austen are the only women writers to be included in his raft of epigraphs (Fowles [1969] 1972).¹¹ Both women writers are significant. Austen set important sections of her last novel *Persuasion* (1818) at Lyme; indeed, she made the Cobb at Lyme Regis famous. Fowles also includes Caroline Norton and her appalling poem "The Lady of La Garaye". But this list doesn't even hint at the quite different Neo-Victorian canon of authors ripe for imitation, adaptation or reinvention, among whom I would stress the presence of Wilkie Collins, all the Brontës, the 1860s fashion for Sensation fiction, Henry James and the Victorian ghostly writers, especially M.R. James, the ubiquitous Oscar Wilde and, more dangerously, Charles Dickens.¹² Characters from Dickens seem to be an irresistible Neo-Victorian lure, especially the cast of *Great Expectations*, but his style presents problems, even to the most determined imitators, as it resists both parody and pastiche.

Fowles was genuinely interested in Victorian discourses: religious, cultural, social, political and scientific. His text is littered with intriguing information, such as the sexual habits of Dorset peasants, Victorian women's fashions, wonderful footnotes on Victorian contraception, Hardy's romantic attachment to Tryphena, Darwin's technical terms for 'camouflage', Charles Lyell and the history of geology. Fowles is a pornographic writer, intensely interested in heterosexual sex, and in heterosexual sexual politics, both the sexual politics of the Victorians, and the radical sexual mores of the 1960s 'Sexual Liberation' years. He is also fascinated by the intimate relationship between heterosexual sex and rape.¹³

Ostensibly, the subject of *The French Lieutenant's Woman* is the classic tale of seduction and betrayal, but with the usual sexual roles reversed. Charles Smithson is torn between two women, the conventional, bourgeois, Victorian tool of the patriarchy, Ernestina, to whom he is suitably engaged, and the mysterious Sarah Woodruff, who stands for sexual modernity. Sarah has, apparently, also been seduced and betrayed, for the abandoned woman is always, traditionally, the fallen woman. But in Fowles' Neo-Victorian novel it is not the man who is the seducer and betrayer, but the other woman. And here, Fowles, thinly disguised as the omniscient narrator, declares his hand, and reveals his fictional agenda. "Modern women like Sarah exist, and I have never understood them" ([1969] 1972, 85). This novel contains his attempt to decode a woman whose sexual and emotional independence remain a mystery to the writer who imagines her.

Thus Fowles sets up a narrative in which a particular culture creates and determines weak and fatuous characters, such as Charles and Ernestina, but cannot touch the melancholy and elusive Sarah Woodruff whose time is yet to come. In a most interesting scene early in

¹¹ See pp. 100-101 for Fowles' commentary on the career of Caroline Norton, which is eventually used as a stick to beat the conventional Ernestina.

¹² See the list of historical texts, politely 'revisited' by the Neo-Victorians (Heilmann and Llewellyn 2010, 288-292).

¹³ Readers who feel that this is a controversial statement should reflect on the fact that 'rape' is exceedingly difficult to prove. Why?

the novel, when Sarah persuades Charles to meet her in secret, Fowles allows the emerging candour of the 1960s to expose the sexual confusion of the 1860s. Charles confronts Sarah's demands with a row of Victorian clichés.

When one was skating over so much thin ice-ubiquitous economic oppression, terror of sexuality, the flood of mechanistic science, - the ability to close one's eyes to one's own absurd stiffness was essential. Very few Victorians chose to question the virtue of such cryptic colouration; but there was that in Sarah's look which did. Though direct, it was a timid look. Yet behind it lay a very modern phrase: Come clean, Charles, come clean (Fowles [1969] 1972, 127).

Fowles steps into the narrative and attributes an utterly modern sexual challenge to Sarah. The Victorians are doomed in the Gospel According to Fowles, because they cannot abandon their innate hypocrisy, and 'come clean'. And this brings me to reflect upon two elements in this peculiar, misogynist, overblown, but fascinating text, that are both powerful and characteristic features of Victorian writing: the presence of the omniscient narrator and the problem of the ending.

In a traditional Victorian novel which uses a single narrator, - *Mary Barton*, *Middlemarch*, *Tess of the d'Urbervilles*, - the omniscient narrator becomes the character with whom the reader holds the closest relationship, and that voice determines our connection both to the story and to the text itself. In *The French Lieutenant's Woman* this dominating authorial personality is identified with Fowles as author-creator, who appears as a character in his own fiction. This is not in itself especially startling, for almost all first-person narrators appear as characters, usually, the main character, in their own stories. What is extraordinary is the nature of the character Fowles assumes. He climbs onto the same train as his anti-hero, Charles, and the two men exchange glances:

He sat, a man of forty or so, his top hat firmly square, his hands on his knees, regaining his breath. There was something rather aggressively secure about him; he was perhaps not quite a gentleman ... an ambitious butler (but butlers did not travel first class) or a successful lay preacher-one of the bullying tabernacle kind, a would-be Spurgeon, converting souls by scorching them with the cheap rhetoric of eternal damnation. A decidedly unpleasant man, thought Charles, and so typical of the age- ... (Fowles [1969] 1972, 346).

Thus Fowles sits, exposed to the gaze of his character. He now joins the Victorians and is implicated in their fate, the hypocritical self-righteous preacher, 'so typical of the age'. All the identities Fowles imagines for himself are overdressed, tacky and fraudulent. He appears in Chapter 61, outside Dante Gabriel Rossetti's residence at 16, Cheyne Walk, looking "foppish and Frenchified", wearing a "lavishly embroidered summer waistcoat" and appearing to have "more than a touch of the successful impresario" ([1969] 1972, 394). Fowles is the novelist who is also the confidence trickster, the illusionist.

This engaging, self-deprecating identity goes a long way to undoing the damage done to the narrative by his patronising contempt for his characters. For this is always the danger attached to the role of the omniscient narrator who enjoys the power he, or she, possesses. Charles and Ernestina are mired in their own contradictory ideologies, all of which are laid bare and dismembered by the novelist's scalpel. Sometimes the omniscient narrator is the source of all compassion towards the pathetic lives revealed in all their self-deception, ignorance and confusion on the page before him. But Fowles has little sympathy for Victorian muddle, fear and moral ambiguity. And here he mistakes and ignores the emotional drama of reading. Many contemporary novelists, intent on the cleverness of their own post-modern

estrangement misjudge, or fail to remember the investment they are asking their readers to make, both in the characters and the story unfolding before them.¹⁴ The very history of this Victorian narrator and his or her voice in the text enables Fowles to speak to the reader with an easy familiarity, to insert extraneous information and to initiate general discussions, without ever seriously disrupting the illusion of the novel. We are in familiar territory. He assumes his position as interpreter; the source of knowledge, prejudice, argument and opinion. It is not his presence but his attitude of condescending disdain towards the historical Victorians and his own fictional representations that puts the book in jeopardy.

In Chapter 55 Fowles makes an inaccurate statement about the conclusions permitted in Victorian fiction, which then leads into a technical discussion of the nature of endings. Fowles claims that “the conventions of Victorian fiction allow, allowed no place for the open, the inconclusive ending” ([1969] 1972, 348). But nothing could be further from the truth. The great Victorian tradition is littered with problematic endings and with double endings. Many writers offer two endings; and when these are both contained in the novel, there will often be a safe ending and an unsafe ending. Emily Brontë does this in *Wuthering Heights* (1848). Hareton and Catherine retire to Thrushcross Grange to go on reading together and to be happy, but Heathcliff and Cathy are still out there on the moors, the unquiet sleepers “in that quiet earth”. For their eternal ghosts there is no ending. Henry James wrote two endings to *The Portrait of a Lady* (1881), the later version transforms the mood of the ending if not the outcome of the action. Significantly, James comments in his Notes for the novel “[t]he whole of anything is never told... (Edel and Powers 1988, 15; James’ emphasis)”¹⁵. Charlotte Brontë is Mistress of the Double and the Double-Edged Ending. Sometimes the writer’s own insecurity on the matter of the ending leads him, or her, to entertain two endings. There are two endings to *Great Expectations* (1861), one published, one unpublished. In the original ending Dickens gave Pip and Estella one final meeting. She is now an unhappily married woman, and they will never be united. The final, published ending with the return to the ruined house and the marshes and the last glimpse of the two brings them together at last: “... I saw no shadow of another parting from her” ([1860] 1965, 493).¹⁶ Dickens gave way to the demands of his friend Edward Bulwer Lytton and his audience; he provided the supposedly happy ending.

Fowles is faced with the same problem. His hero Charles, and a good part of the readership no doubt, all want the happy ending. But is that possible without destroying the independent mystery of his heroine? The metaphor Fowles uses for the ending is the fight.

...the writer puts the conflicting wants in the ring and then describes the fight-but in fact fixes the fight, letting that want he himself favours win. And we judge writers of fiction both by the skill they show in fixing the fights (in other words in persuading us that they were not fixed) and by the kind of fighter they fix in favour of: the good one, the tragic one, the evil one, the funny one, and so on ([1969] 1972, 348).

But what is an ending? How should novels end? The end of a book need not be and often is not the climax of the action, or even the metaphoric climax where the structures of significance culminate and intersect.

¹⁴ This is also true of Ian McEwan in his novel *On Chesil Beach* (2006), who manages to patronise both his characters and his readers in a way Matthew Arnold never did.

¹⁵ James constantly revised his fictions and his later emendations, for the New York edition, written 27 years after the novel was first published, transformed the book. See his edition for Charles Scribner’s Sons, 1908. But James always intended Isabel to return to Italy.

¹⁶ See Appendix A in this edition for an interesting discussion of the significance of both endings.

Darwin's son George commented on his father's extraordinary fictional addictions. "It often astonished us what trash he would tolerate in the way of novels. The chief requisites were a pretty girl and a good ending" (qtd. in Browne 2002, 68). A good ending is not necessarily a happy ending- so what are the characteristics of a 'good' ending? Many writers claim not to know the ending of their novels when they are in the process of writing them, and I never quite believe this, for how can you judge pace, reversals, developments, or calculate the evolution of a reader's knowledge if you do not know where you are going or how it is all going to end? What is a satisfactory ending? What is a just ending? And to whom does the writer need to be fair, the characters or the reader? Consider the descriptive words for endings: *denouement* – which literally means an 'un-knotting', the unravelling of the threads. *Denouement* also suggests 'an explanation', the elaboration of the reasons why, and the suggestion of complexity transformed into simplicity. Fowles suggests that a good ending must be both surprising and yet seem to be inevitable. We cannot see how the fight was fixed, but feel that it could not have happened any other way. A *resolution* is obviously something to be desired, the ending of a conflict, the dispersal of tension. It can also mean seeing a picture more clearly, being given a stronger definition and therefore a clearer resolution. To resolve means to find a solution for a problem, to solve a mystery. And resolution can also indicate tenacity, firmness, perseverance. To resolve also means to decide, and to act firmly.

The idea of judgement is never far away in the construction of an ending. Punishments and rewards handed out. Even Fowles is quite clear that someone needs to win. But the ending of a fiction is also the arrival at the boundary of that fictional world where the imagination reaches its limits and the structure is complete. The moment of completion is also the moment of cessation, the moment when we reach the edge. Thus, the ending of each novel, especially a great novel, is a little death. The fiction ceases and we return to the world that is not necessarily more real, but is the one in which we actually die. The ending of a book we have loved reading is both desired and feared; we are no longer accompanied, but abandoned and left alone. No writer finds that passage easy to negotiate.

Charlotte Brontë's sudden refusal to come clean at the end of *Villette* (1853) and to tell us what actually happened is therefore all the more startling and radical. She suggests that "kind hearts" can imagine their own clichéd happy ending, and then in a few sentences sets out the rapid withdrawal of her substitute author, the speaking narrator, the unreliable Lucy Snow, who gives a terrifying summary of the characters' fates, that is, only the very minor characters. "Madame Beck prospered all the days of her life; so did Père Silas; Madame Walravans fulfilled her ninetieth year before she died. Farewell" ([1853] 2004, 546). Her ending here is a snarl and a vanishing.

George Eliot, some of whose finest writing appears in her endings, wrote "[c]onclusions are the weak point of most authors, but some of the fault lies in the very nature of a conclusion, which is at best a negation" (Haight 1954-1978, vol. 2, 234). For an end is also a parting. The reader parts with the book, leaves behind the writer and the characters. The end of a novel is loss, absence. It is also the last time the writer speaks to the reader, for it is the point towards which you have been travelling together. Your ending will be your strongest statement to the reader. Last words are always the words you remember.

Or are they? We often misremember endings. Most readers remember the ending of *Jane Eyre* (1847) as the joyous reunion with the maimed, but still virile Rochester. *Reader, I married him.* Those are the first words of the last chapter, but in fact the book doesn't end with Jane and Rochester, but with St John Rivers: it is an apocalypse ending. " 'Surely, I come quickly....Amen; even so, come Lord Jesus!' " ([1847] 1966, 477). For these are not only the last words in Brontë's novel, but the last words in Revelations, and the end of the Bible. Brontë's double ending is subversive and ambiguous, because as a Victorian audience would have realised, Jane Eyre has chosen romantic love, domesticity and security, instead of

the great adventure, serving God in this world. She has chosen earthly happiness rather than a divine calling, and to serve one man rather than her God. Of course St John's missionary struggle is now largely discredited as a suspect version of imperialism, but not every Victorian believer would have read it as such. Fowles chooses to make his double ending explicit.

The only way I can take no part in the fight is to show two versions of it. That leaves me with only one problem: I cannot give both versions at once, yet whichever is the second will seem, so strong is the tyranny of the last chapter, the final, the real version ([1969] 1972, 349).

And indeed, he gives us first the happy ending, where Charles and Sarah are finally united after many misunderstandings, as a Victorian family with their child cradled between them. In the second ending Sarah rejects Charles, who is last seen alone, walking the embankment, facing the desolation of modernity. And Fowles has fixed the fight; the darker ending is unsettling, but more convincing.

John Fowles emerges from the 1860s with an argument, an agenda and a hero: Thomas Hardy. Chapter 35, which is a meditation on the Victorians and sex, ends with a fascinating account of Hardy's broken relationship with his cousin, Tryphena, (or was she his illegitimate half-sister's illegitimate daughter?), and his agnostic fury. Fowles lived and wrote in Hardy's Wessex, he described the same places, he negotiated the same intellectual terrain. Sarah Woodruff is Fowles' version of Sue Bridehead and Tess. Both writers confronted the eternal Woman Question.

This tension then-between lust and renunciation, undying recollection and undying repression, lyrical surrender and tragic duty, between the sordid facts and their noble use-energizes and explains one of the age's greatest writers; and beyond him, structures the whole age itself ([1969] 1972, 236).

Fowles takes the Victorians' struggle with sexuality, faith and ethics, very seriously indeed, for the existential thread he follows through *The French Lieutenant's Woman* binds the Victorian age to our own. What standards of ethical behaviour should we invent for ourselves in a post-Christian world? Many of the Victorians Fowles admired asked themselves precisely that question. And it is the one that Fowles poses, both to himself and to his readers.

The Pre-Raphaelites make a brief cameo appearance at the end of Fowles' novel, their sexual freedoms (for men, at least) offering a door into our sexual futures. The cover illustration of the first edition of *Possession: A Romance* (1990) presents us with another Pre-Raphaelite image, Edward Burne-Jones' "The Beguiling of Merlin". For the recurring theme in Byatt's *Possession* is of course, seduction and betrayal, and once again, a drama in which the usual boundaries of sexual blame are blurred.¹⁷ Byatt's work has received extensive critical attention in many different contexts.¹⁸ She places writing and literary production at the centre of her novel, both as a slippery intellectual adventure between her nineteenth-century

¹⁷ Heilmann and Llewellyn continue this tradition. The cover of their volume *Neo-Victorianism* (2010) has Dante Gabriel Rossetti's sinister Neo-Medieval mirror image of two pairs identical knights and ladies confronting one another in a state of shock: "How they met themselves".

¹⁸ Her scholarly and fictional interest in the Victorians and the Edwardians has never faltered. After *Possession: A Romance* (1990) came *Angels and Insects* (1992), *The Biographer's Tale* (2001) and *The Children's Book* (2009).

poets, Randolph Henry Ash and Christabel LaMotte, and as solid documents, a body of literary evidence, which forms that obscure object of desire for the academics in the 1980s, greedily hunting down their sources. Two interlocking genres, broadly drawn, correspond to the double narrative in the novel. We have a 1980s campus novel, which, as the genre dictates, is essentially comic, portraying a grotesque cast of obsessive academics, each of whom represents a theoretical approach to literature: the biographer, the feminists, the textual critic, the archivist, and so on. The poets are locked in a pastiche Victorian romance novel. Byatt uses a forensic realism for her 1980s narrative and pastiche and poetic parody for her Victorian texts. Her academic couple, Roland Michell and Maud Bailey, are haunted by their respective objects of Victorian study, Randolph Ash and Christabel LaMotte. The fictional poets are, in their turn, haunted by the Victorian literary voices of Robert Browning and Emily Dickinson. Here Byatt is following a literary method adopted by Henry James in *The Aspern Papers* (1888).¹⁹ Aspern is, supposedly, an American version of Byron. Byatt places each poet's writing, like a palimpsest, upon that of their historical model, producing an uncanny sensation of déjà vu. *Possession* is literally padded out with the poetry supposedly written by the two fictional poets.²⁰ The poems are the bridge between the nineteenth century and the 1980s, they form the elusive literary evidence laid before both the academics and the readers. The truth of the Victorian love affair, with all its shattered taboos and emotional ambiguity, eludes all the academics until the end of the book, when, in the midst of a wonderfully melodramatic storm, clearly based on the hurricane of 1987, the past finally touches the present. The search for literary evidence becomes the discovery of our Victorian origins. Our heroine, the ice maiden Maud Bailey, discovers that she is descended from both poets.²¹ She is their inheritor.

The 1980s, which was the recent past when Byatt was actually writing the novel, is dominated by the engagingly misguided academics. They are her literary detectives, pursuing their quest. The twentieth-century sections of Byatt's novel already describe a time that is now a generation ago, part of a remembered past. The theoretical debates, which preoccupy her academics, now appear, at the time of writing, hopelessly dated, and oddly irrelevant. Byatt is uncannily aware of this, for she includes Beatrice Nest, the unfortunate keeper of Ellen Ash's Journal, who had been trained to look for Influence and Irony, having studied English in an even earlier generation. Byatt appears to suggest that literary studies, of whatever kind, are of very little use in our struggle to understand the past. Comedy dates very rapidly, as anyone who tries to sell P.G. Woodhouse to young people will swiftly discover. The Victorian sections of the novel however, have not aged a day. This double narrative, which forms the spinal structure of the novel, is the technical aspect of *Possession* that is of most interest to me, both as a practicing novelist and as a student of literature.

Byatt's method marks a significant shift away from the recorded social history of the Victorian period, which preoccupied Fowles, to the literary discourses and poetic styles of the mid-nineteenth century. This shift from historical documents to literary styles means that nothing in Byatt's text actually dates from the Victorian period. Everything is (re)invented

¹⁹ First published in three parts in *Atlantic Monthly*, March-May, 1888. In his Preface (written 1907-1909) to *The Aspern Papers* James describes his discovery of the fact that Claire Clairmont had survived into his own times, actually living in Florence rather than Venice where the novella is set.

²⁰ The poetry in the texts divides Byatt's readership. Those that enjoy Victorian pastiche love the poems, but sometimes wish they were not quite so copious. Teachers of the novel, I'm afraid, report that none of their students ever read the poems.

²¹ This is uncannily like the resolution of Dan Brown's *The Da Vinci Code* (2003), where the heroine discovers she is descended from Jesus and Mary Magdalene.

and (re)imagined. The double narrative²² occupying two different periods of historical time is a common device in many contemporary novels, not just Neo-Victorian fictions. It is a dangerous structure for any writer to use. One of the two following catastrophes is very rarely avoided: either one narrative is intensely researched and imagined, usually the historical narrative, and the other is far less engaging; or the reader, whatever inducements the writer offers to the contrary, prefers one narrative and one set of characters to the other and begins, in irritation, to skim read. There are three ways of avoiding these dangers, and none of them are ever completely effective.

One: Make sure that the plots of each narrative are so closely bound together that one narrative explains the other. This is Byatt's method. The sexual secrets hidden in the Victorian period are brought to light in the modern narrative. This is not strictly a 'double plot', because the two narratives interlock. One narrative provides the solution to the other.

Two: Set the two narratives on collision course, so that the tension is generated by the dramatic structural conflict of the two tales and the possible climax can be seen approaching from afar, like a train crash.²³

Three: Give one narrative power over the other.

All these solutions address the same problem. Two separate narratives set up two different kinds of demands and expectations in the reader, and generate different desires.

The two narratives will also generate two endings, and for writers of Neo-Victorian fiction this is a gift, because the writer can address the reader's fear of the unhappy ending. The usual pattern will be to deal out separation, loss, waste and death in the historical narrative, and ensure that the present makes good the mistakes of the past. And Byatt does precisely this. She separates the lovers in the past; Randolph Ash and Christabel LaMotte come together for one erotic, geological tour in Yorkshire, then are separated and betrayed. But Roland and Maud find one another along with the manuscripts. Byatt cannot, however, bear to abandon the past to its tragic ending, and adds the Romance ending, where Randolph Ash meets his daughter, the fruit of that brief sexual union, and knows who she is. Thus, there are three endings to the novel, the last one, "Postscript, 1868", being addressed directly to the reader, whose knowledge therefore supersedes and exceeds not only that of the academics, but all the characters in the novel. As the omniscient narrator points out

There are things which happen and leave no discernible trace, are not spoken or written of, though it would be very wrong to say that subsequent events go on indifferently, all the same, as though such things had never been (1990, 508).

This is a classic Victorian ending, which echoes the famous 'Finale' to *Middlemarch* (1871-72), where George Eliot takes on all the readers, like myself, who feel that Dorothea's life has been wasted, and proclaims, *ex cathedra*,

...for the growing good of the world is partly dependent on unhistoric acts; and that things are not so ill with you and me as they might have been, is half owing to the number who lived faithfully a hidden life, and rest in unvisited tombs (1994, 838).

²² Andrea Kirchknopf claims that "post-Victorian texts engaging with their nineteenth century predecessors indicate both generic and thematic repetitions in fiction, best visible in novels with a double plot, such as A.S. Byatt's *Possession* (1990) or Graham Swift's *Ever After* (1992)" (2008, 68). I question the term "double plot".

²³ This is the method used very successfully by Lyndsay Clarke whose double narrative novel, *The Chymical Wedding* (1988), has one narrative in the nineteenth century and the other in the 1980s.

Byatt's *Finale*, which unites father and daughter, is sentimental, even mawkish, and a classic example of having it both ways, but it is intensely Victorian, both in mood and message.

Double narratives are of course a frequent feature of the massive baggy monster novels of the Victorian period, and Eliot's great fictions of the 1870s, *Middlemarch* and *Daniel Deronda*, place the heroine on one side of the double narrative, and the hero on the other. But of course, both novels were conceived, composed and originally published in serial parts, so that the effect and significance of the double narrative cannot initially be grasped. Barbara Bodichon, Eliot's staunch supporter and friend, thought that the main theme of *Middlemarch* must be the Woman Question, upon reading the First Book, 'Miss Brooke', where Lydgate makes only a brief appearance. She praised the novel but described her fears for the heroine. "I dread the unfolding and feel quite certain it is a horrible tragedy coming (to Dorothea)".²⁴ The double narrative in Victorian fiction usually places both narrative voices, or the tales of two separate destinies, in the same time period, so that the structure functions quite differently from that of Neo-Victorian fiction. The most extraordinary, suggestive double narrative is to be found in Charles Dickens' *Bleak House* (1853). The theme of this dark and haunting novel is The Condition of England, and it is shaped as a debate, indeed, as a trial, given that the Court of Chancery and the endless case of Jarndyce vs. Jarndyce is at the core. Dickens genders the narratives: his omniscient narrator is counsel for the prosecution; his is the voice of condemnation, judgement, investigative analysis, and moral authority. Esther Summerson, is counsel for the defence; hers is the intimate first-person voice of Christian hope, compassion, forgiveness. She places her faith in family, domesticity and the affections generated by home and kinship. Thus the novel is structured like a courtroom drama, a novel of debate in which the reader is the jury. Both voices in the double narrative occupy the same world, the same historical times, but read them very differently.

Victorian fiction unflinchingly occupied the moral high ground. The moral, political and social agendas, which dominated this highly engaged argumentative fiction, cannot possibly form the substance of any Neo-Victorian novel.²⁵ We no longer need to fight against that particular form of Slave Trade, or, in western Europe at least, the evils of rapid industrialisation and the creation of an urban proletariat. We are not required to agitate on behalf of the Reform Bills, Chartism, universal suffrage, the Factory Acts, Divorce, the Married Women's Property Act. True, Darwin is still with us, but the arguments for and against evolution look radically different in an era of rapid climate change. Even the drama of faith and doubt takes on a different complexion given the rise of radical Islam. So what is most Neo-Victorian fiction actually about? Well, the writers have not followed Fowles, but Byatt. There has been a shift from the political to the personal, a lurch towards commercial genre fiction, where both form and the readers' expectations determine content, and a preference for style over intellectual substance.²⁶

Two writers whose work represents this shift, but whose writing has at least some intellectual credibility, are Sarah Waters and John Harwood.²⁷ Both writers have worked as

²⁴ See her letter to George Eliot, December, 1871 (qtd. in Haight 1968, 446).

²⁵ I am not suggesting that Victorian culture did not have its fair share of "silly novels by lady novelists", which is just as well, or Darwin would have had nothing fictional to read, but I too, for the duration of this essay at least, am intent on occupying the moral high ground of serious Victorian fiction.

²⁶ But, for a more sympathetic interpretation of the Neo-Victorian project see Dana Schiller (1997).

²⁷ The relevant texts so far are Waters' *Tipping the Velvet* (1998), *Affinity* (1999), *Fingersmith* (2003), *The Little Stranger* (2009) and Harwood *The Ghost Writer* (2004), *The Séance* (2008) and *The Asylum*

academics Waters' PhD, roguishly entitled 'Wolfskins and Togas: lesbian and gay historical fiction 1870- to the present', fired her interest in nineteenth-century pornography. Both Harwood and Waters know the period they exploit for their fictions intimately and from the inside. Their subject is sexuality and narrative, and on occasions, the relationship between the two. Like Byatt, Waters' Neo-Victorian project is the reinvention of Victorian sexuality, making the sexual secrets, suggested but coded in Victorian fiction, visible and explicit. Her Lesbian Romances develop the threads suggested by Byatt's representation of the Lesbian passion between Blanche Glover and Christabel LaMotte.²⁸ The very name 'Christabel' is of course suggestive of Coleridge's poem of Gothic Lesbian seduction. I note that all the women in Byatt's novel seem to be suffering from sexual problems: Val is embittered, frustrated and bored, glows with a 'new slightly defiant radiance' (1990, 477) as a result of her relationship with Euan MacIntyre. Maud Bailey's error of judgement in a moment of madness was her decision to have grim sex with the awful Fergus. Randolph Ash's wife Ellen suffers from heterosexual frigidity and the sexual horrors. Christabel LaMotte is a Lesbian turned heterosexual when confronted with the bearded virile Ash. Blanche Glover is the deranged obsessive who betrays the lovers, works as much destruction as she can, then commits suicide. Beatrice Nest is the grotesque spinster and the American feminist Leonora Stern is too large to be taken seriously. The men are all fertile, virile and able, when interested, to perform as required. In the face of this somewhat extraordinary sexual catalogue Waters' implausible, but pleasurable versions of Victorian Lesbianism read as cheerfully comforting. Fowles, speaking as the omniscient narrator, gives us an unusual moment of sexual discretion when he describes Sarah Woodruff sleeping with the hysterical servant Millie. "As regards lesbianism she was as ignorant as her mistress..." ([1969] 1972, 138). This statement will appear increasingly unlikely to any reader of Neo-Victorian fiction where Lesbianism, carefully presented and constructed to appeal to heterosexual tastes, is ubiquitous²⁹.

I should therefore try to account for the Lesbian turn in contemporary Neo-Victorian fiction. I believe that this phenomenon, oddly enough, is also linked to academic fashions. Queer studies are now interestingly potent and intensely practised in many British and American universities, in a way that the path-breaking and more tellingly political Lesbian and Gay Studies never were. Queer is post-Gay, and often enough, post-Political. The scholarly lament, for those of us engaged in historical Lesbian studies, has always been that Lesbianism leaves very little trace. There are no children, no marriage certificates, only the odd significant legacy or bequest, but no inheritance as of right. All we can hope for are personal documents or dedications, diaries, letters, ambiguously gendered poetry, and the occasional unambiguous declaration. The love remains as invisible as the lovers. This is of course a protective cloak, if you are in danger of being shamed into suicide or stoned to death. But Neo-Victorian Lesbianism is now being made mightily visible, the lure being its hidden secrecy in the Victorian period. This really was the love that did, yet did not exist, a Victorian secret, that can now speak its Neo-Victorian name. Sarah Waters made Lesbian Romance her Neo-Victorian textual trademark.

John Harwood is an impeccable stylist at the level of the sentence, and, especially in *The Ghost Writer* (2004), a master - creator of a web of spectral echoes around the Victorian ghost stories. The novel is an exploration of Victorian narrative, a tale of seduction by reading,

(2013). Waters has been the subject of extensive critical comment. *Affinity* is the novel with the closest links to Harwood's *The Asylum*, where the novel is all about the plot in all senses of the word.

²⁸ For a scholarly account of Lesbian lives in the Victorian period see (Vicinus 2004) and for the men see (Robb 2003).

²⁹ John Harwood's latest novel *The Asylum* (2013), and Stevie Davies' *Awakening* (2013) both contain important Lesbian themes. In both cases the Lesbian passion is the cause of the heroine's undoing.

and embodies a similar drama to the one described in *Possession*. The hero, Gerard Freeman, brought up in Australia, and aware that his mother is concealing a dark secret, sets out on a quest over decades to find the truth behind two documents: the evidence, a photograph and a story which dates from the late Victorian period. Significantly, Heilmann and Llewellyn, who have discussed Harwood's novels in detail, can only do so through a lengthy explication of the plot, identifying the Victorian sources of all the ghostly pastiche narratives and the spectral echoes of the names, Alice, Jessel, Liddell, and so on. The novel dramatises a search for origins and the modern critics hunt down the Victorian sources, in an exact replication of the action in Byatt's novel, which is of course also about reading and misreading. Harwood's patchwork of narratives, "an extraordinarily carefully crafted web of inter/intratextual references" (Heilmann and Llewellyn 2010, 55) actually forms the substance of the novel; the book is about the process of reading the book. We are indeed seeking "the dread pleasures of the pastiche Victorian ghost story" (Heilmann and Llewellyn 2010, 169);³⁰ we have read all the real ones and long for more. Harwood is a talented mystery writer, and his descriptive writing has an uncanny power. In his subsequent novels he recreates the haunted house of Victorian genre fiction. Both *The Séance* and *The Asylum* are set entirely in the Victorian period. But can Victorian ghosts and pseudo-Victorian ghost stories give us anything beyond the pleasures of Gutleben's suspect "nostalgic postmodernism"? Rosario Arias and Patricia Pulham give a more nuanced definition of nostalgia in their suggestive Introduction to *Haunting and Spectrality in Neo-Victorian Fiction: Possessing the Past*, argue that "the nostalgic return to the Victorian 'maternal' body implied by neo-Victorian fiction underlines a simultaneous longing and anxiety that manifests itself in a series of recognizable features which Freud describes as uncanny" (2010, xv). So why do some writers desire the security of the past where their fictions flourish, while others suspect that its lure leads only to comforting delusions and dead ends? This brings me back to the first question I asked: why have so many contemporary novelists decided to set their fictions in the Victorian period? I have an intimate stake in this argument. And so, thinking as a novelist, and a Neo-Victorian novelist at that, I will try to suggest some answers.

It is a truth universally acknowledged that the Victorian period, or the long Nineteenth Century across Europe, is the Great Age of the Novel. Both Fowles and Byatt are ambitious and pretentious writers. They are measuring themselves against the best, but they are of course the great-grandchildren of their Victorian mistresses and masters, not the direct inheritors. Virginia Woolf's generation needed to kick against the pricks, to jeer and destroy. And to be innovators, to write it new. Byatt and Fowles are looking for what they can salvage in the wreckage of nineteenth-century realism. And the most recent generation have decided on a different credo: don't innovate, imitate.

What does the Victorian period offer the contemporary writer? Ladies and Gentlemen, welcome to the Pleasures of the Plot. Modernist writers eschewed plot, and Virginia Woolf famously admitted "And as usual I am bored by narrative" ([1953] 1972, 141). But Victorian and Neo-Victorian fiction thrives on contrivance, coincidence, reversals, revelations, and melodrama. An elaborate plot transforms the experience of reading; the process becomes a journey, with markers, milestones, false turns, surprises and crossroads. Since the glory days of Modernism plot has been the province of lightweight, middlebrow fiction and commercial genres, especially crime and thrillers. In the eighteenth century, before psychological realism came to dominate the novel, plot was a source of significance and meaning. Austen's novels of moral choice used the two sisters plot, indicating the ethical struggles of her heroines

³⁰ Heilmann and Llewellyn give very spirited readings of both *The Ghost Writer* (2010, 55-65), and *The Séance* (2010, 167-173).

through her titles, *Sense and Sensibility*, *Pride and Prejudice*. The radical Jacobin novels of the 1790s set up debate plots that were also evident in their titles: Mrs. Inchbald's *Nature and Art* (1796). This pattern continued into the nineteenth century with novels such as Elizabeth Gaskell's *North and South* (1854-55). The giant plots of the Victorian novel often dramatised connection across boundaries, particularly the barriers of class and wealth. The plot of *Bleak House* links everyone in the novel, from Lady Dedlock in her bored grandeur down to Jo, the consumptive crossing sweeper. The Victorian message is a moral one: we are all part of one another and we must recognise the connections. But do Neo-Victorian plots operate in that way? I would argue that they don't. The Neo-Victorian plot, which often dramatises trickery and deception, is about the narrative itself. The forgery calls attention to its own artifice. Neo-Victorian writers are illusionists, and it is actually this quality of deliberate, transparent deception that transforms an historical novel set in the Victorian period into a Neo-Victorian novel.

Significantly, the content critics concentrate on literary tropes, spectral Victorian echoes, parallels with contemporary concerns, and issues of theory and historiography, rather than any intense textual analysis of the languages of these novels. And it would not be sensible to conduct any such analysis. I fear many Neo-Victorian sentences would collapse under close critical scrutiny. And I also fear that contemporary literary theory can make even silly novels by lady novelists appear interesting. But very few critics ask the crucial hard questions of the ideologies, which underpin this kind of contemporary commercial fiction. Literary critics often fight shy of the commercialisation of fiction. Novels are, mostly, written to earn money. And no sensible writer bent on cash tries to write fiction that will alienate their readers. Know your readership! Strengthen their prejudices! How do we account for the lure of the Victorians? Why, in much the same way that contemporary crime writers escape into the past to evade the forensic scientists who simply solve the mystery with the aid of DNA and a test tube, rather than instinct, intelligence and logic.³¹ To be both blunt and obvious: adultery, infidelity, perversion and sexual treachery no longer have deadly consequences. Marital breakdown now leads to screaming, a few scenes and rich lawyers, not social ostracism, moral condemnation, nasty encounters with God, repentance and death. Seduction and betrayal have lost their sting. Let us return to the Victorians where class war is still brutal and sexual desire can have terrible consequences.

What elements in Victorian culture do Neo-Victorian writers carefully avoid? The omniscient narrator, who makes such a telling appearance in *The French Lieutenant's Woman*, has not appealed to many other contemporary novelists.³² We prefer narrative fragmentation to authorial coherence and control. And few writers have either the intellectual power or sufficient knowledge to wield that magisterial 'we', the authorial presence in George Eliot's novels. Nor do many writers subscribe to the bullying certainties of a writer like Fowles.³³ A third-person narrative with a limited perspective, or an unreliable first-person narrator are more popular, as are the ubiquitous letters and documents, even the e-mails, which have the advantage of being immediate, intimate, or confessional. We are following Wilkie Collins into the safer and less morally demanding intellectual world of Victorian genre fiction. But

³¹ Crime writing with Victorian settings never wavers in its content: London, gaslight, fog, prostitutes and, usually, Jack the Ripper. For a Neo-Victorian take on the matter of the Ripper try Alex Scarrow (2012), and for a modern copycat killer in the style of Jack the Ripper see S.J. Bolton (2011).

³² John Berger uses an omniscient narrator in *G* (1972), the novel for which he won the Booker Prize.

³³ Fowles was, I suspect, disastrously influenced by D.H. Lawrence, whose reputation was colossal in the age of F.R. Leavis.

the largest and most obvious gap in Neo-Victorian fiction is religion³⁴. The Victorians took their faith and their doubts very seriously indeed. Even the atheists and agnostics (Hardy, Arnold, Tennyson, Browning, Eliot, Clough, Meredith) gnawed away at their condition. The believers were no less passionate (Charlotte and Anne Brontë, Christina Rossetti, Elizabeth Gaskell). Even the heretics (Emily Brontë) knew they were heretics. Christianity is the foundation of the language and grammar of Victorian fiction, an intellectual and emotional register without which much of the writing would be unthinkable. Heilmann and Llewellyn do take account of this. “The neo-Victorian novel itself often runs the danger of debunking faith without the kind of subtleties and nuances of thought and rationality that are frequently emblematic of the nineteenth century’s own debates on these matters” (Heilmann and Llewellyn 2010, 169). I would put it even more bluntly: many contemporary novelists, Neo-Victorian and otherwise, who are unbelievers, have no knowledge of the content or nature of the religion in which they do not believe.³⁵ More crucial still is their lack of familiarity with the languages and registers of the King James Bible. The linguistic drama of Anne Brontë’s *The Tenant of Wildfell Hall* (1848) resides in her evocation and interpretation of scripture.³⁶ The plot of this novel is unintelligible without a sound grasp of the (terrifyingly Calvinist) doctrines of sin, repentance, forgiveness and damnation.

It is now time to come completely clean on my own views. As a novelist I will not choose between Fowles’ close and argumentative engagement with history and Byatt’s playful games with Victorian Romance. Like Fowles, I believe that sentimental fictions of the Victorians, whether these are the ones they created for themselves or the ones we make up for them, are “stupid and pernicious”, and I agree entirely with his brief polemical outburst that “Each age, each guilty age, builds high walls round its Versailles; and personally I hate those walls most when they are made by literature and art” ([1969] 1972, 138). We should take the Victorians as seriously as they took themselves, and treat their myths with suspicion, but we must also study our own times, and not presume to understand them. And we must not look back rather than forwards simply because we are afraid of whatever we might see, reflected in the glass.

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³⁴ An honourable exception is Stevie Davies’ *Awakening* (2013), which sets the action amidst a small group of the struggling faithful during the mid nineteenth-century Evangelical revival. But it is quite clear that the author-narrator thinks that faith and its proselytisers are at best deluded and at worst fraudulent.

³⁵ I will not be misunderstood here. In many ways we, both writers and critics, have the good fortune in Western Europe, to live in some of the most godless societies ever to exist. As a woman I would never want to live in a theocracy, a statement that will tell you what I think is the prime function of religion. But I cannot bear wilful ignorance of religious traditions that have shaped our language and our intellectual structures, and the concomitant lack of intellectual curiosity.

³⁶ Stevie Davies has always held the Brontës at the core of her intellectual projects. See her edition of *The Tenant of Wildfell Hall* (1996).

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The Impact of Corpus Annotation on Linguistic Research: Theoretical and Methodological Challenges

Julia Lavid
Universidad Complutense de Madrid
lavid@filol.ucm.es

Abstract

While one of the current debates in the Natural Language Processing (NLP) community focuses on how to ensure the quality of the human-coded annotations which will facilitate the automation of annotation through the development of machine-learning algorithms, manual corpus annotation –adding interpretive information into a collection of texts—is not receiving the same attention in the field of Corpus Linguistics, despite its potential as a topic of methodological cutting-edge research both for theoretical and applied corpus studies. This paper outlines the theoretical and methodological impact of human-coded corpus annotation on linguistic research, more specifically on current corpus linguistic practice, as illustrated by work within the CONTRANOT research project.³⁷

Keywords: Corpus Linguistics, Corpus Annotation, Natural Language Processing, Research Methods

1. Introduction: what is corpus annotation?

As explained elsewhere, “corpus annotation, sometimes called ‘tagging’, can be broadly conceptualized as the process of enriching a corpus by adding linguistic and other information, inserted by humans or machines (or a combination of them) in service of a theoretical or practical goal” (Lavid 2012a, Hovy & Lavid 2010).

In the field of Natural Language Processing (NLP) corpus annotation is viewed as the process of transforming pure text into interpreted, extracted, or marked-up text, and it is a fundamental task for a number of text-oriented computational applications such as Information Extraction and Retrieval, Question-Answering Systems, Summarisation, Translation, etc... In early work, rules or computer programs to effect the transformations were built manually, while recent methodologies use machine learning techniques to acquire the transformation information automatically, in a process called ‘training’. This methodology requires two principal stages: first, to have humans manually annotate texts (the ‘training corpus’) with the desired tags (i.e., the transformations); second, to train computer algorithms of various kinds on the corpus to perform the same job. In more detail, the annotation process for NLP consists of the following steps:

³⁷ The CONTRANOT project is financed by the Spanish Ministry of Science and Innovation under the I+D Research Projects Programme (reference number FFI2008-03384) with the title “*Creación y Validación de Descripciones Funcionales Contrastivas a través del análisis y la anotación de corpus*”. As team leader of the research group, I gratefully acknowledge the support provided by Spanish Ministry Science and Innovation (MICINN) for the work reported in this paper.

1. Identifying and preparing a selection of the representative texts as starting material for the ‘training corpus’ (sometimes called ‘training suite’).
2. Instantiating a given linguistic theory or linguistic concept, to specify the set of tags to use, their conditions of applicability, etc. This step includes beginning to write the annotator instructions (often called the Codebook or Manual).
3. Annotating some fragment of the training corpus, in order to determine the feasibility of both the instantiation and the annotator Manual.
4. Measuring the results (comparing the annotators’ decisions) and deciding which measures are appropriate, and how they should be applied.
5. Determining what level of agreement is to be considered satisfactory (too little agreement means too little consistency in the annotation to enable machine learning algorithms to be trained successfully). If the agreement is not (yet) satisfactory, the process repeats from step 2, with appropriate changes to the theory, its instantiation, the Manual, and the annotator instructions. Otherwise, the process continues to step 6.
6. Annotating a large portion of the corpus, possibly over several months or years, with many intermediate checks, improvements, etc.
7. When sufficient material has been annotated, training the automated NLP machine learning technology on a portion of the training corpus and measuring its performance on the remainder (i.e., comparing its results when applied to the remaining text, often called the ‘held-out data’, to the decisions of the annotators).
8. If agreement is satisfactory, the technology can be applied to additional, unannotated, material of the same type, thereby assisting in future analyses. If agreement is not satisfactory, the process repeats, possibly from step 2, or possibly from step 6 if more training data is required.

These steps are graphically represented in Figure 1, the generic annotation pipeline, in which 90% agreement is taken as the acceptability threshold. The three alternatives labelled “Feedback” indicate where attention must be paid should agreement not reach satisfactory levels.

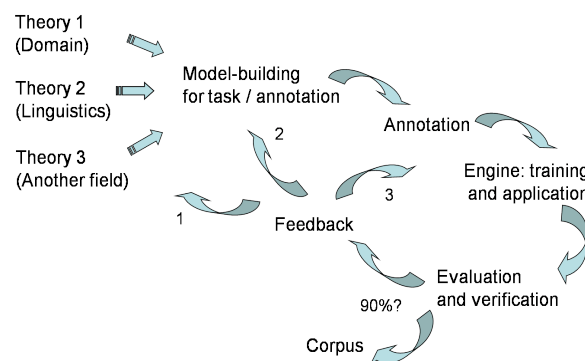


Figure 1. The generic annotation pipeline

As briefly described above, it is fundamental that the human-coded annotations are ‘reliable’, i.e., stable and reproducible, so that machine-learning algorithms can be trained on them. Reliability is based on both intra-annotator (measures stability: consistency of each annotator alone over time), and inter-annotator agreement (measures reproducibility: different annotators on the same problem). Metrics include simple agreement, Krippendorff’s alpha, variations on the Kappa coefficient (Cohen 1960, Krippendorff 2004, Artstein and Poesio 2008), and others.

While the issue corpus annotation is part of the current debate in the field of NLP, it has not received the same attention in the Corpus Linguistics community, despite the fact that it gives ‘added value’ to a corpus in terms of reusability, stability and reproducibility. In terms of reusability, an annotated corpus is a more valuable resource than a raw corpus since it can be reused by other researchers for additional purposes. In terms of reproducibility, an annotated corpus records linguistic analysis explicitly, thus exposing the analysis (and its underlying theory) to scrutiny and critique. In terms of stability, an annotated corpus provides a standard reference resource, a stable base of linguistic analysis so that successive studies can be compared and contrasted on a common basis. (McEnery et al. 2006).

However, in spite of these advantages, and the clear need for a well-founded scientific methodology that would ensure the reliability of corpus annotation, best practice in corpus annotation is still not part of the research agenda of Corpus Linguistics in this decade. As stated by Geoffrey Leech (2005): “*Best practice in corpus annotation is something we should all strive for—but which perhaps few of us will achieve*”.

The reasons for this is probably the lack of awareness of the need and the methodologies that would ensure consistency and reliability in the annotation process, and the fact there is no clear picture yet of how to use the results of the annotation process for maximal benefit.

Interestingly, corpus annotation has a tremendous potential as a topic of methodological cutting-edge research both for theoretical and applied corpus studies (Lavid 2012a, Hovy and Lavid 2010).

From the theoretical point of view, corpus annotation can be used as a mechanism *to test hypotheses about linguistic phenomena* empirically. How can this be achieved?

- a) identifying new (heretofore theoretically unanticipated) aspects where the annotators can't handle the phenomenon observed — here the theoretical coverage falls short (theory formation);
- b) identifying points of annotator disagreement- here the theoretical definitions lack clarity and accuracy (theory redefinition);
- c) determining empirically the relative frequency of each subtype of the phenomenon being studied (enriching theory with quantitative information).

From the practical point of view, corpus annotation can be used in different fields for different purposes:

- a) in the NLP field, it is used for the development of ‘enriched’ corpora that can serve as training material for computational systems.
- b) in the field of Language Teaching it is possible to work with students as annotators, using annotations by experts as ‘gold-standard’ for teaching students how to apply theoretical concepts to actual data.
- c) in the field of Contrastive Linguistics and Translation, contrastive corpus annotation can be used for establishing cross-linguistic comparisons of linguistic phenomena in different languages.

In the rest of this paper, I will outline the theoretical and the practical impact of corpus annotation on current corpus linguistic research by focusing on the work carried out within the CONTRANOT project, a recent research effort aimed at the creation and validation of contrastive functional descriptions through corpus analysis and annotation in English and Spanish.

The paper is organised as follows: section 2 describes the main annotation tasks carried out in the project, and illustrates them by briefly describing the annotation tasks in the area of Thematisation in English and Spanish. Section 3 analyses the theoretical and the practical impact of the work carried out in the project and, finally, section 5 draws some concluding remarks and gives some pointers for the future.

2. Towards best practice in corpus annotation: the CONTRANOT project

The CONTRANOT project is a current research effort carried out by members of the Contrastive Functional Linguistics Research Group at Universidad Complutense de Madrid, the collaboration of an international partner from Simon Fraser University (Canada), and an international advisory board of scholars from different European and American research institutions. Aimed at the creation of ‘reliable’ functional contrastive descriptions of English and Spanish through corpus analysis and collaborative annotation, the project work focused on selected discourse and semantic phenomena which can be considered as illustrative of the metafunctional spread characterising both languages, such as Thematisation and Topic structure, Modality and Appraisal and the expression of Coherence Relations in both languages. The idea was to use human-coded (or manual) corpus annotation as a tool for testing linguistic hypothesis about these phenomena empirically (see Hovy and Lavid 2010). These are explained in detail in the following sections.

2.1. Annotation tasks in CONTRANOT

The standard methodological practice in NLP is that human-coded annotation must be performed by at least two, and, usually, more people acting independently, so that their tagging decisions can be compared; if they do not agree with enough reliability then the whole project is taken to be ill-defined or too difficult. As explained by Hovy and Lavid (2010: 23):

The underlying premise of annotation is that if people cannot agree enough, then either the theory is wrong (or badly stated or instantiated), or the annotation process itself is flawed. In any case, training of computer algorithms is impossible on inconsistent input.

In the CONTRANOT project, the annotation tasks involve a number of steps, described below:

1. Selecting the ‘training’ corpus. This is a preliminary task, focused on the compilation of samples of comparable English-Spanish texts on which to perform the human-coded annotations. In the CONTRANOT project, the samples were collected from different genres and registers to ensure variability, on the one hand, and to count on numerous instances of the investigated phenomenon, on the other. For example, Appraisal features abound in online reviews, and therefore, we included samples of this genre in our training corpus (Taboada 2009). In other cases, e.g., thematisation, we compiled samples from editorials, commentaries, news reports and letters to the editor, to investigate this phenomenon in different genres (Lavid, Arús and Moratón 2013a, 2013b; Lavid and Moratón 2013).
2. Instantiating the theory. Here the task consists of defining and delimiting the theoretical categories that are going to be the annotated. As explained in Hovy and Lavid (2010):

3. instantiating the theory encounters the problem that no theory is ever complete, and few if any are developed to an equal degree for all variants of the phenomena they address. Since theories tend to focus on some phenomena over others, uncertainty arises about exactly which categories to define as tags for annotation, how to define them exactly, and what to do with the residue not covered by the theory.

Numerous problems arose in the process of instantiating the theoretical categories investigated in the project. The most common ones were that the categories were not exhaustive over the phenomena, or that they were unclear or difficult to define (often due to intrinsic ambiguity or because they rely too much on background knowledge). This is the case of categories such as Appraisal (Carretero and Taboada 2009; Taboada and Carretero in press), Modality (Carretero and Zamorano in press) or the textual phenomenon of Thematisation (Arús, Lavid and Moratón 2012).

The general solution adopted in the NLP community is ‘*neutering*’ the theory: when the theory is controversial, when categories are hard to define, or when it appears impossible to obtain agreement, one can often still annotate, using a simpler, less refined, more ‘*neutral*’ set of terms/categories. This solution was also adopted in the case of the annotation of thematic features in English and Spanish, where an initial tagset of thematic options includes broad thematic features to ensure inter-annotator agreements of over 85% (see Arús, Lavid and Moratón 2012).

4. Designing annotation schemes and guidelines. This task involved instantiating all or part of the features of the selected theoretical model and developing a core and an extended tagset to annotate the training corpus. Creating an annotation manual is not a trivial task; for example, the Penn Treebank Codebook is three hundred pages long. In our project we created simplified annotation schemes and guidelines which were modified and perfected during the annotation process, typically whenever new variants, unforeseen by the theory, were encountered. For the category of Thematisation in English and Spanish, a core and an extended annotation scheme was designed based on the theoretical model of Theme proposed in Lavid, Arús and Zamorano (2010). A specification of the tags used and their definitions can be found in Arús, Lavid and Moratón (2012).
5. Performing annotation experiments. In order to determine the feasibility of both the instantiation and the annotation manual, we performed several experiments on some fragments of the training corpus. For example, in the area of Thematisation (Arús, Lavid and Moratón 2012), Appraisal (Carretero and Taboada to appear; Taboada and Carretero in press; Mora 2011) and Modality (Carretero and Zamorano 2012). The experiments were performed by members of the research team and by associated doctoral students who had weekly or biweekly meetings during which problematic cases were discussed, codebook problems were noted, the need for neutering was investigated, theoretical background was provided, etc. Annotation disagreements were brought to open discussion and jointly resolved (‘reconciliation’ stage). Backing off occurred in cases of disagreement and several solutions were adopted, depending on the specific cases: (1) making the option granularity coarser (neutering); (2) allowing multiple options; (3) increasing the context supporting the annotation decision; (4) annotating only the easy cases.
6. Evaluating the annotations. The next step in the annotation process was to evaluate the annotation results in order to determine the stability and the reproducibility of the annotation schemes. This was done by comparing the degree of agreement between the annotators’ decisions, including the selection of the more appropriate measures, how

they should be applied, and determining the level of agreement which will be considered satisfactory. As explained above: “The underlying premise of annotation is that if people cannot agree enough, then either the theory is wrong (or badly stated or instantiated), or the annotation process itself is flawed.”(Hovy and Lavid 2010).

In the NLP community the most widespread statistical test to measure inter-annotator agreement is the *kappa coefficient*, which measures agreement among coders in any situation where at least two independent coders are analysing the same element. Other measures used are *Krippendorff’s alpha*, *AGR*, *precision* and *recall*. *Kappa coefficient* and *AGR* were used in the CONTRANOT project in those annotation experiments where more than two annotators were involved, as in the case of annotating thematic features in English and Spanish newspaper texts (see Arús, Lavid and Moratón 2012). *Precision* and *Recall* were also adapted to measure inter-annotator agreement in our project, considering that one of the annotators is the gold-standard (see Taboada and Carretero in press).

2.2. An example: Thematisation in English and Spanish

For the phenomenon of Thematisation, two annotation schemes were developed, one for English and one for Spanish, with tags based on Lavid et al.’s recent model of thematisation (see Lavid, Arús and Zamorano 2010). On the basis of those annotation schemes, two agreement studies were designed: 1) the first study measured inter-annotator agreement on the identification of thematic spans; 2) the second one measured inter-annotator agreement on the type of label chosen by the annotators on the previously selected spans. The Agreement metric (AGR) was used for the 1st agreement study because the annotators could be coding different expressions (markables) in identifying thematic spans. For the 2nd agreement study the kappa coefficient (K) was used, since it measures agreement when two independent coders are analysing the same element.

The studies showed that the task of identifying some thematic spans proved to be more difficult than the labelling one (e.g. AGR for IT was only of 37.50%) for the English dataset, (see table 1 below).

	English	Spanish
Task 1: identification of Thematic field	AGR = 97 %	AGR = 91%
Task 2: Identification of thematic spans realising core tags	AGR for TH = 93.84 % AGR for TL = 96.50 % AGR for PH = 78.70 % AGR for IT = 37.50 %	AGR for TH = 91 % AGR for TL = 97 % AGR for PH = 89 % AGR for IT = 94 %

Table 1: Summary of Agreement Study 1

Labeling of specific Thematic Head types was more difficult for the Spanish dataset than for the English one as shown by the lower agreement (kappa = 0.475) in table 2 below:

	English	Spanish
Task 1: labeling of core tags	kappa = 0.915	kappa = 0.839
Task 2: labeling of Thematic Head types	Kappa = 0.875	kappa = 0.475

Table 2: Summary of Agreement Study 2

This lower agreement is probably due to the complex morphology of the Spanish verbal group, which caused annotators to hesitate between thematic features such as PreHead or Thematic Head. The inherent difficulties in disambiguating different types could only be improved through consistent training and practice with the annotators.

3. Theoretical and practical impact of annotations

The agreement studies carried out within the CONTRANOT project have had a direct impact in the theoretical characterisation of the complex linguistic categories investigated so far. For example, in the area of Thematisation in English and Spanish, the thematic features proposed in the available theoretical model of Lavid et al. (2010) were redefined and clarified on the basis of the annotation experiments (see Arús, Lavid and Moratón 2010). In the area of Modality, new subcategories for modality types were created on the basis of poor agreement when trying to distinguish deontic and dynamic modality (see Lavid et al. forthcoming).

As to the practical impact of the work, several annotated corpora have been created containing annotations with the categories investigated in the project. Thus, a corpus of consumer reviews with Appraisal annotations has been developed by members of the project (see Taboada and Carretero to appear), which is available online for NLP and linguistic investigations. Another corpus of newspaper texts with Theme-Rheme annotations, and a corpus of interviews with Modality annotations have also been developed and will soon be made available for the research community (Lavid et al. in press).

In the area of language teaching, some members of the project have worked with students as annotators, using ‘gold-standard’ annotations by experts to teach students the behaviour of certain linguistic categories, such as Thematisation and Modality (see Arús, Lavid & Zamorano 2010).

4. Concluding remarks

We are entering a new era of corpus building, with need for annotated corpora and annotation experts but there is a lack of a generalised standard practice which would ensure the trustability of results: the work in NLP does not ensure theoretical soundness (through reference to prior theoretical work), and the work in Linguistics does not guarantee ‘reliability’ in the annotation process.

The main challenges for the future in this field are: a) enriching computational studies with theory; b) enriching (corpus) linguistics with experimental methodologies which ensure ‘reliability’ in the annotation process; c) need for collaborative efforts between both camps. It is expected that the CONTRANOT project and subsequent research efforts (see Lavid 2012b) will contribute to these challenges in the investigation of complex linguistic phenomena.

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Knocking on Heaven's Door: the Life and Work of Mary Brunton (1778-1818)

Andrew Monnickendam
Universitat Autònoma de Barcelona
andrew.monnickendam@uab.cat

Abstract

In this essay, I analyse the life and fiction of Mary Brunton from a completely new angle. Whereas previous criticism has always presented her as one of Walter Scott's imitators and therefore inferiors, here, the basic approach is reversed. By considering her as a writer on her own terms, by granting her certain autonomy, she emerges as a beguiling novelist. This is difficult to accomplish, as Brunton and her contemporaries all, in a rather supercilious fashion, publicly acknowledged their inferiority to Scott. However, simultaneously, they involved themselves in a attempt to construct a credible literary persona, the obligatory credential for the literary market. Brunton's personality is determined by a dull, portentous memoir penned by her husband. Just as he stifles her personally, so her fiction has suffered from her reputation as an unforgiving Presbyterian. However, I argue that her portrayal of female desire is daring and controversial, especially in her unfinished, novelistic fragment *Emmeline*, which plots out the limits of nineteenth-century romance.

Keywords

Nineteenth-century fiction, desire, reviews, Mary Brunton, Walter Scott

First of all, I would like to extend my thanks to the President of AEDEAN and its board for inviting me to be here today, as well as to the organising committee of its 36 conference for their hospitality. When I first started writing this lecture, I must admit that I blinked – a few times – in disbelief when I saw that number –36– not because it might have some undetected cabbalistic significance, but simply that thirty-six is rather a lot. This is not, I stress, an argument about numbers, nor is it an epistemological debate; the reason is another one, and concerns my subject, the novel. Once, while reading in a critical theory course Karl Marx's *Communist Manifesto*, a discussion arose as to what he had in mind when he states that: "[The bourgeoisie] has been the first to show what man's activity can bring about. It has accomplished wonders far surpassing Egyptian pyramids, Roman aqueducts, and Gothic cathedrals" (257). In order to make an 'activity' as relevant as possible, I asked what these 'wonders' could be; back came a series of suggestions, museums, industrial design, opera houses; another suggestion was that in more recent times, sports stadiums would certainly qualify (the 2008 Beijing birds-nest stadium or the 2012 London Olympic velodrome –aka as the Pringle - to name but two), but someone, whether half-asleep or in another mental state, said that the great nineteenth-century monument was the novel. It is certainly true that two of the great bourgeois cultural products of the mid-nineteenth century –the manifesto was published in 1848– were fiction and opera; both have remained enormously popular, obviously not constantly, obviously not equally. Adaptations, which have made both genres more accessible, are widespread.

But, I believe, there is a but, a big but, and that is right here. The nineteenth-century novel was a great achievement, yet it won't be found very easily in this conference. In the panel on modern and contemporary literature, we can find a contemporary Victorian, AS

Byatt, we can reach back to HG Wells and Conrad; there's little to be found in US studies; in critical theory we get close, with a paper on Victorian burlesque, and in comparative literature, Lewis Carroll pops out of his rabbit hole for a brief performance. The research projects on the AEDEAN webpage stop at the end of the seventeenth century and resume in the twentieth. Poor Jane, poor Walter, poor Charles, poor Elizabeth, poor Charlotte and siblings, poor Marian, poor Anthony...no one loves you, it seems, academically at least south of the Pyrenees and north of Gibraltar. The map or timescale of our English studies is a little peculiar, or using Marx's terms, the conference has, for some time, been strangely lacking in wonders.

With that personal reflection made, I would like now to focus on one practitioner of that wonder. My account and analysis are based on the research that led to the publication of *The Novels of Walter Scott and his Literary Relations: Mary Brunton, Susan Ferrier and Christian Isobel Johnstone*. I am only going to touch on a few, in fact very few, of the questions dealt with in this monograph, which is a simple invitation to read it in more detail.

The book's rather mundane title responds equally to the marketing strategy of the publisher and the basic hypothesis behind the book, which is a simple but, I would like to believe, innovative one. If we look at the cover and leave aside the author, we will see that there are five people: four writers, plus the charming and beautiful female reader. "And" is a connector which often suggests partnership and/or rivalry: Jarndyce and Jarndyce, Thompson and Thomson, Blair and Brown, Tom and Jerry, even Ben and Gerry's, so there is, potentially, a level playing-field, which, in terms of literary history was never the case with these writers; they were never, ever considered equals to Scott. That said, Ferrier was championed in the 1880s by two such notable figures as the philologist George Saintsbury, and by the prolific novelist and critic Margaret Oliphant who both use the same set of national parameters: Scottish Ferrier, Irish Edgeworth and English Austen, who together form a national novelistic triangle, which is basically equilateral. Apart from that brief moment, the three relations were never considered as belonging to the same universe as Scott, seemingly accepting their subservient position. Here, for example, is Ferrier writing to her faithful correspondent Charlotte Bury in 1829:

My chief happiness is enjoying the privilege of seeing a good deal of the Great Unknown, Sir Walter Scott. He is so kind and condescending that he deigns to let me and my *trash* take shelter under the protection of his mighty branches, and I have the gratification of being often in that great and good man's society. (Doyle 1898: 245)

Ferrier infrequently writes in such supercilious term, it must be pointed out, and were time permitting, it would be a simple exercise to point out certain ironies in this account and discrepancies with other of her comments. Johnstone was a liberal journalist and novelist (and, from all accounts of her contemporaries, was the brains and energy behind the highly influential *Tate's Magazine*), that is, someone whose political ideas have nothing in common with the arch-conservative, very high Tory, Scott. As Thomas Carlyle put it in a pungent comment on Victorian middle-of-the-roadism:

Mrs Johnstone's *Tales of the Irish Peasantry* bring her honourably to our mind. Pray offer the good brave-hearted lady my hearty remembrances, good-wishes and applauses.—Radicalism, I grieve to say, has but few such practical adherents! Radicalism, when one looks at it here, is—a thing one had rather not give a name to! (Carlyle 1985: 234)

In an anonymous 1832 article, which is always attributed to Johnstone she claims – in a completely idiosyncratic polemic – that Scott is a liberal whose accounts of the corrupt courts of the past reflect the current state of regency Britain to such an extent that he is nothing less

than “a universal leveller” (Anon 1832: 133). Like a considerable number of nineteenth-century readers and critics of both sexes (George Eliot and John Ruskin are the most influential of these voices), she praises his active, adventurous female characters, which leads to the hagiographical remark that Scott represents the embodiment of “the Philosophy of Humanity, and the spirit of our own national history, with that finer spirit, expansive as Life, and enduring as Time, which pervades all that he has written” (129). The interesting point is not the nature of the comment itself, but by whom it is uttered: an active, anti-conservative journalist, engaged in an ongoing battle to supply the public with literary and political journals whose liberal viewpoint would counter the all pervasive influence of *Blackwood's*.

Both Ferrier and Johnstone lived in an intellectually alive and prosperous Edinburgh, or, as it branded itself: the Athens of the north, and were well connected to the upper echelons of the aristocracy and literary circles in the case of Ferrier, and to publishing, in the case of Johnstone. Mary Brunton, in contrast, was married to a church minister, preferring home to public life: being an acknowledged author, she confided to her correspondent Mrs. Izett, was like performing in a circus, so better leave these things to Scott, whose fiction, nevertheless, she enthuses, delighted her soul. Her abhorrence might not be prim propriety but realisation that the combination of female gender, intelligence and public life produced a product she had no taste for: the bluestocking. It is a feeling Ferrier shared, if we are to judge by her merciless, violent portrayal of such figures in *Marriage* (1816). Between being anonymous, penning your work as “by a lady”, and being regarded as a bluestocking, there is really no choice for Brunton.

All three writers, openly, or as openly as they wanted or were permitted to, consciously assumed a position of subservience to Scott. Although that has for years been more or less the end of the story, for me it became just the beginning. For, notable scholars such as Peter Garside and Ina Ferris have argued so convincingly, Scott behaved as a double-agent: while he adopted the female author's obliged anonymity, hence the nickname the Great Unknown, he purposefully ensured that in his case this would not prevent him from dominating all areas of print culture: from the quill to the printing press and, most importantly of all for the widest promotion possible, the reviews. This constitutes the phenomenon which Ferris so concisely defines as literary authority in her ground-breaking study.

In the 1829 “General Preface” to the *Waverley Novels*, Scott explains that he had started writing *Waverley* in 1805, then abandoned the project, before taking it up again years later when he accidentally discovered the manuscript of its opening chapters in a desk-drawer, while searching for fishing tackle. That implies that the greater part of the novel was therefore written after that, in other words between October 1813 and the following June; publication rapidly ensued. Garside begs to differ, pointing out that *Waverley* had been advertised for publication by John Ballantyne in his 1809-1810 catalogue. Consequently there is a clear discrepancy between Scott's self-fashioning account of the process, the advertisement, and the other documentary evidence that Garside has collected. For Garside, then, this is like a jigsaw with many pieces, but one where “[n]othing fits” (33) as smoothly as Scott would have us believe. Subsequently, the enormous majority of readers and critics, dating back to 1814, have been misled. The fishing tackle story indicates two relevant points. First, that Scott strove successfully to dominate the novel through the careful creation of an episode of literary history which is largely fictitious, as the fishing tackle story locates him as the founding father who had really invented the historical romance as far back as 1805. The date, I must stress, is of paramount importance, as Scott is insinuating, actually hoodwinking us into believing that he had more or less formulated the national tale before the publication of, for example, Mary Brunton's *Self-Control* (1811). Second, the discovery of the manuscript among his sporting equipment is narrated in an extremely mundane manner, which suggests that casualness, but only the casualness of a great master, was sufficient to engender a literary

revolution with an effortless stroke of his pen. In other words, his abilities were far beyond those of his female contemporaries. To determine what Scott's motives were for the fishing tackle story is open to debate; but what is indisputable is that it underlines his attempt to consolidate his number-one slot. But the irony is, and it is surely an irony that has passed by unnoticed, that Scott sets in motion the machinery of self-promotion because of his awareness – immeasurably greater than that of his many critics since 1814 – of their existence-cum-status as writers. It is a question of simple logic: if there were no rivals, there would have been no need to be so assertive, to be so intent on eliminating all opposition.

This led me to argue that it is therefore a legitimate exercise to question if not reverse the causes and effects of their subservience. Previously, his literary relations have always been read as his followers, his satellites; to a great extent, as I have shown, this is their fault – to use a trite expression – but of course, there are other hypotheses which are better known and extensively researched, such as the materialism associated with the Ian Watt or Raymond William schools of thought. These writers cannot fit into such historicist models of encroaching secularism. What I basically do is first analyse the literary relations on their own terms and then turn to Scott to see how that process of reverse optics affects our understanding of author, the historical novel and fiction in general. This is the first time this exercise has ever been undertaken. My main conclusions focus on the questions of union, desire, Ireland, religion, and the viability of the historical romance as a genre beyond the second decade of the nineteenth century.

One conclusion is this: the fishing tackle story has been extremely persuasive, in fact so much so that it was not really challenged in a conscientious, scholarly fashion till Garside's ground-breaking 1991 article. As John Sutherland says, it is "one of the hoarier creation myths of nineteenth-century literature [...but one] [t]he reading public have always loved" (169). In other words, it is a good story (in the widest possible sense of the word). What has never been fully examined and acknowledged till now is that his three literary relations were subject to an identical process, that of creating a literary persona: in the case of Mary Brunton, this took the form of a memoir written by her husband, Alexander. Mary died in childbirth in 1818; the memoir, along with the fragment *Emmeline*, and a selection of her letters and diary, were published a year later. Why this is important is that it illustrates that not only were both male and female writers working on similar genres, the national tale would be the most precise term, but they employed secondary material to create an image, to project their status as a literary figure, even if, as in the case of Mary Brunton, its purpose was to justify her decision to stay out of the limelight. Again, one does not have to be a post-structuralist to see the irony in someone creating a literary persona in order to justify her desire for anonymity and belief in the worthlessness of being a female literary persona.

Mary Brunton's persona is the joint effort of her own words and her husband's, Alexander Brunton. It is impossible to know what motivated him to compile a memoir, but he really describes a stultifying marriage, so much in fact, that, after reading it, were one to reach the end, one would be put off for life and never be attracted to reading anything by her or about her ever again. Luckily, the volume was published posthumously, by which time Mary Brunton had been relatively successful. Her two complete novels – *Self-Control* (1811) and *Discipline* (1814) went into several editions during her lifetime, later becoming part of the Standard Novels collection, the popular cardboard and paste one volume mid-century format which replaced the highly expensive multi-volume leather and sown pages editions of the early decades. The rise of feminism and the accompanying interest in the mothers of the novel led to their republication a few decades back. Let us now have a close look at dreariness and then see what literary persona he created through adorning his account with a combination of omission and/or white lies.

The memoir, 116 pages in all, begins with a self-deprecatory admission by Alexander that he is not up to the task, before embarking on a brief biographical sketch of his wife's early years. Much of the memoir consists of her letters on a varied subject matter. Alexander dedicates four pages to her religious character: "her piety was not of an ostentatious or obtrusive kind" (1819: cxiii). In short, this assonant sentence tells us that she was an ideal Presbyterian wife, corresponding to her role as model spouse for the respectable Professor of Oriental Languages and author of a volume of Persian Grammar. The letters are followed by "Helps to Devotion Selected from the Holy Scriptures"; addressing her dear young friends, she informs them that the author of these pious pieces is "a woman in the prime of life, as cheerful, as happy" (179). That said, the final pages are dedicated to six uninteresting "Examples of Praise".

Being such a saintly man, Alexander Brunton is so overcome by grief that he can only provide us with a "feeble sketch" of her life and cannot manage to describe her final days. It is good to know that he had dedicated much of his free time to the instruction of his devoted wife: "in the evening, I was in the habit of reading aloud to her, books chiefly of criticism and Belles Lettres" (ix). Her literary career was inevitably the result of this education; she did not turn to writing to some years after their marriage, or, in other words, to some years after this instruction had begun. The *Edinburgh Monthly Review*, which thought the memoir was a real masterpiece, had one bone to pick with Brunton: his wife's failure to master maths.

It is no surprise, that such a godly man informs us of her favourite reading; apart from the Bible, it comprised John Newton's *Messiah*[: *fifty expository discourses on the series of scriptural passages, which form the subject of the celebrated oratorio of Handel*] (1786) and his *Cardiphonia*[: *or, the Utterance of the Heart*] (1781), Jeremy Taylor's [*The Rule and Exercises of*] *Holy Living* (1650), presumably Richard Allestree's *The Whole Duty of Man* (1659), and Richard Baxter's *The Saints' Everlasting Rest* (1650). The only item which is literary, in the more widely accepted term of the word, is Cowper's poetry, which is itself informed by deep religious angst. Conspicuous in its absence is any reference to the genre his wife is remembered for: the novel. This arguably select bibliography contributes to enveloping the couple in an aura of saintliness. In fact, it is almost a caricature of Protestant holiness: all prayer and no fun. Why Alexander Brunton presents his wife to us in this way will shortly become evident.

One of the recurrent themes in the little critical work available on Brunton is the peculiar, slippery way she handles desire. By this I mean that she does deal with the subject, rather than, as commonly argued, avoid or blot it out. Her preoccupations, for example, are evident in the novels themselves: the peripeteia, the trigger moment, is brought about in the first by a seducer's indecent proposal in the opening chapter to elope, and by a fond kiss by the father of the daughter she is governess to in the second. Her heroines struggle between a strict sense of morality and their illicit desires. Mary Brunton herself states in a letter, about Hargrave [the villain of *Self-Control*] that "[i]t is alleged, that no virtuous woman could continue to love a man who makes such a début as Hargrave. All I say is, that I wish all the affections of virtuous persons were so *very* obedient to reason" (Brunton 1819: 25). Brunton is aware not only of the role desire plays in her fiction but also of the likelihood of an overtly moral response, which, to judge for her caustic remark in the closing words of this citation, is one step away from hypocrisy.

Brunton's remarks irrefutably demonstrate that she is aware that if the question of desire is sent into hibernation, it will be because the reader, whether amateur or reviewer, will construe her fiction as being thoroughbred, stereotypical Puritanism. This is precisely the history of her critical response in a nutshell. Her jocular remark on readers' own morals has been overshadowed by the view that religiosity annuls any eroticism, down to the slightest glimpse of an ankle. Again, it is the writer herself who must take a great deal of responsibility

for this state of affairs. Brunton dedicates her first novel to the contemporary dramatist, Joanna Baillie, adding that the reason why she drew this rakish character was as follows: "I merely intended to shew the power of the religious principle in bestowing self-command; and to bear testimony against a maxim as immoral as indelicate, that a reformed rake makes the best husband" (1811: xlii). This grandiose statement reads as if it were delivered from a pulpit, so it is hardly surprising that she fits the slot of harsh, unforgiving Presbyterian. In the other words, when the heart beats, when desire calls, follow only the path that will allow you to knock on heaven's door.

And yet, it would not escape the attention of a literary scholar that Hargrave is no ordinary name picked at random. On the contrary, it is a name borrowed from Richardson's *History of Sir Charles Grandison* (1753). The remark about the reformed rake is also Richardson's – from *Clarissa*. In my analysis, I point out there is a steady stream of Richardsonian echoes in her fiction: not just in the names, but also in the plot, in the importance given to the father, in the use of hypergamy – marrying up as a reward for virtue – to name but a few. Thus we reach the bizarre situation that a writer who is deeply influenced by Richardson, never really felt much interest in him, (according to her husband,) unless she kept his works hidden from his sight, something which, bearing in mind the length of the two novels I have just mentioned, would have required great ingenuity and a large house. In sum, his bibliography is carefully selected to underline her saintliness.

As this is an essay on literature, it is only fitting that another reason, a literary one presents itself as complementary reason for the compilation of her bedside reading: perhaps fiction was of so little consequence to both Alexander Brunton and his contemporaries that it was not worth mentioning. This might seem far-fetched, but the cogent school of criticism that has built its foundations on the literary authority argument, as previously mentioned, would certainly put forward this hypothesis. There can be no doubt the gender/genre bias operates with total power and impunity, relegating fiction to the lowest rung in the evolutionary ladder of literature. The reverse side of the coin is that if we turn to the Alexander Brunton's remarks that he could instruct his wife in languages and the humanities but not in maths, his failure then has a simple explanation: he could not teach her maths as that is not the province of the female mind. Worthless fiction, good only for diversion, and even then not always, has a different role to play.

It is easy to be hard on Brunton, but if you feel he is genuine rather than sanctimonious, read on. In the memoir, he hides other juicy details, which only came to light in Mary McKerrow's extensively researched *Mary Brunton the Forgotten Scottish Novelist*, (2001) which pieces together her complex family history. My doubts about Alexander's motivation stems from the information which McKerrow provides. Did Alexander know, for example, that his mother-in-law, Frances, was illegitimate? If that might sound an unimportant fact of modern life, it certainly was something that would have affected, even in the slightest way, his views on her family. Of much greater importance is the fact that Alexander hides, knowingly and therefore purposefully, the story of their courtship and marriage, which bears an uncanny resemblance to seduction fiction. I am not saying that Brunton is a rake, but he in real life he was, irrefutably, that other villain: the eloper!

Mary Balfour, as she then was, lived in the Orkneys, though educated in Edinburgh with good contacts in the military and high society. Her great uncle, for example, had had an extremely successful military career in the Hanoverian army, rising to the rank of Field-Marshal, in 1757 and becoming Commander-in-Chief. Alexander, in real life was a poor scholar who tutored Mary's brothers in preparation for their going to public school. McKerrow explains that Frances (Mary's mother) detected that something was going on between the tutor and the boys' sister; she was definitely not keen on having her daughter marry a man "with a ridiculously small stipend, and no social standing" (McKerrow 2001: 56).

Frances wanted to pack Mary off to London, out of harm's way. This seems ironic, as London's as the epitome of vice is a traditional trope of English literature, most notably, I would argue, in Restoration comedy. It is precisely where the virtuous maiden is ruined, not saved! Mary would stay with her godmother, Lady Wentworth, in order to be presented to glittering London society. This would initially seem an enticing proposition, as glamorous, cosmopolitan, social connections would provide the opportunity of meeting suitors with large stipends and considerable social standing. Mary had other ideas, and her mother took further preventive action.

Frances sent Mary off to the tiny island of Gairsay. Its size is 294 hectares, its population in 1798 was 33 (for several years it was uninhabited and in 2001 its population was three). McKerrow explains

Somehow he [Alexander] managed to arrange for Mary to give him a pre-arranged signal from the island, and he then, as chivalrous as the proverbial knight in shining armour, would secretly row over in a small boat, probably from the mainland, and whisk her away. An operation, no less romantic, for being undertaken in the sometimes fickle late autumn weather. But fortune favoured him and he rescued his girl. (58)

This reads like fantasy; it is open to debate whether, were we to turn their affair into a story or a film, we would be accused of stretching credibility beyond belief, for, out of this romantic setting, the two main characters go on to become the author and subject of the piously dull, passionless 1819 memoir. And that is precisely the point: they elope in order to be a conventional Minister of the Church and Minister's wife. To continue the jigsaw metaphor, these pieces do not seem to complete the puzzle; they appear to be part of a different one. A convincing alternative argument is that their married life was very happy, despite the laconic nature of the memoir.

Just to complete this biographical section, Mary Brunton had a very un-Prebyterian love for Baroque art. The most emotive passages of her diary relate her visits to such places as Burghley House, built by and mostly designed by William Cecil, Lord High Treasurer to Queen Elizabeth I:

Cecil had as good a taste in houses as his mistress had in prime ministers. Admirable pictures! – A Magdalene, by Carlo Marrati; Domenichino's mistress, by himself – loveliness personified! Above all, the Salvator Mundi! [...] But the magical expression of the countenance! The inimitable execution of every part! Such benevolence – such sensibility – so divine – so touching – cannot be conceived without the soul of Carlo Dolce! How blest must the creatures have been whose fancy was peopled with such images! (Brunton 1819: 105-6)

To crown it all, she also loved Guido Reni's risqué, but popular painting, *Venus Attired by the Graces*, of which many copies and engravings were made. Its subject matter hardly fits the Alexander Brunton template for his wife. In fact nothing could initially be more distant from Presbyterianism than the artefacts of the Counter-Reformation. One thing is the heavenly religious music of JS Bach, but another is the almost complete pagan, nude *Venus Attired by the Graces*.

It is therefore obvious, and I use choose the word carefully, that whatever her religious views were, this did not detract from her admiration for earthly beauty, her celebration of Baroque art and music –she loved Handel– and I would propose, a certain celebration of the beauty of the female body, that central concern of Baroque art. At this juncture, it is important to point out that my analysis goes against every single description of her life –and fiction– hereto. In yet a further irony, just as millions accepted Scott's account of the birth of

Waverley unquestioningly, no one has ever doubted that Alexander Brunton's portrayal of his wife is correct. Specific accounts of her writings recognise that she is aware of the power of female desire, but only are unanimous in that she writes about it with the clear intention of snuffing it out, thus upholding unflinchingly, "the power of the religious principle". I don't agree, as I don't believe that she ever shows the power of the religious principle is sufficient in itself to sustain a full life. She is also aware that Presbyterianism can sometimes be narcissistic and even lapse into solipsism, but that's another story, and probably even more controversial.

I would like to turn my attention to the posthumous fragment *Emmeline*. Novelists used a limited number of names, hence, there are several earlier novels with like-named heroines, most notably Charlotte Smith's *Emmeline, the Orphan of the Castle* (1788). This does not mean there is any intentional intertextuality going on here. As I said, this is a fragment, though Brunton did leave explanatory notes of great interest as to how the novel would develop and conclude. Her two complete novels can be read as pursuit novels involving vulnerable young heroines who eventually survive to lead satisfactory, full married lives. Thematically, taken as a pair, they convincingly illustrate the trickiness inherent in the definition of plots, as laid out in Toni Bowers's thought-provoking but certainly debatable taxonomy: "*courtship*, [is] supposedly a process of mutual consent, *seduction*, which involves the gradual achievement of female collusion with primary male desire, and *rape*, an act of force defined by female resistance or non-consent" (141). The trickiness resides in any attempt to draw a strict division between one category and another, especially problematic being the space where seduction and rape overlap. Satirists of the time frequently used this as a metaphor for Anglo-Scottish relationships after the act of union. Had Scotland been seduced or despoiled, for example, queries a typical example of British political satire, *The Comical History of the Mariage [sic] Betwixt Fergusia and Heptarchus* (1706)?

In her final piece, Mary Brunton moves location from the spiritual purity of the North to an imaginary, pastoral England. Therefore, the typical fictional journey of the cosmopolitan hero or heroine travelling north or west out of the metropolis to encounter the internal exotica of the British Isles will not take place; that journey was used extensively by Scott and his contemporaries as the standard metaphor for the *Bildung* of the hero or heroine.

Emmeline begins in pure pink, decorated with what Sara Smith rightly considers, "tinsel of the bad romantic novel" (Smith 1986: 56):

The dews were sparkling in the summer sun, the birds sang in full chorus, the antic sports of animals testified activity and joy, and gladness seemed the nature of every living thing, when the loveliest bride that ever England saw was preparing for her nuptial hour. Affluence awaited her, and to her rank belonged all the advantages of respectability, without the fetters of state. That hour was to see her united to the gallant Sir Sidney de Clifford, – a soldier high in fame, – a gentleman. (Brunton 1819: 3)

Not only do we have the loveliest bride, in addition, she is shortly going to marry that embodiment of romance, an officer and gentleman, a hero of the Peninsular War. It is easy to believe that Brunton has abandoned moralising and has reinvented herself as an ur-Barbara Cartland. However awful the opening is, Brunton's intention is to show how awful, in a completely different sense, this pastoral England is; in short, her intention is to burst this romantic bubble. For, in this case, even though this is a marriage born of love, a slippery concept in Brunton's universe, it is Emmeline's second marriage. What appears as a dream will rapidly become "a sketch for a nightmare" (Smith 1986: 53).

Brunton's use of the language of love has a clear purpose: if the couple are presented as perfect, it is because, save the question of the second marriage, they are the perfect couple as

envisaged in historical romances, and therefore what is being called into question are the tropes that sub-genre relies on. What makes *Emmeline* different from other, or perhaps all other fiction of the time, is that the lovely, beloved heroine is not only a beautiful bride but a mother, and in marrying for love has given up her children and, to all intents and purposes, a person who seems to have been a decent husband: he gives her a substantial gift of money, £10,000, with no strings attached. To paraphrase Dryden, this is a marriage all for love, and, as we can imagine, the world will be lost. Logically, following the power of the religious principle, Emmeline deserves to suffer and be punished and should not attract sympathy: rather than knocking on Heaven's door, she should be sent downstairs, and this is what will happen, though some of the action is not so predictable.

At one point, Emmeline's husband, against her wishes, looks at her drawing book:

Two infant figures were repeated in every attitude of sport and of repose. Many of them were blotted with tears. Upon some the names were written again and again, as if the very names were dear; and sometimes they were joined with a short and melancholy sentence that sued for pity or forgiveness.

While De Clifford hurried over his comfortless survey, Emmeline unresisting stood by and wept. (83)

In an overt Freudian move, Emmeline's emotions are displaced onto her drawings, and the tears she is reluctant to weep in the presence of her husband are wept when he is not looking on. "Comfortless survey" is certainly an evocative phrase, and Emmeline's passivity poignant, partly because the text lacks at this point those strident moral comments –the religious principle– which interpolate Brunton's fiction in her two completed novels and are the hallmark of didactic fiction and the butt of most criticism. The highlighting of empathy might be explained by the sense of impending doom that is present in the characters' minds right from the beginning of the story (the wedding ceremony), when we are told that Emmeline's bosom heaved not from happiness but from sadness, and when she momentarily doubts that the slightly stooping rather than erect figure approaching is in fact her husband-to-be. The couple know what will eventually transpire but profess love in conventional terms, which only enforces their sense of alienation. This is why the fragment is so different from the complete novels: there are no interpolations, there is no overt moralising, just a brief but intent look at a failed *égoïsme à deux*.

To a certain extent, the inevitability of the breakdown, forces us to focus on the way the subject is handled through the narration of external and internal causes. In simple terms, we know what the plot is. Isabelle Bour argues that "[t]he emptiness of their life is made worse by the superficiality of their religious feeling, and their irritability increases with the length of their exclusion from social life [...] very few external circumstances are mentioned" (32). This is where I would like to disagree: while religiosity in the two completed novels and in the memoir is the key to salvation, in *Emmeline* this is not the case. It is not because religious principles are no longer the answer, but that the question requires a different set of parameters. Yet, although the novel does certainly indicate "emptiness", religion no longer plays that crucial role it did before. In other words, Bour is possibly reading the third novel as if it were a continuation of the previous, almost monothematic novels, whereas I will argue that it is radically different, which, at the danger of repetition, goes against all modern accounts, but not, as we shall see, in contradiction to several contemporary reviews. Some moral strictures are shown to be so uncharitable that the narrative, the interpolations and the outsiders' voices do not speak in unison. There are so many conflicting principles at work that no particular one stands out as dominant. It is not the case that the fragment contains moral strictures, but that it has itself fragmented. The puzzle cannot be completed.

Let us now look at few revealing cases. Emmeline's declaration to her husband that "with you I cannot but be happy" (11) is made early on in the book. In the words of an innocent young thing, like the characters of the earlier novels and most contemporary romance, these words would be shown up to be ingenuous by the harshness of life that follows. But here, the couple, almost complicitly, lie to each other right from the beginning, as they know the language of romance could never faithfully express their experience. Soon after her romantic declaration of love, she feels "the deadly pangs of remorse" (17); if remorse is, as Adam Smith says, such a powerful emotion, then they presumably entered their marriage knowing that happiness would be the one thing it would never produce.

What the text shows, almost immediately after the sugary opening, is that Emmeline is suffering tremendously and therefore the possible consequence is that empathy or even deep sympathy is aroused in the reader. The likelihood of this occurring is raised as a result of the treatment meted out to men in these situations being less draconian than that meted out to women. The least charitable person is undoubtedly the most saintly, Mrs Villiers, who shows neither pity nor companionship when Emmeline has to take in her –Mrs Villiers'– sick child. Furthermore, Emmeline believes that her husband will abandon her – "What am I but his toy?" (80) – for a fuller life and a younger woman. In brief, Brunton seems to have steered herself into a cul-de-sac by illustrating the effects of a supposedly despicable act but in so doing causes her heroine to suffer so much from the consequences of desire that the reader acknowledges the depth of her pain. As a result, this leads to questioning whether the punishment –complete social ostracism and deep unhappiness– fits the crime, or more importantly, whether the religious principle holds. In other words, what elsewhere traditionally represent morality, strength and support, the caring husband, or the potential female friend à la Wollstonecraft, harm rather than cure.

As stated above, although this fragment and its peculiarities are relatively unknown today other than as typical moralising Brunton text, this was not the case when it was first published. In an revealingly bizarre article, the *Edinburgh Monthly Review*, stated that Brunton "does not intend to render Emmeline and De Clifford objects even of our compassion" (84). While it is fruitless to enter into arguments about intentionality, the journal implicitly acknowledges that something is wrong: sympathy for Emmeline could bring into question the story's moral purpose, hence the assertion that

these characters, as delineated, never, we apprehend, did nor could exist [...] Their disposition, sensibilities, and virtues, are incompatible with their guilt, in the first place; with their abhorrent marriage, in the next; and, in the last place, with their attempt, or even wish, to mingle with honourable society, whose most sacred bonds they have daringly set at nought. (85)

The *Edinburgh Monthly Review* is adamant that the characters should either have appeared in fiction in which they had not committed sinful acts or else other, more obviously evil characters should have taken their place. If we want to put this in other words, Brunton, the journal is implying, should have written a different book. The *Review* can only arrive at such a nonsensical conclusion because it has detected that the fragment might arouse its readers' sympathy for immoral beings and therefore cast into doubt that fundamental tenet of Edgeworth, supposedly shared by fellow writers of didactic fiction, that "a maxim is illustrated through the plot, or an episode is rounded off with a moral conclusion" (Bour 30)? The *Review* intuits that one might be that upright women behave cruelly towards other women in distress; that charity and forgiveness are virtues that are seemingly non-existent; nowhere is more claustrophobic than rural England.

To avoid such horrifying dilemmas, at least horrifying to the reviewer, the article goes to enormous lengths and labyrinthine arguments to convince its readers that the main

characters could never have existed. Perhaps we can further and convincingly pinpoint how serious the situation has become if we approach Emmeline's dilemma from the opposite angle, from a simply narrative angle. What the *Review* is shying away from is the possibility that readers may identify Emmeline not from the perspective of Mrs Villiers and the religious principle, but as a person with a tragic flaw whose downfall is the result not simply of that one weakness but also of the cruel, social ostracism. If this is the case, then *Emmeline* lies closer to tragedy than to a moral tale, but a tragedy in which distorted morals preclude the possibility of catharsis.

Desire has entered into conflict with religiosity, but as *Emmeline* is a much more secular text than its predecessors, the female character has literally nothing to mitigate her depression. What we can never determine is the conundrum Brunton leaves us with, and a very strange one it is, too. What is the purpose of morality if it destroys rather than heals? That we do not know, yet Brunton, in her notes, indicated that de Clifford would leave her and return to his military career. Emmeline's misfortune would therefore be complete. In her three texts, Brunton pits desire against convention: two of her heroines overcome the problem, the third does not. Contrasting Emmeline's misfortune to the other heroines underscores not only Brunton's religiosity, which no reader can ever doubt, but the awareness of how desire will not always be contained in fiction by a conventional marriage or by a conventional happy ending or union.

Let me conclude: what I am not proposing that this is the great, undiscovered writer of forgotten manuscripts, which is patently absurd. More objectively, Brunton provides a clear case of someone fully aware of the conventions of that primeval novel of the pre-Waverley, pre-1814 days, of someone not entirely happy with romance. When an artist who dies young leaves a work unfinished, it is only natural to consider what the finished product might have been like. That is also the case with Brunton, but perhaps, and this is purely speculation, it might have remained a fragment, as she would never have been able to make it totally coherent, as the review article suspects.

Mary Brunton's awareness of these problems is acute. This I realised when re-reading this summer what is indisputably one of the world's greatest novels, *Anna Karenin*; I was struck by how much the heroine's suicide is hastened by her inability to see any future possibility of true happiness with Vronsky: she felt that "this love, which she felt ought to be wholly concentrated on her was diminishing". (772) Yet it is surely that same despair which Emmeline keenly felt: the thought of having to live without seeing her son from her first marriage –her daughter through Vronsky is almost invisible– is what finally drives Anna to distraction and then suicide. So, in general terms, I think it would be fair to say that Brunton identifies and maps out certain fictional no-go areas (more concretely, a second marriage based on desire); arguably, the nineteenth century novel simply followed suit by not entering forbidden territory to a larger extent than is generally recognised.

The light that Brunton sheds on Scott and his myriad followers takes many pages to explain, but as an appetizer, I would advance that Scott (and perhaps some of his myriad followers) relegate desire to a very secondary role and never deal with Emmeline-like problems; Scott is –I propose– rarely able to resolve the political questions he supposedly undertakes to narrate, we are talking about the historical novel after all, and even less able to resolve personal ones. Hence, for example, despite the physical vigour of his active horsey women, who certainly do not suffer from nervous disposition and will never waste away, there is, unlike in Manzoni, scarce mention of progeny (there certainly is life-after-marriage in Brunton). Finally, and possibly much more controversial, is that through the reading of his literary relations, Scott stands out as deeply pessimistic about the human condition, in part due to his agnosticism or secularism, which leaves him bereft of faith in the future; he is not the champion of Christian views, as many, but not all, Victorian critics upheld, whether

merely uttering platitudes or engaging in serious critical debate. Watt laid down one of the foundations of the nineteenth-century wonder when he said of Defoe that that “the heritage of Puritanism is demonstrably too weak to supply a continuous and controlling pattern for the hero’s experiences” (80). This might be case of Watt’s canon, but, I propose, as a hypothesis, it is not applicable to Brunton or the rest of Scott’s literary relations and requires reconsideration.

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Literature and Culture

Can't Trust Anybody: Female Bonding in Norman's *Getting Out*¹

Maika Aira Gallardo
University of Santiago de Compostela
maika.aira@rai.usc.es

Abstract

Defined simply as “the formation of friendship and loyalty between females” by the OED, the concept of *female bonding* has been a matter of controversy from its appearance in the 1970s. This paper will focus on Marsha Norman's play *Getting Out* (1977). We will analyze an excellent example of female bonding in the main character, Arlene/Arlie. She can find her way towards recovery, rehabilitation and a new beginning in life when, after a term in prison, she meets her neighbor Ruby. The debate about the existence of a biological bonding between mother and daughter or the existence of a sociocultural one is shed in this play. Thus we will explore the controversies shed by biodeterminists and sociologists, proving that the existence of the last is more probable than the first one.

Keywords: female bonding, play, biological, sociocultural.

1. Introduction

During the twentieth century, especially during the decade of the 1970s, the debate around the situation and position of women in society increased, mainly due to the impulse provided by the renewed feminist movement. As Literature has always been considered as one of the most faithful reflections of society, it has served to expose the unfair situations that women all around the world were forced to confront every day, such as, for example, domestic violence, rape, and the difficulty of adapting and surviving in a patriarchal society which was constantly constraining them. In this context, many American female playwrights develop an extensive and productive career focusing specifically on female protagonists and on ‘female or feminine problems.’ After taking a look at plays such as *For Colored Girls Who Have Considered Suicide When the Rainbow is Enuf* (Ntozake Shange, 1974), *Crimes of the Heart* (Beth Henley, 1978) or our case study here, *Getting Out* (Marsha Norman, 1977), we can realize how important the alliance or friendship among women can be to confront this society and the traumas affecting their lives. Therefore, literary critics have started to use the sociological term *female bonding* to refer to this alliance.

If we look up the definition for “female bonding” in a dictionary, the first thing we read is that female bonding refers to “the formation of friendship and loyalty between females (...).”² Although this definition does not show any reference to sexuality, many people tend to believe that *female bonding* implies a love or a sexual relationship between two women. Nonetheless, this topic is much more complex. To begin with, some literary critics like

¹ The research leading to the publication of this paper was funded by the Spanish Ministry of Economy and Competitiveness (Project FFI2010-17061).

² Definition taken from the *Oxford English Dictionary*. Consulted on April 18, 2012.

Donald J. Greiner (1993: 30) introduce a very touchy question: “How can a woman bond if both narrative and culture insist that her principal tie must be with a husband?” This simple question refers us to the origins of the conflict of women’s situation: patriarchy and the role models imposed in patriarchal society. Hence, as María Dolores Narbona-Carrión (2012: 61) mentions, patriarchy settles the difficulty women find to establish a bond with other women because “patriarchy has traditionally promoted a very negative perspective of any type of solidarity between women.”

This conflict of establishing friendship with other women is also reflected in the literary field, as we have to consider that literature, and particularly theatre, are a faithful reflection of society. Thus, from the 1970s onwards, there is a proliferation of female writing plays in which we can observe the appearance of this phenomenon, especially concerning the topic of gender violence, as we can read in the following quotation:

Female bonding is one of those options promoted by some American women playwrights that not only enrich the theatrical scene with its tactics related to content and strategies, but also, given the didactic potential of this art, they highlight the fact that possibilities of improving our society with respect to the violence perpetrated against women exist. (Narbona-Carrión, 2012: 64)

Precisely, in this paper, we will try to illustrate the importance of female bonding in cases of gender violence and how, through female bonding, women can be free from this so called *cycle of violence*, according to some experts on the topic (Greiner, Heilburn, Raymond among others) and can be reconciled with themselves and with the community surrounding them. In order to prove this hypothesis, we will analyze the case of Arlene/Arlie in Marsha Norman’s first play *Getting Out* (1977). We will focus more specifically on the family conflict (especially on the relationship mother-daughter) and on friendship among women in southern society.

2. Female bonding: biological or sociocultural?

Getting Out (1977) is a play that tells us the sad story of Arlene (and her younger self Arlie) after getting out of prison where she had been convicted for murder. Arlene is introduced to the spectator as a violent, conflictive child. The first impression we take of her is of a naughty, malignant kid who enjoys watching the suffering of others. In the following passage, we see how she enjoys while performs a cruel act:

Slimy bastard, frogs. We was plannin to let them go all over the place, but when they started jumpin an all, we just figured they was askin for it. So, we taken em out front to the porch an we throwed em, one at a time, into the street. (Laughs.) Some of em hit cars goin but most of em just got squashed, you know, runned over? It was great, seein how far we could throw em, over back of our backs an under our legs an God, it was really fun watchin em fly through the air then SPLAT (clap hands.) (*Getting Out*: 10)

In this quotation, we observe that young Arlie enjoys a sort of sadomasochist pleasure when she provokes the death of the frogs causing them suffering. Then, after childhood, the spiraling violence increases in her daily life as prostitute until she commits a crime (she accidentally kills a cab driver because he has tried to take sexual advantage from her) and ends up in prison. However, what the spectator does not know yet is that, behind her violent behavior, there is a trauma buried in her early childhood: the sexual abuse perpetrated by her own father and her mother’s abandonment after these episodes.

The mother-daughter relationship in *Getting Out* denies Greiner's statement (1993: 34) about the existence of a stronger bonding between the females, "The pivotal moment in female bonding may be the birth of a daughter; some clinical theorists conclude that mothers bond more forcefully with daughters than with sons (...)." Presumably, this type of bonding appears because mothers were once daughters and that the identity of the mother will be prolonged, to a certain extent, in the daughter. Thus, what Nancy Chodorow calls the process of 'mothering' creates a kind of special bond which will sustain a woman throughout her life due to the fact that "[I]n mothering, a woman acts also on her personal identification with a mother who parents and her own training or women's role." (Chodorow, 1978: 202). Therefore, Chodorow implies that daughters identify with their mothers and want to reproduce their skills as mothers with their future daughters. However, this 'forceful' biological link between mother and daughter is broken in *Getting Out*.

The first part of the play explores the necessity of Arlene for being part of her family again. Whereas her mother speaks about general things such as cleaning the house or what is needed to create a good impression, we observe how Arlene tries hard to establish a connection with her mother, for example by subtly asking to go for lunch on Sundays:

ARLENE: (A Clear request) I'll probably get my Sundays off.

MOTHER: Sunday... is my day to clean the house now. (Arlene gets the message, finally walks over to straighten the picture. Mother now feels a little bad about this rejection, stops sweeping for a moment .)I woulda wrote you but I didn't have nuthin to say. An no money to send, so what's the use? (*Getting Out*: 25-26)

As we can deduce for Mother's words, Arlene is not welcome into the family again and her mother feels totally detached from her. She has come just in order to make what society thinks it is correct, not because she really feels the need to get closer to her daughter. Besides, when Arlene asks for her son (a son who was taken away from her in prison) and if he resembles her, Mother answers that "He don't even know who you are, Arlie (...) You forgot already what you was like a kid." (*Getting Out*: 26) We have to notice that her mother stills calls her Arlie, not Arlene, in order to prove that she does not believe in Arlene's change. Moreover, when Arlene tries to recall sweet memories from her childhood, her mother can only remember the naughty-dangerous things Arlie used to do:

MOTHER: (...) Little Snotty-nosed kid tryin to kill her daddy with a bologna sandwich. And him being so pleased when you brung it to him... (Laughing.)

ARLENE: (No longer enjoying the memory.) He beat me good.

MOTHER: Well, now, Arlie, you gotta admit you had it comin to you (Wiping tears from laughing.)

ARLENE: I guess. (*Getting Out*: 24)

As we can see, Mother is incapable of recognizing the true motives for Arlie wanting to kill her father by putting toothpaste in a sandwich. In fact, Mother supports Father's decision of beating up Arlie because she "was asking for it." Hence, it seems that Arlene cannot enjoy her child memories because there were plenty of stories of abuse and violence:

MOTHER: You remember that black chewing gum he got you when you was sick?

ARLENE: I remember he beat up on you.

MOTHER: Yeah, (Proudly) and he was really sorry a coupla times. (...) (*Getting Out*: 19)

Arlene's mother is incapable, not only of bonding and helping her daughter when she was raped by her father, but she is also incapable of coping and fighting the situation of abuse against her.

The crucial moment when we can appreciate that this biological bond does not exist in this mother-daughter relationship comes when Mother finds a man's hat in the apartment. Arlene explains that the hat is from Bennie, the guard who has brought her from prison. Arlene's mother immediately gets furious because she thinks that her daughter is working as a prostitute again, that she is living her old conflictive life and she does not give Arlene any chance of believing that she has really changed as we can read in the following quotation:

MOTHER: (...) I knowed I shouldn't have come. You ain't changed a bit.

ARLENE: Same hateful brat, right? (Back to Mother.)

MOTHER: Same hateful brat. Right (Arms full, heading for the door)

ARLENE: (Rushing toward her.) Mama...

MOTHER: Don't you touch me. (Mother leaves. Arlene stares out the door, stunned and hurt, finally, she slams the door and turns back into the room.)

ARLENE: No! Don't you touch Mama, Arlie. (*Getting Out*: 30)

Arlene has finally understood that she has no possibility of establishing a bond with her own mother because this woman cannot even stand that her daughter touches her. Therefore, it can be seen that this 'forceful' link, supposedly created by biology, between mother and daughter is broken in *Getting Out*. There is no such biological or affective bonding between Arlene and her mother because, apart we can deduce that Mother blames Arlene for the abuses her father perpetrated against her, Arlene's mother does not believe in Arlene's rehabilitation after getting out of prison.

If the possibility of this natural, biological bonding is questionable, we cannot deny, however, the possibility and necessity of establishing a sociological female bonding. In this respect, we support Janice Raymond's theory that

Women bond (...) not because of biological needs but because of cultural conditions. (...) biological differences between the sexes are not an issue, and male dominance is not an unredeemable given inherited by humanity since the early moments of the race when the sexual division of labor resulted in the contrast between man-the-hunter and woman-the-gatherer. Culture is a construct. Constructs can be changed. (Greiner, 1993: 41).

As it can be read, for this critic, the friendship or bonding among women, would be useful for neutralizing the cultural power of heterosexual relationships, therefore, female bonding will help to empower women and fight the established patriarchal system which commonly victimizes them.

We have proved that, in this play, biological bonding does not exist. However, we cannot say the same about the sociocultural bonding proposed by Raymond. In fact, in order to reconcile with herself, in order to join together the new Arlene and the old Arlie, Arlene needs the help and the unselfish friendship of another woman. This woman will be her upstairs neighbor: Ruby.

When Ruby appears on stage, looking for Candy (Arlene's younger sister), Arlene feels an immediate distrust towards this stranger who is offering her help. Arlene is even incapable of extending her hand for greeting her neighbor as it is said in the stage directions: "RUBY: (...) It's Arlie, right? / ARLENE: It's Arlene (does not extend her hand.)" (*Getting Out*: 46). It is important to take into account how Arlene highlights her new identity pointing out to the fact that "you [Arlene] don't seem like Candy said." (*Getting Out*: 48). Ruby knows about Arlene's situation and offers her a job as a dish-washer, a job which will be more decent than

prostitution although not so well paid, which Arlene is thinking to come back to after her pimp Carl comes to visit to tell her the amount of money she will get turning back to prostitution. However, Ruby forces her to confront reality because she is bluntly sincere when she says to Arlene that "(...) you can wash dishes to pay the rent on your own 'slum', or you can spread your legs for any shit that's got ten dollars." (*Getting Out*: 60). In this option, we implicitly see the conflict between past and present which is surrounding Arlene's life.

The problem is that Arlene cannot trust anybody as she recognizes to Ruby in the quotation we have used for the title of this paper ("can't trust anybody"). She rejects the offer of having lunch with Ruby, her kind offer of bringing some groceries from the shop and she even rejects an offer of playing cards together.

Nonetheless, Arlene's opinion about Ruby's intentions changes as soon as Ruby comes and defends her from the pimp, who comes again to try to force Arlene to be a prostitute again. Ruby is really worried about her and Arlene sees that. After this, Arlene eases her pain and explains that she cannot go on unless she reconciles with her old, hateful self: Arlie. Ruby explains that "You can still love people that's gone." (*Getting Out*: 62). Both share an intimate moment of conversation and Arlene finally finds out that there is some chance for her in life and she finally accepts Ruby's friendship learning the importance of being together to survive in her new present.

3. Conclusion

Bonding among women is not only necessary to survive in a patriarchal society which does not forgive women when they act wrong. Female bonding is also necessary to help women to reconcile with themselves when they do not see that there is always a real possibility of getting out.

The examples analyzed in this play prove that joining with a fellow woman not only helps Arlene to recover from a traumatic experience. It is also a way of (re)discovering her true self and proving that she can survive in a society which is constantly trying to constraint and repress her.

Thus, although the existence of a natural or biological bonding between mother and daughter may exist, we can say that, in this particular case, it is broken, being supreme the existence of the sociocultural bonding. All in all, we cannot forget that mother - daughter relationships have been conflictive throughout literary history.

Summing up, we can say that, with respect to female bonding, this play adapts to what feminists and sociologists affirm when they insist on the importance of bonding with your fellows. In this case study, 'female bonding' proves to be the only possibility of renewal and redemption for the protagonist and opens her eyes to new chances in life outside prison which preclude a return to her old sordid and traumatic existence.

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The Musical Goes West: An Analysis of Genre and Gender in *Seven Brides for Seven Brothers* (1954)

Patricia Álvarez Caldas
Universidad de Santiago de Compostela
palzcaldas@gmail.com

Abstract

During the decade of the 1950s, the musicals conquered new horizons: a series of films were set on the Western frontier and provided the audience with a romanticized vision of the American past. The so-called “folk musical” borrowed the vocabulary of the American regional art, and presented a series of themes and characters that were easily accessible to modern audiences despite their historical gap. The film *Seven Brides for Seven Brothers* (Donen, 1954) managed to present an ironic view of marriage and of the whole process of courting which the musical genre had always mythologized. The Western setting and the musical numbers eased the social comments that the story presented, and proved that it was possible to break the social conventions while following the patterns imposed by the genre.

Keywords: film, musical, marriage, femininity, 1950s.

1. Introduction

The period between 1945 and 1955 is known in film history as the Golden Age of Hollywood musicals. As Weaver points out, “In the 1950s, musical films were created on a broader canvas. The world beamed with hope for the future and nostalgia for the past” (1999). The creators of musicals confronted this decade with the optimism and the self-confidence Americans felt after the end of World War II, and they considered the production and distribution of films with the unique flavor of the *Americana* truly patriotic. Musical began to look back to America’s own past, encouraged by the success of plays such as *Oklahoma!* and of those films belonging to the subgenre of the folk musical —e.g. *Meet me in St. Louis* (Minnelli, 1944)—. Instead of presenting yet again the elegant scenarios and stylish characters inherited from the European operettas, the musical numbers of these films reflected ordinary American actions, dreams, and desires.

But there was yet another important economic factor which reoriented musicals towards this new direction: television had replaced cinema as the main source of entertainment, so Hollywood had to expand their horizons in order to appeal to the audience. During the decade of the 1950s, the genre needed to reshape itself, finding new themes and presenting deeper social concerns. Paradoxically enough, it is during these conservative Postwar years that musicals finally questioned the marriage realm “so long shunned by the genre” (Altman, 1987: 268). In this paper, we will analyze the film *Seven Brides for Seven Brothers* (Donen, 1954), which provides a different perspective of the process of courting and marriage in the setting of the American Western Frontier.

*Seven Brides for Seven Brothers*¹ was produced during the first half of the 1950s, a “decade of absolutes” (Aronson, 2000: 157), when America was asserting its power inside and outside the country, trying to promote its values and ideologies using some powerful tools such as the control of the media and the Hollywood Industry. The film belongs to the “folk musical subgenre” (acc. to Altman, 278) which borrows the vocabulary of the American regional art. This choice of setting provided a romanticized version of the American past, while at the same time presented themes and characters with whom contemporary audiences could easily identify with. The text raises some questions related to gender roles, but remains faithful to the presentation of themes and characters that were traditionally imposed by the conventions of the musical genre.

SBFSB will be analyzed from the perspective of film history, and more concretely, using the genre methodology proposed by professor A. Luis Hueso in *Historia de los Géneros Cinematográficos*. Genre studies are traditionally approached from a structuralist perspective, which allows the analysis of the similarities and differences that bind together a series of works. By using genre as a methodology *per se* within the broader area of film history, we can tackle a text’s structural qualities as well as other factors that belong to the historical context surrounding its creation.

By historical context we mean all the aspects involving the making of these films within Hollywood history, and also those aspects that are related to History and the society which produced these particular texts in a particular time. As Hueso (1976: 37) argues,

Los géneros pueden ser contemplados como diversos cortes transversales que inciden sobre el planteamiento histórico, de manera que mediante la suma de todos ellos podría conseguirse un conocimiento bastante completo de la totalidad, aún haciendo la salvedad de que los grandes genios y gran números de obras no podrían ser incorporados al estudio de ningún género. Pero estos cortes transversales no son instantáneos sino que, por el contrario, poseen una fuerte preocupación por ver las consecuencias que se originan a partir de los mismos y las relaciones que se establecen dentro de ellos entre diversas manifestaciones, lo que les lleva a alcanzar un desarrollo cronológico muy importante. Así adquieren la visión longitudinal que poseía la historia general del medio, de forma que se hacen muy utilizables para el estudio de esa totalidad histórica de la que hemos hablado con frecuencia.

By applying musical genre methodology, we will explore a series of similarities and conventions shared with other works, as well as those factors that diverge from the tradition. We will also examine whether the final message is in favor or against the main ideology—particularly those values relating to gender roles and the view of marriage— of the historical moment when the film was created.

2. The Musical Goes West: Cinema and Ideology

To understand the importance of the treatment of gender roles in films, we must first tackle the importance of the link between cinema and society. As Jarvie points out, there is a two way relationship between society and all forms of art, since art can influence society while society is at the same time influenced by art. This idea must be filled out with two additional thoughts. Firstly, we must bear in mind that even though cinema aims to portray a particular aspect of the society it wants to reproduce, it would never be a faithful representation of it, because aesthetics always interfere with the final result. Secondly, it is interesting to point out

¹ From now on, this film will be referred to as *SBFSB*.

that since cinema reaches all types of audiences, it can become a tool for propaganda and the so called *cultural imperialism*. The original preamble of the Production Code of the Motion Pictures (1930) included the following paragraph:

... though regarding motion pictures primarily as entertainment without any explicit purpose of teaching or propaganda, [the motion picture producers] know that the motion picture within its own field of entertainment may be directly responsible for spiritual or moral progress, for higher types of social life, and for much correct thinking. (Hayes, 2000-2009)

This Production Code, also known as the Hays Code, was created as a consequence of the films produced in the *Roaring Twenties*, when there were explicit allusions to sex, infidelities, or alcoholism as being part of the American society of those years. With the appearance of this new code, the censorship from the 1930s onwards guaranteed in one of its general principles that “correct standards of life, subject only to the requirements of drama and entertainment, [should] be presented” (Hayes, 2000-2009). This also supposed a return to the favorite moral themes of the very first films of the century: love, marriage, family life, and the female virtue (c.f. Jacobs).

Having this general knowledge as a background, it is not surprising that we find a conservative representation of gender roles and marriage in musicals during the Post-war years that cover the span of time from 1945 and throughout the decade of the 1950s. The situation of women during this period can be summarized as follows:

Faced with the threat from changing women's roles, American men, government, and business went on a campaign to convince women that they should go back to the way they were before the war, they should forget all their experiences and changes that took place during the war. (...) But, in addition to giving up their jobs, American women and wives should also respect the wishes of their men who sacrificed so much during the war and return to their more traditional roles as wives and mothers, dependent on their husbands. (Lewis, 2002)

Part of that campaign that Lewis mentions in the previous quote was carried out through television, advertisement, and movies. While the first two media were ideal for promoting an ideology within the United States, cinema had the advantage of being able to reach audiences all around the world. During this decade Americans were deeply concerned with their reputation in other countries², and the government began to promote a series of programs that facilitated the cultural expansion of America's way of life. As it can be read in the *Science & Philosophy Encyclopedia*, “the distribution of Hollywood movies were some of the activities designed to extract propaganda value from the appeal of America's way of life, particularly its popular culture and material success” (“Propaganda World War II”).

Talking now about the more specific situation of musicals, we must first acknowledge the fact that this genre has been always considered as “the window to American culture” (c.f. Kantor, 2004). Despite that it was originally born from a mixture of different European musical traditions, the musical film soon developed its own characteristics, becoming one of the greatest American contributions to world culture.

As we have previously argued, the fact that the selected musical is settled in the West at the turn of the century adds new patriotic connotations. The setting is given the flavor of the

² “Cultural Imperialism: Three Trends of Cultural Transfer”. *Encyclopedia of the New American Nation*.

Americana, something that calls for a collective remembrance within the United States and that distinguishes the society when the film is being watched in foreign countries.

3. Seven Brides for Seven Brothers (Donen, 1954)

In 1954 *SBFSB* premiered and became an unexpected hit. The original title was *Sobbin' Women*, as in Stephen Vincent Benét's 1937 short story, but it was changed by the marketing department and turned into *A Bride for Seven Brothers*, which at the same time was censored because "the Breen office found this too titillating" (Benson, 1997). The film raised questions about gender roles from its very title, and presented a series of innovations regarding plot development that hardly could be unnoticed. The film opens with Adam coming to town looking for a wife, a woman who could cook, wash, and clean for him and his six brothers. He goes into a general store and asks for new plow, two tubs of lard, a barrel of molasses, 25 pounds of chewing tobacco...

Adam: And you wouldn't have a wife under the counter? I'm looking for a wife.

Mr. Bixby: Hahaha... Any special brand?

Adam: well, yes... I like a widow woman that ain't afraid to work. There's seven of us men, me and my six brothers. Place is like a pigsty, and the food tastes worse. So I made up my mind. The next time I come into town to trade, I'll get a wife.

Mrs. Bixby: That's a fine thing, I must say! Thinking you could trade for a wife like if she was a bag of meal.

Adam: No, ma'am. I wouldn't say that, ma'am (Donen, 1954)

The choice of setting the action in Oregon in 1850 had a double purpose. On the one hand, it followed the conventions of a new series of folk musicals that were becoming so successful during these years (like *Annie Get Your Gun* or *Calamity Jane*); but, on the other hand, the setting allowed the audience to remain historically distanced from the satiric vision of courting and marriage that was being provided in the film, something that was ideal in order to escape censorship and keep musicals away from being related to other more socially compromised genres.

In the film, Adam and Millie get married in one of the first scenes, so although there is a courting process between the six remaining brothers and their brides, we are also given the view of the protagonists' marriage. This is a clear innovation and one of the first steps made during this decade towards a more *serious* genre. For Altman, "...the musical fashions a myth out of the American courtship ritual" (1987: 27), but Adam mocks courting when trying to convince Millie about marrying him:

How about marrying me? Oh, I know it's kind of short notice. Back east we would have met on a Sunday leaving church. Six months later I would've asked you: 'Could I walk you home?' Next few years, I would've set in your parlor every Wednesday night. Finally I would have asked your father could marry you? But there's no time. I've gotta be home tonight to tend to my stock. It'll be another five months before I get down again with my grain. You gonna keep me waiting that five months just for your pride? (Donen, 1954)

As it is very well known, the plot shows Millie trying to teach some manners to these seven wild backwoodsmen, while at the same time tries to make Adam understand the true meaning of love. After the famous scene in which the seven brothers kidnap six girls in town so they can marry them, Millie throws Adam out of the house, and never asks him to come

back³. This twist in the story focuses on how it is the *man* the one who has to change in order to be newly accepted in his own family and community.

The best play with conventions is done at the very end of the film, when the angry parents and kinfolk of the girls arrive to the farm carrying all kinds of arms in order to fight against the Pontipees and bring their daughters back home. By this time, the girls want to stay with their *kidnappers*, but they are firmly determined to bring them back to the town so they can ask for the townspeople forgiveness and thus marry them *properly*. When the parents arrive, they see the boys on the girls, fighting in very insinuating poses. When they hear the cry of a baby, the reverend thinks some of them have been raped, and so he asks:

Reverend: Before we go, there's one thing we've got to know.

Men: Girls! Girls! Now Reverend... what is it you want to know?

Reverend: We're all fathers here, and we love you... so don't be afraid to answer. I heard a wee baby crying in the house. Whose is it? (Donen, 1954)

The girls then look at each other meaningfully, smiling, and when the reverend asks again the same question, they nod at each other in agreement and all say "mine!" Women are given the power of playing with tradition and conventions, since they know that their parents will force the assumed rapists to marry them and take responsibility of their illegitimate children. This fierce criticism towards patriarchy is subtly done by disguising the film in the form of a musical, since the final multiple wedding is the happy ending expected by the audience.

4. Conclusions

The study of genre and history allows a better comprehension of the choices made during the creation of a given text. In the case of *SBFSB*, it helps us to understand the reasons for setting the story in the Western frontier, or for introducing certain musical numbers in the plot, or even to appreciate the changes and the evolution of some particular characters. It is interesting to frame our study within the context of the 1950s because of its numerous contradictions: it is a time of prosperity and hope while at the same time it is a highly traditional and conservative period; it is the zenith and the downfall of the musical genre; and it is a decade in which women learned how to work on their own while gender roles in the media were extremely marked off so they could just return to their roles as mothers and wives in the domestic sphere.

SBFSB presents an apparently conventional love story which hides a strong criticism to patriarchy and gender roles. By doing it in the form of a musical comedy, and by setting it into the romanticized past of the Western Frontier, this criticism passed subtly under the censorship's eyes, reaching the audience with an innovative message that could open a new way to musicals in the following decades.

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³ Not even when she discovers she is pregnant.

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In the “Vacuum”: Political Readings and Misreadings of Jonathan Franzen’s First Three Novels

Jesús Blanco Hidalgo
Universidad de Córdoba
jblancohidalga@yahoo.es

Abstract

Ever since the release of *The Corrections* (2001), American novelist Jonathan Franzen has been—willingly or not—involved in a number of contemporary cultural debates, a fact accountable not only by the extraordinary visibility he has achieved in the contemporary literary scene, but also by the relevance of his work to highly topical ongoing social and cultural discussions. The following is a survey of the most relevant academic contributions to the debate on ideological issues in Franzen’s first three novels.

Keywords: Jonathan Franzen, critical reception, American novel, postmodernism, left politics, globalization.

Jonathan Franzen’s work has been characterized by an ambitiously wide critical intention from the outset. Accordingly, a significant part of the otherwise strikingly small amount of academic criticism received by Franzen’s work is of an overly ideological nature and for the most part rather critical. The analysis of this criticism shows the difficulty involved for an author like Franzen to take hold of a firm, stable position of his own from where to cast a broad critical vision on contemporary American society. In certain quarters, Franzen’s social critique has been dismissed as a cumbersome distraction from his novels’ real merits. Thus, for example, in an influential essay, James Wood has deplored the crudity of Franzen’s attempts at comprehensive social analysis, saluting instead the novel’s explorations of character and consciousness. For Wood, “[t]he novel of intimacy, of motive, of relation, creates a heat that burns away feebler energies such as the social novel” (2001: 6), for “[w]hat is larger, as a subject, than the eternal corrections of family?” (2001: 7). Then, critics such as Pire (2002) or Ribbat (2002) have called attention to the awkwardness of Franzen’s position in an identity-based literary scene, as he presents, in Green’s words, “the experience of white upper-middle class Midwesterners—all those middles in an age fascinated by margins—as constituting an identity specific enough for intense fictional exploration.” (2005: 91)

Catherine Toal was one of the first critics to undermine Franzen’s attempted critical standpoint, in an essay on contemporary male anxiety in which she examines the portrait of depression in *The Corrections*, along with Rick Moody’s memoir *The Black Veil*, and David Foster Wallace’s *Infinite Jest*. For Toal, these writers’ engagement (even if ironic) with current popular discourse on mental health prevents them, in spite of their enquiry, to attain a critical position of authority on the issue. Furthermore, in their outlook Toal finds the anxieties of a current “crisis in masculinity” caused by the erosion of patriarchal values. In this respect, again, they fail to articulate a valid critical stance: “Due to their ambivalent relationship with cultural authority, the three writers are inclined to affirm and occasionally exalt the shapeless masculinity generated by the social ills—and accompanying ‘remedies’—that they resist and criticize.” (2003: 2). In this, Toal breaks the ground for future criticism of Franzen on account of his inadvertently supporting situations he means to denounce.

The Corrections, however, as a novel that marks a clear stylistic turning point in Franzen's work, also drew attention from a number of critics who saluted it as signalling a health-restoring way out of an allegedly exhausted postmodernism. Thus, for example, Burn (2008) has proposed Franzen as a central figure in a new literary scene: post-postmodernism. Similarly, McLaughlin sees Franzen's novel as illustrating a current "aesthetic sea change", motivated by "a desire to reconnect language to the social sphere or, to put it another way, to reenergize literature's social mission, its ability to intervene in the social world." (2004: 55). For the critic, this "post-postmodernist" backlash is led by two novelists: Jonathan Franzen and (especially) David Foster Wallace, as they have been "the most articulate in expressing the post-postmodern discontent and in speculating on directions for the future of fiction." (2004: 59) The critic analyses Franzen's position in the light of his famous 1996 essay 'Perchance to Dream', known as the *Harper's* essay, taking it, like most critics have done in spite of Franzen's own objections, as a programmatic manifesto to be fulfilled in *The Corrections*. McLaughlin remarks that Franzen's response to the decline of the novel in contemporary culture is "essentially conservative", since for him: "The novel's value is that it offers a way out of the loneliness engendered by the atomized privacy that results from contemporary consumer technology, but not by bridging the gap between ourselves and the social world. Instead, the novel reconnects us to fundamental human problems." (2004: 61).

McLaughlin compares Franzen's position with Wallace's views as expressed in 'E Unibus Pluram: Television and U.S. Fiction' (1997). In this essay, Wallace traces the origins of postmodernism in the United States back to a rebellion, by means of irony, against the myth of America spread by television. However, Wallace explains, postmodern tools such as irony and self-referentiality were gradually co-opted by TV and have since become agents of despair and stasis, in a culture characterized by a weary cynicism. As McLaughlin observes, following Wallace, "the culture of irony and ridicule that postmodernism has brought is essentially conservative, negating the possibility of change at the same time it despairs of the status quo." (2004: 65). Wallace's suggested way beyond postmodernist sterile irony, like Franzen's, seems also conservative: a return to a plain, convinced treatment of human troubles and emotions, in defiance of the hip ironist's scorn. The difference between Franzen and Wallace here is that the latter, according to McLaughlin, is aware that "neither America nor the fiction that seeks to represent it can return to a state of pre-postmodern innocence regarding language and the processes of representation." (65). McLaughlin agrees that fiction should serve to a better understanding of language, narrative and the process of representation, if anything else to claim this awareness back from the institutions that use it to promote the "cynical despair that perpetuates the status quo." (65). He therefore posits as "the agenda of post-postmodernism" (2004: 67) the production of a socially engaged fiction that is theoretically aware enough to lay bare the language-based nature of many oppressive constructions, thus opening our eyes to the fact that other realities are possible.

McLaughlin exemplifies a current of academic criticism of Franzen informed by an ambivalent mixture of hopeful excitement at the possibility of a successful socially engaged novel, raised precisely by Franzen's work; and disappointment at his apparent failure in satisfactorily doing so. It is also the case of Green, who, in his analysis of the *Harper's* essay, laments that Franzen does not advance a way of dealing with the problems he identifies, but rather shows a retreat from the political: "By returning the world of the novel to the private sphere, at the levels of both literary production and consumption, Franzen fails to engage with the absence of a political and cultural space that is his merit and timeliness of his essay to identify." (2005: 96).

This ambivalence is apparent in an influential essay by James Annesley, in which the critic decries what he sees as Franzen's lame attempts at social criticism. Annesley especially deplores the determinism of Franzen's social vision, as he fails to see globalization as a

dialectical process. For Annesley, Franzen represents globalization "as an irreducible reality that the novel is powerless to either interrogate or resist". (2006: 124). With his characters deprived of agency, and his "hegemonic and incontestable" (2006: 125) depiction of globalization, Franzen is actually reinforcing the process he is trying to criticize. However, Annesley finally discerns—somewhat patronizingly—encouraging signs in *The Corrections*' closing, as it seems to qualify the rigid determinism that characterizes the rest of the novel, as well as Franzen's previous work. Thus, Annesley concludes that if Franzen pursues "the implications raised in his ending, he may yet muster the 'cultural authority' needed to write a 'social novel' that offers an effective engagement with globalization." (2006: 127).

Also undecided is Hawkins in his significantly entitled essay 'Assessing the Promise of Jonathan Franzen's First Three Novels: A Rejection of "Refuge"'. The piece addresses a question posed by Franzen in the *Harper's* essay to support his alleged shift of focus away from the social: "To write sentences of such authenticity that refuge can be taken in them: isn't this enough? Isn't it a lot?" (1996: 49). To this Hawkins retorts that "Franzen's entrenchment in 'refuge'—an entrenchment his fiction often enacts—is one that undercuts is social vision." (2010: 63). Hawkins agrees with Annesley in deploring Franzen's non-dialectical depiction of globalization, which fails at realising its complexity and the opportunities it presents for improving the status quo. Hawkins concedes that *The Corrections* provides readers with insightful knowledge of the intersection of the social and personal in contemporary society. However, in Hardt and Negri's fashion, the critic advocates a social fiction that represents "the experiential realities attending to myriad shifts in culture, economics, politics, et cetera, by way of myriad points of entry, thereby expanding readers' sense of human potentiality, variety, and prospects for connection." (2010: 63).

In any case, Hawkins traces an evolution in Franzen's novels, from the stifling immutability suggested by the end of *The Twenty-Seventh City*, to *Strong Motion*, where we can see the character of Renée Seitchek questioning and challenging the state of affairs, even if at the end of the novel it remains basically unaltered. The critic nevertheless observes that Renée's rationalist pragmatism is a hindrance to actual intimacy and true commitment. Hawkins's point is that a worldview based on reason without a humanist metanarrative is likely to commit "the same evils as the free-market ideology." (2010: 75). Franzen's journey towards a more communitarian vision culminates in *The Corrections* with Chip's commitment to Alfred at the end of the novel, which leaves Franzen "on the brink of a metavision of community that could anchor the twenty-first century social novel which effectively challenges the hegemony of self-interest". (2010: 82).

This critical ambivalence surely mirrors certain ambiguities in Franzen's stand, as Hutchinson suggests. For Hutchinson, Franzen is the foremost example, even more than DeLillo, of the crisis of the white male liberal writer, struggling for a place in a landscape increasingly dominated by the New Right on one side, and identity and marginal discourses on the other (2009: 191). Hutchinson describes Franzen as torn between different discourses: a libertarian impulse dating back from the counterculture of the 1960s, and the 1980s communitarian response to Reaganism; experimentalism and realism; radical and pragmatic politics; rejection or adherence to the distinction between "high" and "low" culture. (2009: 191). Hutchinson criticizes the sense of social stasis evoked by Franzen's first two novels, which end not in apocalypse but rather in anticlimactic apathy and reassertion of the status quo. The critic observes that Franzen's novels are informed by a political view that both accepts and regrets the impossibility of resistance. For Hutchinson, Franzen's ambivalence and conflicting impulses produce anxieties that show up in the novels, as the characters' conflicts reflect "contemporary left-liberal desire for a discourse that is more substantial than pragmatic, piecemeal attempts at melioration, but that avoids counterproductive programs that promote violence and suffering. The outcome of this dilemma is baffled despair that stems

from the perception of a blocked future (the abandonment of Utopia), a lost past (the impossibility of return), and a present that is compromised by dependence on capitalist prosperity". (2009: 203).

Nevertheless, like Annesley, Hutchinson also perceives a positive social implication in *The Corrections*: Hutchinson argues that the characters' attempts at rebellion are ineffective because they are based on individual, rather than collective liberation. In showing that, the novel is both addressing the need for transgression in an oppressive system, and pointing the way for some form of transgression that is not individual but collective, substituting solidarity for libertarian individualism. Like Hawkins then, Hutchinson finds the most valuable aspect of Franzen's social critique in its communitarian drive.

It might be argued that this dissatisfaction with Franzen's social critique attests not only to the compartmentalization of the literary landscape mentioned above, but also and ultimately to what Jameson has described as the impossibility of attaining "critical distance" in contemporary culture. In his words, "No theory of cultural politics on the Left today has been able to do without one notion or another of a certain minimal aesthetic distance, of the possibility of the positioning of the cultural act outside the massive Being of capital, from which to assault this last. [Yet] that distance in general ... has very precisely been abolished in the new space of postmodernism". (1991: 48).

It is highly doubtful, however, that Franzen's attempt has ever been the exertion of such radical critique. Certainly, in a 2009 interview, where he once more disavows the approach to the social in his first two novels as forced and too inclusive, he has vindicated a liberal conception of the novel: "The form is well suited to expanding sympathy, to seeing both sides. Good novels have a lot of the same attributes of good liberal politics. But I'm not sure it goes much further than liberalism. Once you go over to the radical, a line has been crossed, and the writer begins to serve a different master." (Connery 2009: 46-7).

Be it as it may, as his latest novel, *Freedom*, shows, Franzen has kept his engagement with social and political issues, reflecting again on the possibilities of progressive praxis in our time, and carving all the while a place of its own in the tradition of the American social novel.

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The Island of Doctor Moreau and the End of History

Jacobo Canady Salgado
Universidad de Sevilla
jcanady76@yahoo.es

Abstract

In *The Island of Doctor Moreau* Wells describes how Moreau has carved men out of animals, blurring the boundary between man and animal. This essay uses this blurring to study the role of ethics in the society by the beings created by Moreau and the way their reversion into animality at the end of the story parallels the fate that awaits man after the End of History in Alexandre Kojève's reading of Hegel's *Phenomenology of Spirit*.

Keywords: Moreau, Wells, man, animal, Kojève, Hegel, History, ethics

The plot of H.G. Wells' *The Island of Doctor Moreau* is well known: Edward Prendick, the only survivor of a shipwreck is rescued by a vessel where he meets Montgomery, the only passenger in the ship, who is in charge of a peculiar cargo: a number of wild animals. When they reach Montgomery's destination, an uncharted island in the Pacific, the captain of the ship threatens Prendick with leaving him on the sea at his own peril. Montgomery and his boss, Doctor Moreau, take pity of him and decide to allow him to stay on their island with them. There, Prendick soon learns that Moreau and Montgomery are involved in some kind of weird experiment. He meets some strange people that lead him to think that Moreau and Montgomery are turning humans into animals, but, then, he is told that, in fact, they are doing just the opposite: they are carving, by means of vivisection, men out of animals. The traditional reading of the novel is also well known: Wells as an advocate of Darwin's theory of Evolution, has written a grisly parody of natural selection where the suffering of the animals in Moreau's table work as a comprised version of the suffering involved in natural selection and evolution (Kemp 20). Moreover, Wells also tries to show in his novel that the line that divides the human from the animal is not so clear. Regarding another of Wells' novels, *War of the World*, the critic Peter Kemp explains that, at first, *Homo Sapiens* is placed on one side of a line, and the rest of beings on the other side, but the arrival of the Martians causes that man finds himself dragged to the animals' side (23). Something similar happens in *The Island of Doctor Moreau*, where Prendick, at first, considers that the differences between man and the rest of animals are clear, but after his stay on the island with Moreau and his creatures, the Beast Folk, this certainty vanishes. Thus, after his return to England, Prendick feels isolated from the rest of his fellow men, since he cannot but notice the animality in them. This essay will use this blurring of the boundary between man and animal in Wells' novel as a starting point to study the parallelisms between the way the Beast Folk revert into animality at the end of the story with the fate that awaits man after the End of History in Alexandre Kojève's reading of Hegel's *Phenomenology of Spirit*.

One of the aspects of the life of the Beast Folk that strikes Prendick most, in *The Island of Doctor Moreau*, is that they have a certain ethical system, called the 'Law'. This 'Law' presents Moreau as some sort of almighty god, who can both hurt and heal them, and who is the owner of the "House of Pain", the "lightning-flash" and the "deep salt sea", and, besides, from whose punishments nobody can escape (Wells 59-60). Prendick's immediate reaction is to feel horrified, since he thinks that Moreau "had infected their dwarfed brains with a kind of

deification of himself” (Wells 59). This bewilderment was shared by many contemporary readers of the novel who, as Steven McLean explains on an endnote to the novel, found similarities between the Law of the Beast Folk and human religion (note 1, pag. 136). In any case, independently of whether Wells intended to mock religious beliefs or not, it is clear that the Law shares with human religion a key factor: it regulates the behaviour of its subjects, prohibiting them a series of things such as going on all-fours, sucking up drinks or eating flesh or fish (Wells 59). This set of prohibitions have, then, a double function, since they work as an ethical system for the Beast Folk and also allows them to draw the line that separates them from animals.

In his *La Comunidad que Viene* the Italian philosopher Giorgio Agamben considers that the origin of any ethics is to be found in the fact that there is no ‘human essence’: “*sólo por esto puede existir algo así como una ética: pues está claro que si el hombre fuese o tuviese que ser esta o aquella sustancia, este o aquel destino, no existiría ética posible, y sólo habría tareas que realizar*” (41). It is, then, precisely the lack of any human nature, of any essence proper to humans that an ethics is possible and necessary. It is the human animal, recognizing and defining himself as human, who brings ethics into existence. To this, Slavoj Žižek adds a second movement: in return, this ethics distinguishes its subjects as humans. According to Žižek, every ethical system relays on a gesture that he calls “fetishist disavowal”: every ethics draws a line and ignores some sort of suffering, which is why “the Christian motto ‘All men are brothers’ [. . .] also means that those who do not accept brotherhood *are not men*” (46). Thus, the Law originates because the Beast Folk have the consciousness of being men, and therefore they need a code of behaviour. But, at the same time, it is their acceptance of the Law what grants them the status of men. That is, when they accept, for instance, “not to eat Flesh or Fish” and add to that interdiction “are we not Men?” (Wells 59), they are defining how they, as men must behave (not eating flesh or fish), but, at the same time, they are stating that it is the following of the Law, the act of not eating flesh or fish that makes them human. They do not eat flesh or fish because they are human, and they are human because they do not eat flesh or fish. The obvious consequence of this, of great relevance for the Beast Folk, is that those who do not follow the Law are outside the group of men. It is the Law what draws, for them, the line between man and animal.

This definition of man by the recognition of himself as such finds an echo in the work of Alexandre Kojève. When he defines what is man according to Hegel he bases his definition in the distinction between human and animal desire. Kojève explains that man is a self-conscious being, whereas an animal is just merely aware of itself (*Dialéctica* 10). Man, continues Kojève, becomes self-conscious the moment he says ‘I’ for the first time, and the origin for this urge to say ‘I’ is to be found in a special kind of Desire (*Dialéctica* 10). The existence of this Desire implies that a human existence can only takes place within a biological reality, that is, human existence is supported by an animal life. But this animal life, although a necessary condition, is not enough. The desires of animals, explains Kojève, are directed toward a natural object: food, in the case of a desire for eating; water, in a desire for drinking, and so on. But this animal desire only produces, as was just explained, an awareness of oneself. Then, for a self-consciousness to exist it is necessary a Desire for a non-natural object, something that is not part of the given reality. The only thing that is not part of the given reality is another desire. Thus, self-consciousness can only appear if Desire is directed toward another desire. And it is necessary for man to remain human that this properly human Desire (the one directed toward another Desire) prevails over the rest of animal Desires. This Desire for the Desire of another man is the Desire of being the object of Desire of the other. That is, human Desire is the desire for being recognized as a man by another man (*Dialéctica* 10-13). Thus, when the Beast Folk in Wells’ novel repeat “are we not men?” when they intone the ‘Law’ they are expressing their desire to be recognized as men.

Nonetheless, it is important to notice that one of the consequences of this definition of man is that it implies that there is not a stable and fixed human nature, but that man exists as long as there is a tension between human and animal Desire. But, according to Kojève, once History is over, this tension will no longer be necessary, what will mean the end of man as such, who will be replaced by another being, no longer a man, but an animal, so:

If Man becomes animal again, his arts, his loves, and his play must also become purely “natural” again. Hence it would have to be admitted that after the end of History, men would construct their edifices and works of art as birds build their nests and spiders spin their webs, would perform musical concerts after the fashion of frogs and cicadas, would play like young animals, and would indulge in love like adult beasts. But one cannot then say that all this “makes Man happy”. One would have to say that post-historical animals of the species *Homo sapiens* (which will live amidst abundance and complete security) will be *content* as a result of their artistic, erotic and playful behaviour, inasmuch as, by definition, they will be contented with it (*Introduction to the Reading of Hegel* 159).

The process that will signal the End of History and the apparition of the post-historical animal that will replace man is quite similar to the fate that awaits the Beast Folk in Wells' novel. When Moreau describes Prendick the nature of his experiments, he complains that, in spite of his efforts, “somehow the things drift back again, the stubborn beast flesh grows, day by day, back again” (Wells 77). Although Moreau provides no more details, Prendick has the chance to check what this process is about: when Moreau dies, a process similar to the End of History takes place. In the same way that the Death of God, announced by Nietzsche, caused a crisis in the system of values, the Death of Moreau will put the 'Law' in a critical situation, accelerating the reversion of the Beast Folk into mere beasts (Wells 123). Thus, Prendick witnesses how they start losing the faculty of language in a progressive way; they begin to find difficulties when trying to walk erected, how they start losing the notions of decorum and decency, how they stop showing respect for monogamy, and so on until the reversion is complete (Wells 122-23). This reversion can be interpreted as the prevailing of animal desires over the human Desire for recognition; they do no longer recognize themselves as humans. As was explained above, Kojève's reading of Hegelian man implies that there is no human nature or substance, man exists as long as there is an inner tension between animality and humanity. Moreau's creatures can no longer keep that tension after his death.

To sum up, in H.G. Wells' *The Island of Doctor Moreau* the boundary between man and animal is shown to be contingent: thanks to vivisection and hypnosis Moreau is able to carve men out of wild animals. These men, the Beast Folk, express during all the novel their desire to be recognized and accepted as humans. They even have a moral code that they call the 'Law' and that defines the way they, as humans, must behave. This desire for recognition has been compared to the definition of man by Hegel, who, accordingly to Alexandre Kojève, is an animal who becomes man when another man recognizes him as such. This is so because for Hegel, explains Kojève, there is not human nature. He distinguishes between two different kind of desires: animal and human. Animal desires are desires that are directed toward natural objects, whereas human Desire is not directed to an object but to another Desire: it is the Desire to be the object of Desire of another man. It is, explains Kojève, the desire to be recognized as human by another human. Just like the Beast Folk in Wells' novel. Moreover, Kojève explains that after the End of History the tension between human and animal in man will disappear, being man, thus, replaced by a post-historical animal. Again, this is similar to the fate of the Beast Folk after Moreau's Death in *The Island of Doctor Moreau*. There, Prendick explains how animality substitutes, step by step, humanity in them in a process he calls 'reversion'.

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Shakespeare and the elevation of the Vienna Burgtheater to a German National Theatre

Manfred Draudt

Institut für Anglistik und Amerikanistik der Universität Wien, Österreich
(Department of English and American Studies, University of Vienna, Austria)
manfred.draudt@univie.ac.at

Abstract

Only after 1770 Shakespeare began to be appreciated in Austria. Several tragedies such as *Hamlet* were adapted for the Burgtheater before 1776, but after its elevation the number of his plays staged there doubled.

Emperor Joseph's elevation of the Burgtheater also may have been prompted by economic reasons, yet the emerging German nationalism promoted by Lessing's experiment of a national theatre in Hamburg (1767) set the model for Vienna. Even if the repertoire of the Burgtheater appears not to have changed radically after 1776, Shakespeare's increasing popularity contributed to redressing the overwhelming French influence and to emancipating the German stage.

Finally, the elevation can be viewed within a political context. After Frederick of Prussia had won the War of the Austrian Succession, Emperor Joseph signalled Austria's cultural supremacy by establishing a German national theatre. Furthermore, Frederick disliked Shakespeare and German, which the Habsburg Emperor, by contrast, promoted.

Keywords: Austria, German national theatre, nationalism, politics, Shakespeare adaptations, Vienna.

The earliest reception of Shakespeare's plays in Austria may well have started during his lifetime. Travelling English actors, who had some of his plays in their repertoire, reached Graz around 1610, and they also visited Vienna. A lost play on the King of Cyprus and the Duke of Venice, performed by the company of John Green was possibly inspired by *Othello*. But only after 1770 Shakespeare (whose works were available in Wieland's translation of 1762-66) began to be really appreciated. In literary journals such as the *Realzeitung* and the *Musen Almanach* he was referred to as the greatest dramatic genius of all times; it was argued that English literature appears to replace the French in Vienna, and claimed: We now live in the century of Shakespeare. This great genius certainly deserves all our admiration.¹ Furthermore, his plays were more systematically introduced to Viennese theatres, even if at first in versions that were attempting a compromise with the prevalent neoclassical taste. Christian Felix Weisse's adaptation of *Richard III* for the Burgtheater, a transformation in the prevailing French manner, focuses on the ending of the history and reduces the original forty-odd parts to only nine. In a similar manner Weisse adapted *Romeo and Juliet* in the late 1760s. Subtitled "A Domestic Tragedy" (*Ein bürgerliches Trauerspiel*), the play has eight

¹ "Wir leben itzt im Jahrhundert des Shakespeare. Dieses große Genie verdient gewiß alle Bewunderung" (*Karlssieg, ein Heldengedicht* ii, 29, qtd. in Foltinek 1979: 450).

characters instead of the original 25, only two locations, and the unity of time is observed. (The much simplified action is limited to 24 hours.) As in David Garrick's version there is a brief final exchange between the lovers before they die.

Franz von Heufeld's adaptation of Weisse's version (1772) originally had a happy ending: Romeo receives an antidote, and the hostile fathers are reconciled over their children, who are only believed to be dead. But an unfavourable reception from the audience made Heufeld restore the original tragic ending. The same year saw Gottlieb Stephanie's Frenchified *Macbeth*, subtitled *The New Stone Banquet* (*Das neue steinerne Gastmahl*) in allusion to a Don Juan-play by Tirso de Molina, also with a Viennese, i.e. a happy, ending—after the mad Lady Macbeth has stabbed her husband to death.

Furthermore, crudely localised free versions of the comedies date from 1772 and 1773: Johann Pelzel's *The Amusing Adventures by the River Wien* (*Die lustigen Abentheuer an der Wienn*) transfers some plot elements from *The Merry Wives of Windsor* to suburban Vienna, *The Taming of the Shrew* was adapted by Johann F. Schink as *Female Defiance Tamed* (*Die bezähmte Widerbellerinn oder Gasner der zweyte*) and Christian H. Moll's *Rural Wedding Celebrations* (*Die ländlichen Hochzeitfeste*) is a carnival farce with references to the mechanicals' scenes from *A Midsummer Night's Dream*. Five years later Gustav Grossmann adapted *The Comedy of Errors* as *Die Irrungen* (*The Errors*) (Schrott 1964: 283-88).

Much more influential and successful was Heufeld's version of *Hamlet* (1772, first performed in 1773), his transformation of a good English play into a useful German one, as he said in the introduction.² Omitting metaphors, rude and obscure expressions, he also drastically reduced the number of characters and transformed the original into a neoclassical family play. Laertes, Fortinbras, Osric and the Gravediggers are cut, Polonius is re-named Oldenholm and Hamlet remains alive at the end. According to the *Theatralalmanach* the performance left a deep impression, the success surpassed expectation and the journal called Shakespeare the greatest genius of the theatre—despite the fact that his "irregularities" had to be omitted.³ Heufeld's *Hamlet* was so successful that it was also performed in southern Germany and in the Austrian provinces. It inspired a young German, Friedrich Ludwig Schröder, who saw it in Prague in 1776, to write his own adaptation for the Hamburg theatre in the very same year, and by 1778 his great success was taken back to the Burgtheater. There it was performed 104 times until 1820.

Not only *Hamlet* continued to be performed on the stage of the Burgtheater after its elevation to a national theatre, but also *Macbeth*, *Richard III* and *Romeo and Juliet*. The tragedy of love, however, was temporarily banned by Emperor Joseph II, because his mother Maria Theresia wished not to see burials, graveyards and tombs on stage.⁴

To the three tragedies by Shakespeare in the repertoire of the Burgtheater, more plays were added after 1776. Schröder, at first a guest actor from Hamburg but from 1781 a member of the Burgtheater, staged his adaptation of *King Lear* in 1780. While this was a success, also in the following years, his two parts of *Henry IV* condensed into one evening were withdrawn after the first night.

Friedrich Meyer's *Imogen* (1782), an expurgated adaptation of *Cymbeline*, was reduced to a vehicle for the principal actress. Wilhelm Brömel with his free version of *Measure for Measure* entitled *Justice and Revenge* (*Gerechtigkeit und Rache*, 1783), in which the heroine's brother is replaced by her father, moved far away from Shakespeare. So did

² "... ein für England gutes Stück in ein brauchbares für Deutschland zu verwandeln" (Foltinek 1979: 458).

³ "Der Herausgeber hat ... das Unregelmäßige ... weggelassen" (Foltinek 1979: 459).

⁴ "Ihre Majestät die Kaiserin wollen keine Stücke vorgestellt wissen, worin Leichen Begängniße, Kirchhöfe, Todten Gruften und solche traurige Auftritte vorkommen" (Hadamowsky 1976: 16).

Cornelius von Ayrenhoff, a former staff officer and outspoken opponent of Shakespeare, who had written polemical pamphlets inveighing against the bard's dramatic skill. Producing in the manner of Racine his own counter-version of one of Shakespeare's most celebrated tragedies, he deliberately reversed the names in the title: *Cleopatra and Antonius*.⁵

More successful than this staunch supporter of the French neoclassical tradition was Johann Brockmann, who adapted Wieland's translation of *Othello* (1785). It became a real hit and was performed almost fifty times until 1820. Even if Schink's translation and simplification of *Coriolanus* saw only two performances (1789), his favourable comments paved the way for Shakespeare in the Viennese theatres. Schink maintains that because of his close observation of human nature, truth and passion Shakespeare is superior to the poets of virtually all other nations, and particularly to the French writers of tragedy.⁶

Much Ado about Nothing in Heinrich Beck and Beil's free but enormously successful adaptation re-titled *The Pests* (*Die Quälgeister*, 1793) remained in the programme of the Burgtheater until 1849 and saw 72 performances. Although Friedrich Schiller's translation of *Macbeth* was staged eight years after the turn of the century, it provides a conclusion to the period with another great success; in Berlin, Schiller's version appeared only one year later.⁷

A further characteristic of Viennese reception of Shakespeare is a tradition of burlesque versions of the tragedies, several of which even precede their London counterparts. Wolfgang Amadeus Mozart's librettist Emanuel Schikaneder staged both an orthodox *Hamlet* in 1784 and Karl Ludwig Gieseke's *Hamlet-Travesty* (*Der travestirte Hamlet*) in 1794 in popular theatres. Joachim Perinet wrote a brilliant burlesque of *Hamlet* (1807), and there were also travesties of *Othello* and *Romeo and Juliet* by Ferdinand Kringsteiner (Draudt 2005: 293-94).

After this survey of eighteenth-century Shakespeare in Vienna, the question whether the increasing popularity of Shakespeare on the stage of the Burgtheater is related to its elevation to the status of a national theatre requires consideration of the possible aims of Emperor Joseph's decree of 1776. The following explanations have been offered for the elevation to a national theatre (Yates 1988: 266):

1. Economic and financial reasons: Having previously been leased—not very successfully—to private managing directors, the Burgtheater came under direct control of the Emperor. Of the four companies who performed at the two court theatres, he dismissed first the costly French actors and then the even more costly ballet and Italian opera buffa troupes. He did not quite achieve his aim of retaining only the least expensive, the German, acting company, because ballet and Italian opera were back on stage a few months later. What remained, however, was the ultimate dismissal of the French actors.
2. A didactic aim associated with the new National Theatre was the introduction of ideas of enlightenment and moral education to a bourgeois audience.
3. The necessity of differentiating between the two court theatres: The Kärntnertortheater, also known as the German theatre (*Das deutsche Theater*), was the traditional home of the German company, which from then on was requested to play at the Burgtheater. The decree of Joseph II of March 23, 1776, elevating the Burgtheater to a German *national*

⁵ Ayrenhoff was highly admired by another famous opponent of Shakespeare's, King Frederick II, the Great, of Prussia.

⁶ "Sein tiefes Treffen der Menschennatur, sein meisterliches Auseinanderschlagen der Leidenschaft, sein echter Ton in Wahrheit und Natur ... Das ist es, warum ich ihn über die Dichter fast aller Nationen, besonders aber über die tragischen Dichter der Franzosen erhebe" (*Dramaturgische Fragmente* 1782: 983, qtd. in Foltinek 1979: 450).

⁷ For Shakespeare's plays performed at the Burgtheater in the second half of the eighteenth century see Alt (1979: 8-104) and Kindermann (1961: 457-73).

theatre,⁸ emphasised its new German spirit but at the same time differentiated it from the other German theatre.

Last but not least the idea of nationalism promoted by Johann Gottfried Herder began to emerge and gain force in Germany in the mid-eighteenth century. Gotthold Ephraim Lessing's *Hamburgische Dramaturgie* (1767-69) supported the battle against French predominance and for a German national theatre by preferring Shakespeare to Corneille and Voltaire. Lessing's treatise was prompted by his foundation of a national theatre in Hamburg in 1767. Although this experiment lasted only for two years, it served as a model not only for Vienna but also for Mannheim (1779).

In Vienna voices were raised for a national theatre as early as 1769: Stephanie the Younger, together with other actors, promoted a proposal, how Germany could be supplied with a national theatre from Vienna,⁹ and two years later he wrote again that all patriotic friends of the theatre would rejoice at the permanent foundation of a national theatre, and which place would deserve the honour better than Vienna?¹⁰ In 1774 the view was supported—with reference to a national theatre—that the Viennese theatre is now worthy of being Germany's capital.¹¹ Emperor Joseph II, who was reported to have declared on every occasion for German people, language and theatre,¹² apparently conformed to these repeated demands by elevating the Burgtheater to the status of a German national theatre.

Despite the notable increase of Shakespeare's plays after 1776, the repertoire of the Burgtheater did not change radically; yet after the elevation the old-fashioned mannered French style of heavy declamation was replaced by a new naturalism. Friedrich Schröder had introduced from Hamburg his successful Shakespeare adaptations and, at the same time, an unaffected style of acting and a quality of delivery that had a formative influence on generations of actors.

The reception of Shakespeare in Vienna was not a story of unqualified success. His plays were not adopted uncritically, particularly by one of the promoters of the idea of a national theatre, Joseph von Sonnenfels, and there was also sporadic conservative opposition by supporters of the French neoclassicism such as Ayrenhoff. Nevertheless, there can be no doubt that Shakespeare's increasing popularity on the Viennese stage, and in particular in the Burgtheater after its elevation, contributed to redressing the formerly overwhelming French influence on repertoire and style of acting and to emancipating and promoting the German stage.

Finally, Emperor Joseph's intention behind the founding of a German national theatre can be viewed within a wider political context. His mother's—Maria Theresia's—accession to the Austrian throne was immediately challenged by France and Prussia with reference to Salic law, which precluded inheritance by a daughter. In the ensuing War of the Austrian Succession (1740-48), King Frederick II of Prussia not only invaded and won Silesia but also

⁸ "... das Theater nächst der Burg, so hinführo das teutsche National Theater heißen solle" (Hadamowsky 1976: 14).

⁹ "... auf welche Art Deutschland von Wien aus ein polizirtes (d.h. wohl eingerichtetes) Nationaltheater gegeben werden dürfte" (Hadamowsky 1978: xvii-xviii).

¹⁰ "... alle patriotischen Freunde der Schaubühne würden in ein freudiges Jubelgeschrei ausbrechen, wenn mindestens an einem Orte der Wunsch: das gute Nationaltheater einmal fest gegründet zu sehen, in Erfüllung gebracht würde – und welches Ort verdiente wohl diese Ehre mehr als Wien?" (Hadamowsky 1796: 14).

¹¹ "... das wienerische Theater ist nunmehr der Hauptstadt Deutschlands würdig" (Hadamowsky 1976: 15).

¹² "Kaiser Joseph erklär[t]e 'sich doch bey aller Gelegenheit für deutsches Volk, Sprache und Schaubühne'" (Hadamowsky 1976: 14).

involved Prussia in a long running conflict with Austria for supremacy. Joseph's signalling of Austria's cultural supremacy by his establishment of a German national theatre may well have been meant as a response to his mother's military defeat by Prussia. This interpretation is supported by Lessing, who claimed that by establishing a German national theatre Joseph II had proved his superiority over the Berlin monarch, who merely tolerates a national theatre.¹³ It is noteworthy that Frederick II of Prussia was also a declared opponent of Shakespeare. In his polemical treatise, *On German Literature: The Faults for which it Can be Blamed, their Causes, and the Means to Correct them*, notably published in French as *De la littérature allemande; des défauts qu'on peut lui reprocher; quelles en sont les causes; et par quels moyens on peut les corriger* (1780), he strongly castigates the bad taste of the German theatre audiences, which flock to and frantically applaud the abominable plays of Shakespeare. He argues that these "ridiculous farces" [*Romeo and Juliet*, *Othello*, *Hamlet*, *Macbeth* and *King Lear*] are worthy rather to be performed to the savages in Canada; and he concludes with the contemptuous comment that audiences enthusiastically clap at demand repetitions of the disgusting platitudes of [Goethe's] *Goetz von Berlichingen*, which is a detestable imitation of these bad [Shakespearean] plays:

Pour vous convaincre du peu de goût qui jusqu'à nos jours regne en Allemagne, vous n'avez qu'à vous rendre aux Spectacles publics. Vous y verrez représenter les abominables pièces de Schakespear traduites en notre langue, et tout l'Auditoire se pâmer d'aise en entendant ces farces ridicules et dignes des Sauvages du Canada. Je les appelle telles parce qu'elles pèchent contre toutes les regles du Théâtre. ... dans ces pièces Angloises la Scène dure l'espace de quelques années. Où est la vraisemblance? Voila des ... Fossoyeurs qui paroissent, ... ensuite viennent des Princes et des Reines. Comment ce mélange bizarre de bassesse et de grandeur, de bouffonnerie tragique, peut-il toucher et plaire? ... Goetz de Berlichingen [est une] imitation détestable de ces mauvaises pièces angloises, et le Parterre applaudit et demande avec enthousiasme la répétition des ces dégoûtantes platitudes (Friedrich der Grosse 1968: 23).

So Shakespeare may well have played a part in Austria's shift of identity in the eighteenth century. In its struggle for supremacy with Prussia in particular, one of the reasons for the institution of a German national theatre curbing French predominance and promoting German culture could have been the aim to compensate for recent military defeats. That a rivalry on the political field extended also to the area of culture is particularly true of Joseph II and Frederick II. As a staunch champion of French language and culture, the Prussian Frederick confessed that he had not read a German book since his youth and spoke German very badly,¹⁴ while the Habsburg Emperor was an active promoter of the German language and culture, which at least partly was identified with Shakespeare.

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¹³ "Wie sehr hat er sich dadurch über den König in Berlin erhoben, der das vaterländische Theater gerade eben nur duldet" (Haeusserman 1975: 23).

¹⁴ "Ich habe von Jugend auf kein deutsches Buch gelesen und ich rede es [das Deutsche] sehr schlecht" (Engel 1906: i, 532).

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Borders and Frontiers in Recent Post-Westerns

Jesús Ángel González López
Universidad de Cantabria
gonzalezja@unican.es

Abstract

This paper examines three recent American films—*Frozen River* (2008), *Sin Nombre* (2009) and *Winter's Bone* (2010)—that can easily fit within the post-western category as defined by Neil Campbell. The settings of these films may at first appear to be contradictory with their inclusion in this group, but it is my contention that they use features of the western genre to scrutinize American values and myths associated with the idea of the West. These films use the border and/or frontier settings to examine the West not as a place, but as an idea that, as Nicolas S. Witschi has noted, “shimmers with abstractions such as frontier, opportunity, honor, individualism, and justice”: the spatial representation of the American Dream or, rather, as these three films show, the contemporary American Nightmare.

Keywords: post-western, film, western, genre, frontier, border, American Dream,

The term “postwestern” has been used in Western Studies at least since 1994 when Virginia Scharff called for “a postwestern history” in an attempt “to question the stability” of historical categories of analysis of the American West (Scharff 1999: 167). Susan Kollin’s collection *Postwestern Cultures* (2007) defines it as an “emerging critical approach” working “against a narrowly conceived regionalism”; Kollin feels that the West has been seen as a “predetermined entity with static borders and boundaries” and calls for an approach based on the “critical assessment of those very restrictions, whether they be theoretical, geographical, or political” (Kollin 2007: xi).

In the field of Film Studies, Neil Campbell has used the term “post-western cinema” for films which are “coming after and going beyond the traditional western whilst engaging with and commenting on its deeply haunting assumptions and values” (Campbell 2011: 414), and has offered films like *The Big Lebowski* (1998) or *Bad Day at Black Rock* (1954) as examples of this category. He relates his use of the prefix *post* to its use in the words *post-colonialism*, *post-structuralism* or *post-modernism*, both in a chronological sense and in the sense of opposing their antecedents, deconstructing them and trying to go “beyond them”. In this sense, post-westerns take the classic structures and themes of the genre to interact, overlap, and interrelate in complex dialogical ways with them.

As a film genre, westerns have been proclaimed dead since their very origins, in 1911 (Creekmur 2011: 407), and so many times that, as Jim Kitses says, if all these proclamations of ending had headstones, they would “overflow even Tombstone’s cemetery” (Kitses and Rickman 1998: 15). But westerns refuse to remain dead and keep on resuscitating in renewed forms, questioning American values and myths as they have been doing from their inception. Campbell in fact stresses that “the ‘post’ in post-western has a self-conscious reference to and echo of the word ‘posthumous’ and therefore of the specific meaning of something—in this case a film genre—that continues to ‘live on’ beyond its ‘death’ generating a spectral inheritance within the present.” (Campbell 2011: 416)

According to Thomas Schatz, “the significance and impact of the Western as America’s foundation ritual have been articulated most clearly and effectively in the cinema,”

(Schatz 1981: 46-7) and it is, for example, worth noting that whereas film westerns have always been a quintessential part of the canon of American cinema, literary westerns have generally been kept in the realm of popular literature and are still struggling to be considered worth studying. Even Literature of the American West as a whole could be said to suffer this kind of discrimination, since it is too frequently associated with regionalism, popular culture or formulaic literature.

But film westerns have shown to be resilient and adaptive in their examination of America's founding values and myths. If classic westerns like *My Darling Clementine* (1946) asserted myths like Manifest Destiny and the American Dream, contemporary post-westerns like *Bad Day at Black Rock* scrutinize these myths in order to show their contradictions and problematize their assumptions.

This approach can be found in three recent American films—*Frozen River* (2008), *Sin Nombre* (2009) and *Winter's Bone* (2010)—that can easily fit within the post-western category as defined by Campbell. The settings of these films (upstate New York, Mexico and the Ozark Mountains in Missouri) may at first appear to be contradictory with their inclusion in this group, but it is my contention that, although they are not set in the American West as such, they use features of the western genre to scrutinize American values and myths associated with the idea of the West. After all, the American West, whether in popular westerns or in canon literature, has always been a symbolic rather than a physical place: the frontier, the place where civilizations and wilderness meet, the place whose “physical aspects (forests, rivers, lakes, clearings, settlements, prairies, plains, deserts) and its social aspects (isolation, simplicity, improvisation, criticism, chaos, restlessness, paradox, irony) [were conceived] as expressive emblems for the invention and development of a new national civilization.” (Fussell 1965: 13). In fact, one of the most obvious antecedents of film westerns is James Fenimore Cooper's Leatherstocking Tales (which take place in the East), and, as Nicolas S. Witschi has noted, the American West is both a place and an idea, “an extremely powerful idea, one that has evolved over several centuries in the imaginations of countless people both in the US and abroad... an idea that shimmers with abstractions such as frontier, opportunity, honor, individualism, and justice” (Witschi 2011: 4), in short, the spatial representation of the American Dream.

Frozen River (2008) is set on a Mohawk reservation between New York State, Ontario, and Quebec, and tells the stories of two single mothers who get involved in illegal immigration on the ice-covered St. Lawrence River. Ray is a white woman who has been abandoned and robbed by her gambling husband, whereas Lila is a Mohawk whose son has been abducted by her partner's family. The film offers the stark contrast between these two women's contemporary American nightmares and the dreams of the Asian immigrants hidden in the trunk of Ray's car. The ice turning back to water becomes the turning point for these two women, and offers the chance to explore the racial and gender-related contradictions of the American Dream/Nightmare.

The first images of the film (Figure 1) stress the artificiality of a border that was imposed on a Mohawk territory where there was none: we can see a flock of geese flying over the border before we see all the signs and customs buildings (Figure 2) that make it impossible for people to move freely.



Figure 1



Figure 2

Lila justifies the act of smuggling both goods and people saying that “there is no border here. This is free trade between nations,” including the Mohawk nation. If “Indians” used to be “the enemy”, the “savages” in classic westerns, *Frozen River* seems to be rewriting the genre’s features to present Native Americans in a completely different light.

Ray is struggling to make enough money to buy a proper house and cannot even afford Christmas presents for her children. When she finds out that immigrants have to pay \$40-50,000 to get into the US, her answer is clear “To get here? No fucking way!”. The association of the story with the American Dream and its contemporary nightmares is made clear when we can see the name of the company that sells the mobile home that she is hoping to buy: “Live the Dream!” (figure 3).



Figure 3

The influence of westerns on this film has been acknowledged by female writer-director Courtney Hunt: she asked Melissa Leo (Ray) to watch films with John Wayne in order to imitate his dry acting style and she has also established the association between westerns and immigration: "the western is the story of America in that the story of America is the story of migrants, of people moving forward. The original settlers saw the wilderness and thought 'That's our backyard - we just haven't got to the end of it yet.' That way of thinking persists today: it's why Americans think they can simply go out into the world and sell Coca-Cola. And yet it works the other way too: it's why non-Americans see America as a brand new place, a land without borders. It's why America is always adapting and regenerating." (Brooks 2009: no page) The film also shares with previous westerns a similar setting: a contested space where different laws and rules may apply and where the protagonists need to find a moral conscience that will help them to tell right from wrong: "you think of the classic American story venturing into that which is lawless territory. A border is lawless territory. The Wild West was lawless and there was a sense that anything could happen. And that's sort of the feeling with 'Frozen River'" (Silverstein 2009: no page)

This lawlessness and the importance of immigration are shared by another recent post-western directed by Cary Joji Fukunaga, *Sin Nombre* (2009). This is an American and Mexican film which was filmed in Spanish and tells the story of a group of Central American migrants who hop on a train to Texas and risk (and lose) their lives while trying to get to their promised land. We follow the story of the migrants as they suffer violence and extortion from local mafias ("Mara Salvatrucha") but also the story of Casper, a "Mara" member who tries to redeem himself and escape from his fatal destiny.

The film starts rather surprisingly with the beautiful image of a forest and a path that seems to be leading to a future full of promise (Figure 4), but, as the camera pans out, we soon find out that the picture is just a poster that Casper is looking at and that the path leads to nothing but a wall (Figure 5). This visual metaphor prefigures the future not only of Casper, but also of Sayra and the other Central American migrants, most of whom will lose their lives in their futile search of the American Dream.



Figure 4

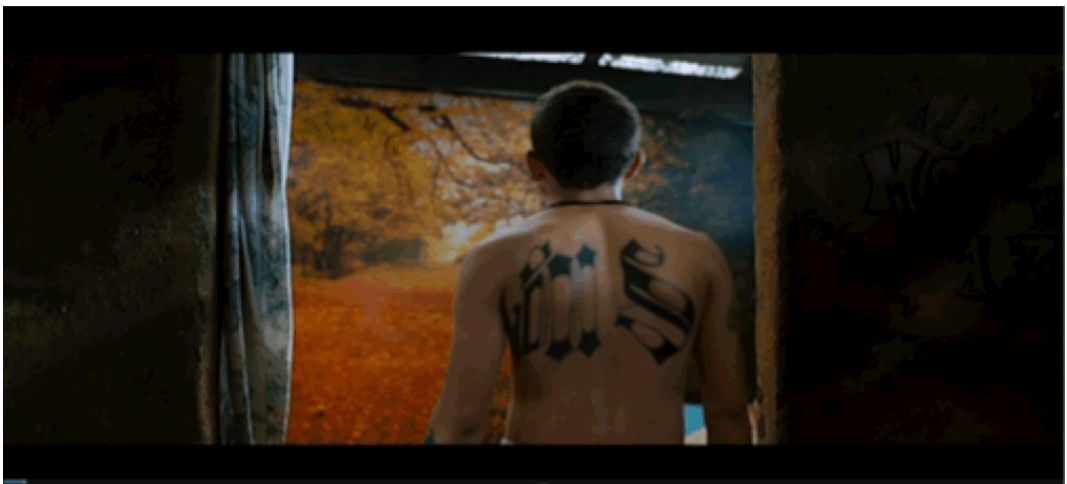


Figure 5

Critics have recognized the western elements in *Sin Nombre*: “the vast landscapes, the frontier justice, the gangs of outlaws, and a train noisily slicing through the frontier. They are just reorganized in a different way” (*Five in Focus*, no page) and its director has also related the film to the genre calling it a “good old-fashioned post-industrial Western tale of redemption.” (quoted by Neil Campbell in Campbell 2009: no page)

Both *Sin Nombre* and *Frozen River* were very successful at different editions of the Sundance Film Festival and have been saluted by critics as a renewal of the western genre “Hunt and Fukunaga’s tales play out in a tangled, messy present, spotlighting a modern strain of frontier lawlessness and implicitly debunking the notion of America as a promised land of unbridled opportunity. They do not simply breathe new life into the genre. They may also have reclaimed it for a fresh generation of American pioneers” (Brooks 2009: no page). Both, according to Neil Campbell, are essentially post-westerns that remind us that “the post-western’s chameleon shape-shifting continues deep into the twenty-first century, looking to re-energize its generic elements into new and different patterns” (Campbell 2009: no page).

The last film that I would like to include in the post-western category is *Winter’s Bone* (2010), a film directed by Debra Granik based on Daniel Woodrell’s 2006 novel, and which also won the Grand Jury Prize at the Sundance Film Festival. It tells the story of Ree Dolly, a teenage girl who is forced to take care of her family and look for her father’s corpse so as not

to lose her house. The film shares with *Frozen River* a very interesting redefinition of gender roles which could arguably be considered a feature of post-westerns.

If classic westerns used to be a fundamentally male genre where women were either absent or secondary characters, post-westerns seem to be rewriting the genre's features to give them a more prominent role. Both Ray in *Frozen River*, and Ree in *Winter's Bone* are women who have to fight in a male-dominated world, so they need to use male weapons and female friendship (Figure 6).



Figure 6

These women fight not for money or freedom, but in order to save their families, and, significantly, their homes (we can actually see images of both houses with playground equipment by their side, and children—Ray's sons and Ree's siblings—playing on them: Figures 7 and 8). Both women have been abandoned by their male, "protecting" figures (Ray's husband and Ree's father) who, instead of protecting them, have actually made them lose their houses (Ree's father has run away to gamble with the money, Ree's father put their house on his bond and then disappeared).



Figure 7



Figure 8

Tom Byers has talked about these two films, directed and starred by women, as allegories of the film-making process. They are both independent productions, directed by independent women who tell the story of women who need to act as men, women who need to be strong in a male-dominated environment. He has also related Ree's and Ray's knocking on doors to the directors' search for funds for their films.

The film is set in the Ozark Mountains (Missouri) and it combines western and 'noir' generic conventions. It does not use a border as setting, like the other two films, but rather a kind of frontier in the sense of the place where civilization and wilderness meet, an inner frontier that shows us how civilization has been lost. Once again we find a solitary hero(ine) in a lawless territory where she needs to resort to her own moral conscience in order to save, not herself, but her family and home. If *Frozen River* and *Sin Nombre* show us the futility of pursuing the American Dream, *Winter's Bone* shows us the American Nightmare: a community spoilt by meth production and consumption.

Winter's Bone, like the two other post-westerns, "comes after" and "goes beyond" the Western genre, redefining its features and adapting them to reflect and comment on contemporary American reality. As Xan Brooks has said, the western "has not died out. It has simply changed shape, colour and compass point" (Brooks 2009: no page).

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The empowering force of the representation of surviving Creole cultural forms in fiction: steelpan, calypso and language in Earl Lovelace's *Is Just a Movie*

Maria Grau-Perejoan
Universitat de Barcelona
maria.grau@ub.edu

Abstract

This paper will analyse the function of the use and depiction of three different Trinidadian indigenous artforms: steelpan, calypso and language in Earl Lovelace's most recent novel *Is Just a Movie*. Lovelace's latest novel will be used to show how his works are ultimately a force to give validity to a world and culture despised and this way, empower the ordinary people. I will demonstrate that, Lovelace, as an activist-artist, proposes and encourages counter discourses to those government-sanctioned disempowering ideologies that negate all forms of Creole culture.

Keywords: West Indian literature, Earl Lovelace, Creole cultural forms, Creole language.

1. Introduction

Earl Lovelace's works can be said to be in accordance with the Trinidadian writer and scholar Merle Hodge's view on fiction and its role in society. Both authors argue, as the next quote discloses, that fiction can have an immense power:

When fiction draws upon our world, when it recreates our reality, it helps give validity to our world. It helps us to first make sense of our world, for it shows us underlying patterns and connections which give our reality a satisfying order ... It also allows a people not only to know its own world but to take it seriously. (Hodge 1990: 206)

Thus, Lovelace's fiction, in reflecting a reality not usually deployed in fiction, helps validate a world that needs validation, that of the ordinary people. Lovelace is of the belief that the writing of fiction can actually help achieve a sense of self that it is rooted in the culture of the ordinary people, in what people do to create culture and create a sense of belonging. In this sense, he, also fulfils Edward W. Said's notion of the intellectual, that is, someone "whose *raison d'être* is to represent all those people and issues that are routinely forgotten or swept under the rug" (Said 1993: 11).

As a writer, Lovelace shares Edwidge Danticat's definition of a writer, in that a writer needs to "create dangerously for people who read dangerously" (Danticat 2010: 10). Both Caribbean writers have the necessity to write stories that cannot not be told, thus, stories that need to be written and read because they portray a reality that needs to be improved. Ultimately, thus, both writers believe in the power of fiction to help change the world.

2. Is it really *Just a Movie*?

Published in 2011, the title of the novel, *Is Just a Movie*, makes reference to the episode that opens the book. The two main characters, Sonnyboy and King Kala, take part in a foreign cinema production in which the only role for locals is to die. Thus, in the movie there's a distinction between local actors who simply die and the rest of the cast, brought from America, who have more prominent roles. When the two protagonists realise that their only role is to die by simply falling down, they feel that something is not right:

I get shot. I hold my shoulder, wounded, and I scramble across the bridge and Blam! They shoot again and I start to fall. I have to fall. But something holding me back. My conscience, my pride. Something is not right. And I look across Stanley and Errol and them for a cue, how to die, since they are experienced actors. But Stanley and Errol, all of them, all of these fellars, good men, good actors, they just falling down and dying just so. But there is a voice in my mind shouting, No. No. No. No, *I ain't falling so*. I can't follow them. I ain't dying so, No, man. Um-um. No. (Lovelace 2011: 25)

Unlike Sonnyboy and King Kala, experienced actors don't understand how the two want to die with an exquisite choreography; instead, the other actors simply accept the role they have been given and they do not question their dying convinced that *is just a movie*. Sonnyboy and King Kala refuse to die "just so", they choose, as they have done in real life, not to accept things as they have been settled when their conscience tells them that it is wrong, and so they take out their costumes and leave. This episode illustrates the power of fiction, that is the fact that it is not just a movie as the title ironically reads, it is much more than that, it is a work of art that has the potential to change the world it portrays.

What distinguishes our protagonists from the other local artists in the movie is their challenging the authority. They represent the native's rejection of the cultural control and domination that the West has tried and still tries to impose. Kenyan writer Ngũgĩ wa Thiong'o has argued that resistance to the imposition of the values of the Western ruling classes as if these were native is of key importance for the cultural survival of a nation. For Ngũgĩ wa Thiong'o if a nation accepts imperialist practices without resistance, "a nation loses faith and belief in itself, in its history, in its capacity to change the scheme of things, becomes weakened in its political and economic struggles for survival" (1993: 54)

As we will know by the many flashbacks in the book, both the main characters belong to the Black Power movement and they do not comply with the orders set by the authority when they believe they are being deprived of their humanity, be it an American film director, the colonial authority or the postcolonial government. The Black Power movement that took place in the 1970's in Trinidad and Tobago was a rebellion against the persistent racial and social inequalities present after independence. Sonnyboy finds in the Black Power movement the same reluctance to accept the world that he has been experiencing from his early childhood:

He discovered that there were people saying the same thing he had been saying for years: *I not fucking taking that*. And he marvelled that they didn't have to tiptoe around the issues. They spoke out bold: I not accepting the world as you have laid it out. These fellars had better words and more history, but the sentiment was the same. (Lovelace 2011: 71)

Independence in the twin-island Republic of Trinidad and Tobago was achieved in 1962 but it was not accompanied by enough changes to transform the country into a place "where every creed and race finds an equal place" as the Trinbagonian national anthem reads. However, those revolutionaries who fought for equality, as it is reflected in the book, were treated as delinquents and sent to prison. Thus, by including these two members of the Black

movement who were eventually sent to prison, Lovelace is both acknowledging their presence in the history of Trinidad and Tobago and celebrating the cause they were fighting for as a noble and fair one.

3. Steelpan and Calypso

King Kala and Sonnyboy are both ordinary men; the first, also the narrator of the novel, is a calypsonian, and the latter is a steelpan player. Both, calypso and steelpan, are indigenous artforms of Trinidad and Tobago, long considered evil by the hegemonic forces because they offered a counter-discourse to the established European system and offered a new Creole tradition.

Sonnyboy grew up in Laventille hill. His father, one of the initiators of steelpan in the hill, is described as being claimed by a “pan jumbie¹” (Lovelace 2011: 43). A spirit possessed² his father, Lance, and he stopped working to devote all his time to the steelpan. Sonnyboy’s “I not fucking taking that” started the day that, as a boy, he witnessed how the police destroyed the steelpans his father and others were making and afterwards arrested them. The importance of the steelpan in the culture of Trinidad is explained by the author in the following manner:

It is only when we look at our own creativity and achievements that we will discover the true value of our traditions and begin a new respect for our ancestors and ourselves ... There is much to be proud of in these traditions. In their concrete expression these traditions lie at the heart of the steelband, a set of instruments that stand now and forever as the everlasting monument to human endurance and human dignity. (Lovelace 2003: 37)

The traditions born in the Caribbean or Creole traditions, that is, those that came out of the result of the interaction of the different cultures brought to the Caribbean, were prohibited³. These Creole traditions were undervalued by the colonisers, in such a way as to deny the Caribbean people a sense of self, weaken their resistance and therefore, fully colonise them. Thus, after centuries of colonisation and adopting the coloniser’s culture as their own, the maintenance and evolution of Caribbean folk traditions are proofs of human endurance and dignity. This is the case of the steelpan, the new musical artform of the country, which was born in Laventille, a hill overlooking the capital of the country, Port of Spain, mainly populated by African-descended people at the bottom of the economic ladder. Steelpan empowered the people from the community and helped overcome the negative self-image caused by the degradation and rejection they had been subjected to by the ruling and upper classes of the society. People untrained in acoustic engineering, as Anthony Neil points out, were able to discover that it was possible to cause musical notes to emanate from a sunken oil drum (1987:47). Thus, the steelpan movement worked towards promoting a sense of self-confidence as well as a sense of belonging as in the case of Sonnyboy:

¹ Jumbie is the Trinidadian Creole term for spirit.

² In Creole religions, spirit possession, also known as catching power, is a common practice. When the steelpan was invented, these religions were banned by the colonial authorities and as Lovelace states in the ending of his third novel, *The Wine of Atonishment*, the spirit that could no longer be found in church was then found in the steelpan yards.

³ The steelpan drum was born after the banning of the African skin drum.

He [Sonnyboy] found himself whistling tunes played by the steelbands on Carnival Monday when the city was a stage and symphony, thick with music, overflowing with love ... and he whistled the tune that Ebonites mash up town with, when he, Sonnyboy, was a barebacked fella in the steelband, beating the iron, tasting the music, sweat flowing down his face, feeling the heat and the strain of his arms and the sweetness of belonging. (Lovelace 2011: 119)

The other protagonist, King Kala, is a calypsonian, a person who writes and sings calypso, an African-rooted musical genre also born in Trinidad. Self-proclaimed as the poet of the Black Power revolution, he fulfils the traditional role of the calypsonian as the ordinary people's spokesperson. This way, he declares that he is "the recorder of the people's story, singer of their praises, restorer of their faith, keeper of their vexation, embalmer of their rage ... the poet of the revolution" (Lovelace 2011: 4). In the following lines of a calypso that he improvises in a visit to Laventille, he exemplifies his role as the voice of the underprivileged, in this case the downtrodden living in Laventille, birthplace of the steelpan:

Imagine, if you will, the conditions of people on top this hill
People whose offerings make us see
our common humanity
Give us the pan, give us the mas
We leave them in the labasse⁴ to catch their arse. (Lovelace 2011: 227)

Laventille, birthplace of steelpan, is nowadays one of the areas with higher poverty and crime rates of the country, so much so that since 2009 Carnival the renowned steelpan band from Laventille, Desperadoes, had to move from Laventille. Desperadoes panyard is no longer in "the hill" where it was born and, consequently, the strengthening power of the artform has also been partly vanished from the hill.

Instead of acknowledging the value of the struggle of the ordinary Caribbean person, in the novel the government welcomes and thanks historical figures of the colonial era because they are believed to have laid the foundations of the society. In the chapter entitled *The Visitors*, special metaphorical visitors, arriving in planes and in three very symbolic cruise ships are invited to the island. Christopher Columbus and Sir Frances Drake, among others, revisit the island. Against this celebration of colonialism, King Kala, the calypsonian, reflects on who is really to be thanked for laying the foundations of the country and who really empowered and fortified the people:

Then what about the ordinary people who resisted the colonial pressure, whose resistance gave us a sense of self, whose artistry for our humanity and whose struggle turned plantations into battlefields for humanness? The stickfighters and the masquerade players, the dragon and jab molassie, the Midnight Robbers, King Sailors and moko jumbie, all those maskers who come out of nowhere to speak for who we are, the caisonian and the creators of steelpan, the dancers of Orisha and the Shouters? (Lovelace 2011: 324)

This list of Creole cultural forms that includes traditional 'ole mas' carnival characters, folk traditions like stickfighting, calypso, steelpan and African-based Caribbean religions like the Orisha and the Shouter Baptists is a recognition of a culture that arose out of the struggle of ordinary people. However, it is precisely those historical figures that dispossessed them of a culture and a sense of self and tried to impose their ideology on to them those whom the rulers of contemporary Trinidad and Tobago believe that deserve to be thanked.

⁴ Creole term for rubbish dump.

Crime is another issue explored in the novel that currently affects Trinidad and Tobago severely. The government intends to solve the problem by bringing foreign police commissioners or by buying blimps to patrol the nation, all of them measures that have been recently adopted in Trinidad. In the novel, though, the government comes up with a new technique supported by a foreign professor whose research shows that 93% of those committing crimes are, in fact, people who have unrealistic dreams. This way, it is decided that citizens are to get rid of their dreams and a system to sell dreams is set in motion. However, this new technique devised by a foreign professor does not stop people from holding on to their dreams. People do not succumb to this trick and resist letting go of their dreams the same way they have resisted and continue to resist imperialism:

Reparation for Africans held in enslavement, a full and unqualified democracy, the removal of poverty, good housing, water for everybody, boats up and down the Caribbean, Caribbean Federation, a literature prize, the return of the pushing of steelbands on the streets at carnival, all the steelbands in the world in the savannah for Panorama, a good bookstore, a bus to take poor people children out of the city to show them their country, a boat for them to sail to go down the islands, a victorious West Indies cricket team and various little dreams that people had kept in their family, for their children. (Lovelace 2011: 317)

Some of the longings in this extensive list of dreams bring forward crucial issues such as poverty or the political situation. Among these dreams we find some of the most long-standing demands that have been resonating in the Caribbean for decades and that the author longs to see one day accomplished. To mention just a few, the fact that in certain areas of the country, as in Laventille, water supply is extremely intermittent, also the fact that some locals don't know their country because they can't afford to, as well as the lack of regional tourism because there is no system of boats that communicates the different islands and the plane fares are not affordable by the majority of the population, and so regional tourism is restricted to a minority and mainly to non-Caribbean tourists.

4. Trinidadian English Creole

Finally, the language/s used in the novel can be said to serve the same purpose as steelpan and calypso, namely to validate the indigenous culture. The linguistic context of the English-speaking Caribbean and that of Trinidad and Tobago is not a simple, monolingual one, but rather a complex one, characterised by a Post-Creole continuum. Trinidadian Creole is the language of everyday interaction for the majority of the population and Standard English is the written, formal and official language. Creole is the language ordinary people use to express their experiences, creativity and achievements and therefore assert their humanness, and its use is a celebration of all the diversity and richness of the country

The use of English Creole in the novel is a means of challenging the English language and giving validity to what had been considered for a long time, and unfortunately is still being considered today by some, as a form of "broken English". Lovelace's poetic use of Trinidadian English Creole aims at reaffirming the people's worth as well as their language. Moreover, we do not find a textual system where the narrator uses Standard English and the characters use Trinidadian Creole. The author blurs such a hierarchy existent in many other West Indian literary texts since to him, "the narrator belongs to the same company as his characters" (Lovelace 2003: 94).

5. Conclusions

In conclusion, the novel aims at reflecting how current postcolonial Caribbean governments continue to promote that which is foreign over the native. In particular, current Trinidadian governments don not “see” the culture created by the ordinary Trinidadian. As the calypsonian King Kala states “the people to represent us must be people who see that the monuments we have created is bigger than the pitch lake and the oilfields and the sugarcane. They must see us” (Lovelace 2011: 227).

Thus, *Is Just a Movie* is a piece of fiction that contributes to the region's attainment of cultural as well as political sovereignty. All in all, the novel aims at overturning the weak self-image and sense of second-classness perpetuated by the non-consumption and lack of exposure to empowering fictions like this one.

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The Portrayal of Women in Pat Barker's *Regeneration Trilogy*

David Griffiths
Universidad de Cantabria
griffiths@eualtamira.org

Abstract

This paper seeks to explore the portrayal of certain key female characters in *The Regeneration Trilogy*. Although pride of place in the narrative is undeniably given to the two leading male protagonists, this paper will endeavour to demonstrate the enriching dimension that the female characters bring to Pat Barker's depiction of the social fabric of British society set against the tumultuous backdrop of the Great War. Whilst the world of ordinary working-class women in *The Trilogy* is largely portrayed by Barker as expanding during WWI, the world of men has shrunk to one marked by enforced passivity in the stagnant trenches of France, a scenario that triggers 'unmanly' hysterical reactions in the form of war-related neuroses. Barker artfully explores this contradiction in her depiction of certain female characters, especially within the family setting of Ada Lumb and her daughter Sarah, the latter destined to play an important supporting role in *The Trilogy* as Billy Prior's girlfriend and fiancée.

Keywords: female, working-class, expectations, patriarchal, Great War.

1. Introduction

The main protagonists of *The Regeneration Trilogy*¹ are undisputedly the two leading male characters, Dr W.H.R. Rivers, an army psychiatrist, and his shell-shocked patient, Second Lieutenant Billy Prior. In this paper, however, I intend to explore the portrayal of certain key *female* characters and highlight their contribution to the narrative thread, taking into account that the action of this fictional, but historically well-documented trilogy unfolds against the tumultuous backdrop of the last sixteen months of the Great War (1914–1918).

The vast majority of the women Pat Barker presents in *The Trilogy* are of working-class origin, often severely deprived and socially disempowered. If we are to understand women as representing, as Barker has suggested, "a sort of moral centre" in *The Trilogy* (Becker 1999: 6), it is rather disturbing to note that the prevailing atmosphere in almost all adult affective relationships and in the majority of social interaction between male and female characters is—to put it tamely—tense antagonism. There is a marked absence of mutual understanding or peacefully played out male-female relationships. In Barker's account, it would appear that the Great War has fractured the Victorian society veneer and further crystallised the underlying gender tensions, making co-existence a difficult, if not impossible prospect, especially between men and women from the working classes.

2. Female protagonism in *The Trilogy*

¹ The Regeneration Trilogy comprises *Regeneration* (1991), *The Eye in the Door* (1993) and *The Ghost Road* (1995).

Barker presents the reader with a range of female characters, but given the limited extension of this paper, I shall make closer reference only to the following two profiles:

- Uncompromising, stalwart survivors of the system, living on the threshold of respectability and resigned to working the existing system from within.
- Upwardly-mobile, rebellious, growingly independent figures integrated into the expanding world of wartime work.

2.1 Stalwart female survivors within the system

Ada Lumb must be seen as the epitome of the working-class female survivor: “the business of her life was scratching a living together” (R: 195)². Barker uses Billy Prior’s affective relationship with Sarah, Ada’s daughter, to introduce the reader to a character who, apart from being a source of serious social comment, adds great colour and humour to the narrative.

Ada Lumb is the mother of two girls (Cynthia and Sarah), ostensibly a proud widow although more likely a single mother who has managed to survive within society by unashamedly using the system and its inequalities to her own benefit. According to Prior, “Respectability was Ada’s god” (GR: 65)³ and she applies *conscious* pragmatic strategies at every turn to achieve her objective. Her advice to her daughters emanates from the harsh experiences she has obviously lived through, possibly at the hands of her own family and local community. As a consequence, Ada openly encourages her daughters to take advantage as efficiently and productively as possible of the limited opportunities that may be eked out of the existing system. Regarding Sarah’s tacit admission to her mother of sexual intimacy with Prior during courtship, Ada paints a disturbing yet comic picture of man’s relationship with women in society. She outlines a conspiracy theory in the condom manufacturing process where “there’s a *bloke* with a pin. Every tenth one gets a pin stuck in it. Not every other one, they know we’re not fools. Every tenth” (R: 193). Likewise, she cautions Sarah as to men’s reluctance to consider loose women as potential marriage material, remarking: “You’re never going to get engaged till you learn to keep your knees together” (R: 194). Ada oscillates between using mock genteel language before more empowered figures than herself and crude vernacular with her daughter, embodying her belief that “prettiness, pliability – at least the appearance of it – all the arts of pleasing. This was how women got on in the world” (R: 195).

The Lumb household reappears once in *The Ghost Road*, wherein Barker dedicates an entire chapter (GR: 65–85) to the portrayal of Prior’s familiarisation with the family into which he is *meant* to marry after the War, now being officially engaged to Sarah. This episode provides further material for acute social insight regarding the struggle for survival in working-class life and the constant strategic manoeuvring involved in societal organisation. Ada is once again revealed as placing great emphasis on appearances, managing to dissociate her unethical commercial activity (as a shopkeeper selling second-hand goods and peddling ineffectual cures for unwanted pregnancies under the counter) from the prim respectability of her net-curtained house, located “at a safe distance” from her shop (GR: 65), and the social deprivation it represents. Indeed, Prior is to give a vivid description of this marginally less well-off area from which Ada has managed to escape:

² R: Abbreviation for references to *Regeneration*

³ GR: Abbreviation for references to *The Ghost Road*

For there, below her, was the life she'd saved her daughters from: scabby-mouthed children, women with black eyes, bedbugs, street fights, marriage lines pasted to the inside of the front window to humiliate neighbours who had none of their own to display. He could quite see how the vote might seem irrelevant to a woman engaged in such a battle. (GR: 68)

Despite Ada's small-scale hypocrisy and her ready involvement in the system and thus in the perpetuation of social inequalities, Ada's depiction—which Barker filters through the narrative voice of Prior—is a largely sympathetic one, Prior perhaps seeing much of himself in Ada's ambivalent social manoeuvring. Yet another hilariously revealing scenario recounted through Prior's narrative insight is when Ada invites the local vicar, the Reverend Arthur Lindsay, to her house on the Sabbath for "improving conversation on the topics of the day" (GR: 66). Ada regurgitates in genteel voice the socially encoded patriarchal views which she knows to be unconditionally endorsed by Reverend Lindsay:

They were talking about the granting of the vote to women of thirty and over, an act of which Ada strongly disapproved. It had pleased Almighty God, she said, to create the one sex visibly and unmistakably superior to the other, and that was all there was to be said in the matter. (GR: 67)

Ada agrees to maintain an outwardly aligned stance with the doctrine of the dominant group to ensure survival. However, she is revealed as being conscious at all times of her double-edged posture and enacts behind closed doors a merciless indictment of the values she publicly professes to endorse. Her manoeuvring is a classic example of the strategies employed by relatively disempowered elements of society, obliged to circulate on the rough edge of the power system. She unreservedly propagates social discrimination against women of her own broad social class, preferring to form alliances with respectable figures of the patriarchal establishment in return for individual social advancement rather than foster solidarity within the widely discriminated-against sector to which her loyalties might be thought to lie. Prior's acceptance into Ada's inner circle allows him (and the reader) to witness his prospective mother-in-law's startling metamorphosis on Reverend Lindsay's departure: she reverts to her "week-day dress", raises her urine-stained skirt to the fire to reveal an expanse of white thigh and settles down to read a novel given that "her recreation" was reading "penny dreadfuls" (GR: 71), a type of cheap sensational fiction especially popular at the time and directed at the newly-literate masses.

Regarding Ada's salacious reading matter, Prior observes that "all the books had murders in them, all carried out by women. Aristocratic ladies ranged abroad, pushing their husbands into rivers, off balconies, over cliffs, under trains or, in the case of the more domestically inclined, feminine type of woman, remained at home and jalloped them to death" (GR: 71). The plot of Ada's reading matter is not in itself particularly surprising, nor is its patriarchally pleasing final denouement, wherein the transgressing women are finally detained and made to pay for the crimes committed against a society with whose values the target readers are clearly encouraged to identify. However, notwithstanding this didactic scenario, Prior identifies yet another case of Ada's private subversion of the prevailing gender codes, this time those being instilled through such popular literary texts. Prior notices that only the final pages were free of cooking stains, and for a long time this puzzled him, until he realised that, in the final chapter, the adulterous murderesses were caught and punished: "Ada had no truck with that. Her heroines got away with it" (GR: 71). On the one hand, Ada thus reveals herself as desperately aspiring to form part of the establishment, perpetuating the status quo in which she has gained a certain level of decency and respect, even harshly rebuking other women who are unlucky enough not to have escaped the ills of abject poverty. Yet, on the

other hand, she is still as rebellious and inwardly subversive as her daughter, Sarah, rejecting, as far as she is able, the stereotypical role with which women are encouraged to identify by the dominant group.

Ada Lumb's manoeuvring is thus highly representative of the functioning of societal organisation. She endeavours to make alliances with individuals who are more empowered by the patriarchal authorities so as to gain respect and thereby progress within society in return for endorsing values that run counter to her private beliefs. She is, albeit at a low level of the power pyramid, an aligned member of society, and is prepared to sacrifice intra-class alliances, which may lead to generalised improvement for her social class, in favour of individual advancement within the system. In this way, Ada Lumb serves as a downsized female version of Billy Prior, who is likewise portrayed as selling out his principles — although less consciously — as he becomes increasingly seduced by his growing prominence and inexorable absorption into the networks of power.

2.2 Upwardly-mobile women in the expanding world of wartime work

Pat Barker's portrayal of Sarah Lumb, the young working-class munitions worker, is important to the narrative for three main reasons. Firstly, it demonstrates a generational evolution as Sarah candidly and disinterestedly rejects her mother's cold social pragmatism. Secondly, it reveals the positive social changes experienced by many women on the home front during the War as they find themselves suddenly more independent and integrated into the world of work (Braybon 1987). Sarah personifies the expanding world of women, ironically favoured by the shrinking or constricting world of men during the war period (Showalter 1985). In the third place, Barker highlights Sarah's importance as a key emotional anchor to one of the two main protagonists, Billy Prior. Indeed, Sarah is the only character with whom Prior's prolific sexual activity is set within a constantly caring framework and she is to remain for Prior his *moral centre*, his meetings with her being described as "stepping stones to sanity" (ED: 191)⁴. For the purposes of this paper, I intend to concentrate on the first two of the above-mentioned points.

2.2.1 Sarah Lumb's rejection of her mother's social pragmatism

Sarah is depicted as having consciously rejected the opportunity to marry her first ill-fated fiancé and thereby secure pension rights before he fell victim at the Front (R: 91). Sarah believes that her mother's emphasis on well-chosen marriages with no regard for love between men and women is "a dispiriting way to bring girls up" (R: 196) and decides to pursue an affective relationship with Billy Prior played out largely on equal terms. Likewise, Sarah rejects her mother's exhortation to "put it on" (R: 194) and appear what she is not in return for possible social advancement. Sarah prefers to seize her chance in the world of work, enjoying to the full her newfound freedom, however limited or short-lived it may be, and seeks to avoid falling into the gender stereotyped behaviour encouraged by her mother and the wider society.

2.2.2 Expanding female expectations

Pat Barker juxtaposes to great effect the expanding world of women and the shrinking, constricting world of their men at the Front. The War is portrayed as a force of liberation for

⁴ ED: Abbreviation for references to *The Eye in the Door*

women in many respects, and both the women and men involved are acutely aware of this evolution, as appositely identified by Dr W.H.R. Rivers:

The war that had promised so much in the way of ‘manly’ activity had actually delivered ‘feminine’ passivity, and on a scale their mothers and sisters had scarcely known. No wonder they broke down. That would help to account for the greater prevalence of anxiety neuroses and hysterical disorders in women in peacetime, since their relatively more confined lives gave them fewer opportunities of reacting to stress in active and constructive ways. Any explanation of war neurosis must account for the fact that this apparently intensely masculine life of war and danger and hardship produced in men the same disorders that women suffered in peace. (R: 222)

Sara Lumb becomes the vehicle through which Barker portrays the improvements experienced by women during the war period. Sarah demonstrates the greater possibility for women to reject class exploitation in domestic service jobs without entertaining the serious social consequences that this rejection would have involved in peacetime. Women’s move to factory employment gives them increased physical and geographical mobility, greater income, greater expectations and higher self-esteem. Likewise, for working-class women estranged from their husbands serving at the Front, the War is portrayed as being nothing less than a blessing. Among the women, there reigns a distinct feeling of transient freedom from a legacy of abuse at the hands of their husbands, abuse which is patriarchally endorsed by the marital bond. Far from lamenting the outbreak of the War, women regard 4 August 1914 as the day marital “*peace* broke out” (R: 110). One of Sarah’s friends, recently recruited as an ambulance driver, crystallises the feeling of many women, going so far as to say that “for women, this is the first day in the history of the world” (ED: 100–1).

Women are depicted as enjoying their newly acquired wartime freedoms, evidence of which in the narrative comes from Sarah’s contact with her married workmates at the munitions factory: women are described as being able to go into pubs together without the presence or permission of men; women buy sets of false teeth to improve their appearance and bolster their self-esteem; women treat themselves to better food; and female suicide rates are revealed as suffering a marked decrease during the duration of the conflict. The serving soldiers’ wives realise that “the war ha(s) cheered everybody up” (ED: 97) on the home front and that many homes are ironically prospering from the absence of the head of the household. Nevertheless, women are depicted as fearing —quite rightly as it transpires (Hynes 1990)— that this more independent situation is “too good to last” (R: 110). Indeed, even during the War, women attracted the professional prejudice of fearful male industrial workers (Tylee 1990), who even proposed a mid-war strike in protest against what was termed female “dilution” (ED: 100) of the male workplace.

Throughout the narrative, but especially in reference to the incursion of women into the traditionally male workplace, gender definitions are constantly challenged and are revealed as institutionally-endorsed, culturally-allocated constructions which had cemented certain societal structures prior to the War and stifled alternative possibilities. The traits depicted as inherent to women are not intrinsic but learned, just as the exigencies of war required certain traits to be learned by men. The men in the trenches acquire the role of the domestic —reflected in their physical immobility and confinement, and in their quasi-maternal caring for fellow soldiers— just as the women at the home front become the industrial labour force. WWI, for some women, is portrayed by Barker as the catalyst that leads them to seriously question this cultural inscription. Ironically, through their involvement in the fabrication of armaments, women are revealed as being directly instrumental in the killing of men, both the enemy and occasionally their own men as a result of *friendly fire*. Indeed, the irony becomes all the more biting when the reader witnesses this activity as directly empowering women

with momentarily expanding social expectations. It would appear that any improvement in the lot of women must necessarily involve the demise of men as both sexes seem to be inexorably entrapped in an antagonistic binary relationship.

3. Conclusion

Working-class women in *The Trilogy* are undeniably portrayed as almost always being the innocent victims of male abuse, whether overtly or more tacitly endorsed by the reigning patriarchal order. Nevertheless, and whilst fully admitting that Barker's portrayal of women's suffering at the hands of a patriarchal society most eloquently highlights inherent societal injustices within both a class and gender *problematique*, it would be misleading to conclude that Barker fails to recognise and portray the active role that some of her more patriarchally-aligned female characters play in perpetuating gender-based inequalities (often inequalities that they have been obliged to suffer in their own flesh), an illustrative case in point being the socially pragmatic Ada Lumb.

Despite the tenor of my paper, I feel I should highlight that *The Regeneration Trilogy* is not a feminist diatribe against the abuse of women, although it does explicitly indict such abuse. Rather, it uses the traumatic experiences of women as a springboard towards exploring the effective enmeshing of *all* individuals (whether they be men or women) in multilayered, overlapping grids of discourses within a patriarchal societal setting.

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A Corpus-Based Comparative Analysis of All Main Characters in Shakespeare's *Hamlet* and Sumarokov's *Gamlet*

Irina Keshabyan Ivanova
Universidad de Murcia

1. Introduction

Corpus-based analytical techniques and specific ways in which corpus analysis has been applied to the study of literature have become more widespread over the recent decades. Interestingly, the works of such scholars as Stubbs (2005), Wynne (2006), Biber (2011), Johnson (2011), etc. demonstrate that it is increasingly becoming possible to test empirically claims about the language of literature, to search for and provide evidence from texts, to establish the norms of literary and non-literary style, and to have in-depth insights into the texts' structures and meanings.

The present research addresses a fundamental question concerning how quantitative data and a range of different computational and quantitative tools can be used in assessing an author's literary output and originality. It should not only benefit research on structural variation but also be of interest more generally to scholars of translation and comparative literature, leading to a more far-reaching understanding of many aspects of literature. At the same time, it should be noted that translation *stricto sensu* is not the main topic of the present investigation.

The overall aim pursued in this paper is to analyse and compare the structures of the two contrastive plays, that is, the Fourth Folio Edition of *The Tragedy of Hamlet Prince of Denmark* (1685) by Shakespeare and the English translated version of *Gamlet* (1787) by Sumarokov, rendered into English by Richard Fortune in 1970.

For ease of reference, the abbreviations are used instead of the complete titles of the plays. For example, *Hamlet* or SH for Shakespeare's text, SG-R for Sumarokov's text, whereas *Gamlet* or SG for the English translation of the Russian text. However, one should keep in mind that in this research SG-R and SG are interchangeable, although the general parameters of structural variation are analysed between SH and SG and not between SH and SG-R. The selected texts are shown in Table 1.

Genre	Author	Title	Abbreviation
Drama	Shakespeare	<i>The Tragedy of Hamlet Prince of Denmark</i> (1685), the Fourth Folio Edition	SH
	Sumarokov	<i>Gamlet</i> (1787), in Russian (for reference)	SG-R
		<i>Hamlet</i> (1970), translated into English by Richard Fortune	SG

Table 1. Texts selected for analysis

The rationale behind my selection of Sumarokov's *Gamlet* for the current study is based on the fact that it was the first appearance of any of Shakespeare's plays in Russian culture, literature and theatre, although Shakespeare's name was nowhere mentioned (Lang 1948: 67). The Fourth Folio Edition of *The Tragedy of Hamlet Prince of Denmark* (1685) was selected

for the comparison due to the fact that Sumarokov may have been acquainted with this edition before writing his *Gamlet* and, thus, may have been influenced by it (Levitt 1994: 322).

Prior research has analysed *Hamlet* and *Gamlet* in terms of historical, philosophical, language-based, etc. approaches which have existed to date. With respect to *Hamlet*, Bradley (1904), Wilson (1959), Johnson (1960), Eagleton (1986), Kermode (2000), to name but few, have provided studies by using previously mentioned perspectives. With regard to *Gamlet*, Tynianov (1929), Lang (1948), Billington (1970), Levitt (1994) and Gukovsky (2003), among others, have contributed relevant works based on the above-mentioned approaches.

Lately, original scholarly contributions within Shakespeare studies have appeared. Murphy (2007: 67) suggests that a popular interest in Shakespeare has been paralleled in the last decade by a rise of computer-assisted textual analyses of his plays, specifically in the field of literary stylistics, although met with resistance by some literary critics such as Fish (1996), Louw (1997), etc. From within the field of corpus linguistics, Stubbs (2005: 22) calls to combine the findings of corpus stylistics with close reading of texts.

Recent corpus-based studies on Shakespeare have examined distinct aspects of his plays such as characterisation in *Romeo and Juliet* (Culpeper 2002), the morpho-syntactic variability of the second person pronouns in the Shakespeare Corpus (Busse 2002), key semantic domains and metaphor in love tragedies and love comedies (Archer et al. 2009), the rhetoric of suicide in *Hamlet* (Anderson and Crossley 2011), etc.

Taking into consideration the aforementioned visions of both plays, the conclusion is drawn that it may be a relevant idea to view *Hamlet* and *Gamlet* as two texts with a certain number of particular characters that are distributed in a special way within and among the acts and intervene with a particular frequency specified by the authors. To achieve this aim, the texts are closely read and, then, computational and quantitative resources are applied.

To identify the dimensions of structural divergences that are especially characteristic of *Hamlet* and *Gamlet*, this investigation focuses on those aspects of the plays that could be easily located, extracted, quantified and computerized –in other words, on the distribution patterns of the presence and interventions of all main characters per distinct acts inter-plays. In so doing, the researcher seeks to reveal probable commonalities and/or deviations in the authors' perceptions of all main characters and of their pertinence in the plays that have led Sumarokov to introduce substantial changes into the structure of his play compared to Shakespeare's original play *Hamlet*.

The two phases of the present research include the analysis and discussion of the data associated with the distribution patterns of the presence and total interventions of all main characters, namely Hamlet, Claudius, Polonius, Gertrude and Ophelia, per different acts inter-plays.

This specific approach has also been adopted in relation to each main character separately in my paper, entitled 'Cross-Textual Representation of the Main Characters in Shakespeare's "Hamlet" and Sumarokov's "Gamlet": A Corpus-Based Study', presented at the *IVth International Conference of the Spanish Association of Corpus Linguistics* in 2012.

2. Methodology

Two variables (including presence and intervention categories) are chosen in the current work under the criteria that they are quantitative and require certain computational tools. Each text is analysed with respect to the occurrences of these features which are quantified. The quantification of presence and intervention variables is carried out by exploring the two text files manually. After, the extracted data is computerised, tabulated (intra-play), cross-tabulated (inter-plays) and presented in tables and figures. The tools used for the

computational quantification and presentation of the data in tables and figures are SPSS V.15 and Excel (Office 2007).

For the purposes of analysis, the data shown as a percentage throughout various phases of the present investigation are considered more valid than the data given in figures.

However, the aim is to normalise the data quantitatively in order to provide more precise identification and comparison of the general trends employed by the two playwrights in relation to the distribution patterns of the presence and interventions of all main characters per distinct acts inter-plays. The instrument used for the standardisation of the data and their presentation in figures is Pearson's Correlation Test (Altman 1991: 285-288).

3. Findings and Discussion

3.1 Presence variables

Table 2 and Figure 1 incorporate the data linked to the distribution patterns of the presence of all main characters per act intra-play and inter-plays. However, as mentioned in section 2, only the data presented as a percentage inter-plays are analysed and discussed.

Comparing these data, the following diversions can be observed: the distribution pattern varies a little in acts II, III and IV inter-plays, whereas, in acts I and V, the difference is the greatest as in act I it equals 22.73 % in SH against 13.33 % in SG and, in act V, 13.64 % in SH against 26.67 % in SG.

Act	SH	SH %	SG	SG %
	Presence	Presence	Presence	Presence
I	5	22.73	2	13.33
II	5	22.73	3	20.00
III	5	22.73	3	20.00
IV	4	18.18	3	20.00
V	3	13.64	4	26.67

Table 2. Distribution Patterns of the Presence of All Main Characters per Act¹

As a result, the difference in the distribution is not statistically significant inter-plays ($\chi^2 = 1.293$; $df = 4$; $p = 0.862$), which is a clear sign of divergence.

The data in Figure 1 display a probable quantitative correlation between the distribution patterns of the presence of all main characters per act inter-plays. These data show that the patterns of the presence of all main characters are negatively correlated per act inter-plays. The statistically non-significant correlation ($\rho = -0.790$; $df (8)$; $p = 0.111$) might indicate distinct distribution patterns.

¹ Statistically not significant ($\chi^2 = 1.293$; $df = 4$; $p = 0.862$).

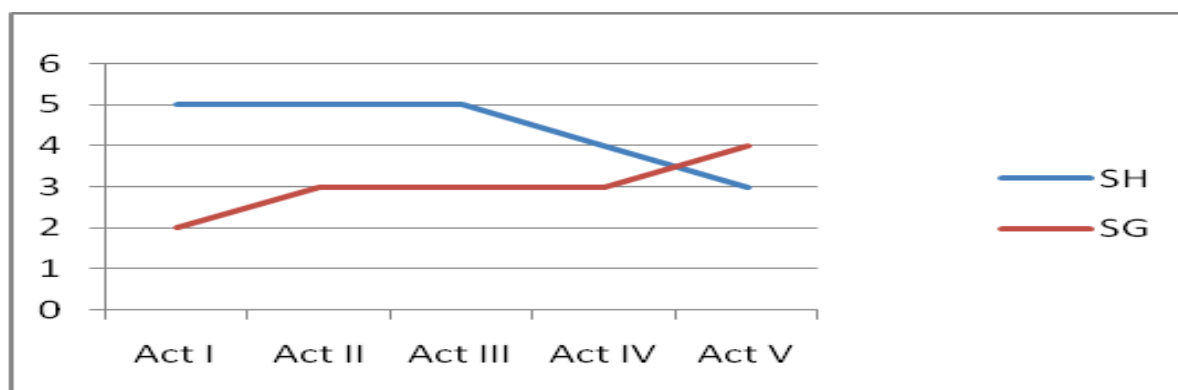


Figure 1. Quantitative Correlation between the Distribution Patterns of the Presence of All Main Characters per Act

It should be observed that Figure 1 clearly illustrates that the line, which corresponds to SH, remains in the same position in acts I-III as Shakespeare distributes all main characters equally in these acts whilst in acts IV and V it drops dramatically due to the reduction of the number of all main characters. Sumarokov behaves differently as the line goes up from act I to act II, remains in the same position in acts II-IV and again goes up in act V. Even though the lines cross in act V inter-plays, the movement is downward in SH as opposed to the upward movement in SG.

As a result, the data in Table 2 and Figure 1 possibly demonstrate that both playwrights follow diverse distribution patterns of all main characters per act inter-plays, specifically in acts I and V.

3.2 Intervention variables

Table 3 and Figures 2 and 3 comprise the data linked to the distribution patterns of the total interventions of all main characters per act and per full text intra-play and inter-plays.

Act	Frequency of Interventions	Percentage of Interventions	Frequency of Interventions	Percentage of Interventions
	SH	SH %	SG	SG %
I	100	9.17	32	16.67
II	145	13.30	22	11.46
III	197	18.07	47	24.48
IV	98	8.99	22	11.46
V	111	10.18	37	19.27
I-V	651	59.72	160	83.33

Table 3. Distribution Patterns of the Total Interventions of All Main Characters per Act and per Full Text²

Comparing the data expressed as a percentage inter-plays, it can be seen that the frequency of total interventions of all main characters per act is higher in SH than in SG. As can be appreciated in Table 3 and Figure 2, the frequency of occurrence of total interventions is significantly higher in SH, although the percentage of total interventions is greater in SG, especially in acts I, III and V. For example, the difference is the highest in acts I and V as it

² Statistically significant ($\chi^2 = 9.407$; $df = 4$; $p = 0.049$).

equals 9.17 % against 16.67 % and 10.18 % against 19.27 % in SH versus SG, respectively. However, the distribution pattern is more or less alike in acts II and IV inter-plays.

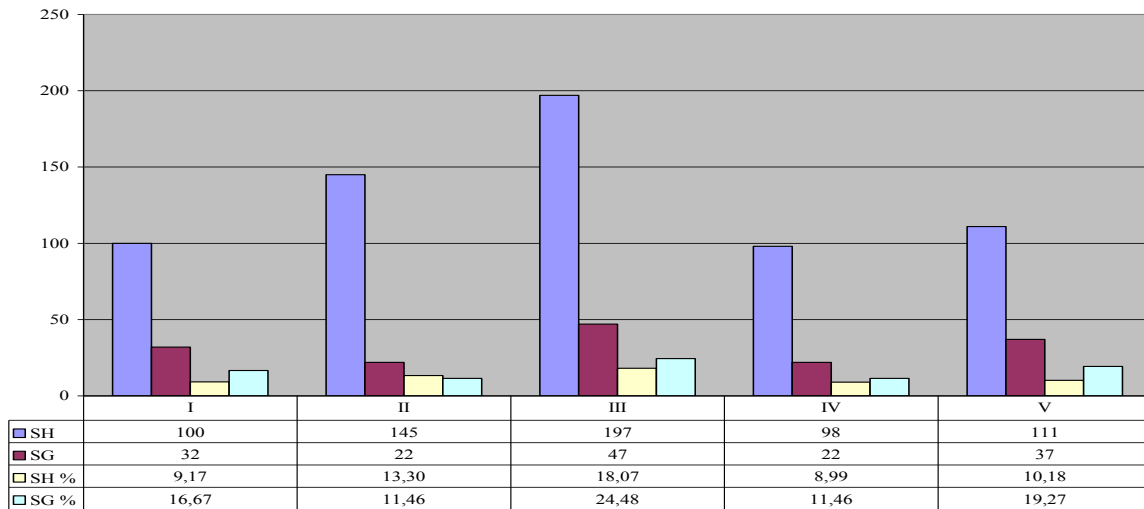


Figure 2. Distribution Patterns of the Total Interventions of All Main Characters per Act

Although the divergence in the distribution is statistically significant inter-plays ($\chi^2 = 9.407$; $df = 4$; $p = 0.049$), which might indicate similar distribution patterns, there appears to be a partial dissimilarity, particularly in acts I and V.

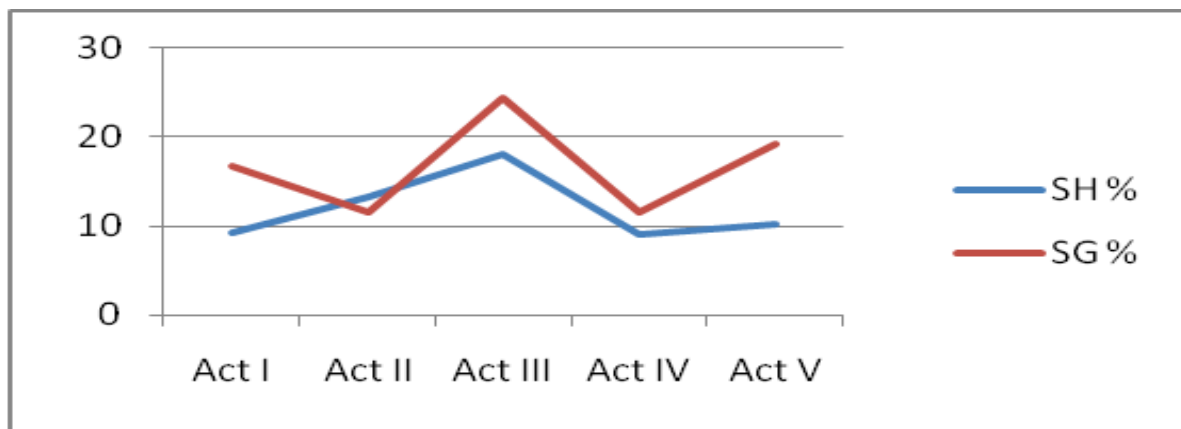


Figure 3. Quantitative Correlation between the Distribution Patterns of the Total Interventions of All Main Characters per Act

To identify a possible quantitative correlation between the distribution patterns of the total interventions of all main characters per act inter-plays, Figure 3 is generated. According to the data shown in this figure, the quantitative correlation between the distribution patterns of the total interventions of all main characters is statistically not significant per act inter-plays ($\rho = 0.608$; $df(8)$; $p = 0.276$); a clear sign of a distinct inter-play behaviour.

In fact, the line that displays the total interventions of all main characters in SH rises from act I to act II, goes up considerably in act III, falls in act IV and rises a little in act V. In SG, the line falls and rises more strikingly. Moreover, in act III, the upward movement is more significant in SG than in SH.

As a result, Shakespeare and Sumarokov apparently follow dissimilar distribution patterns of the total interventions of all main characters in all acts, especially in acts I and V.

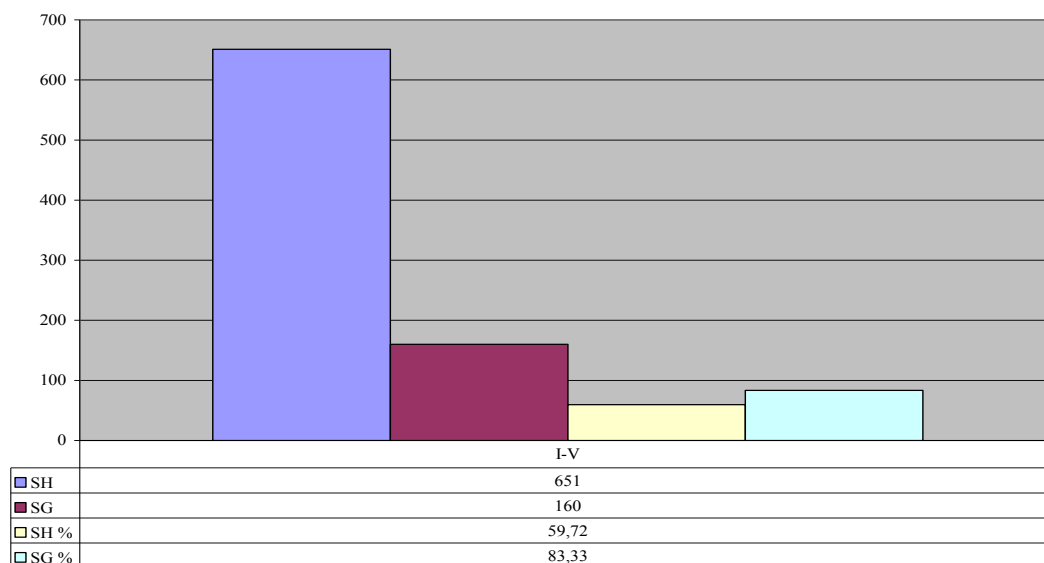


Figure 4. Distribution Patterns of the Total Interventions of All Main Characters per Full Text

To better illustrate the distribution patterns of the total interventions of all main characters per full text, Figure 4 is designed. The data in this figure show that the frequency of occurrence of total interventions of all main characters per full text equals 651 in SH in contrast to 160 in SG. However, the total percentage of interventions of all main characters is substantially higher in SG than in SH, that is, 83.33 % against 59.72 %, respectively.

Indeed, the data in Table 3 and Figures 2-4 seemingly point towards the fact that all main characters are assigned a more notable role in SG as opposed to SH.

4. Conclusion

In accordance with the results obtained, the conclusion is drawn that Shakespeare and Sumarokov set rather different goals associated with all main characters. Compared to Shakespeare, Sumarokov pays greater attention to the main characters, that is, people of a high social rank. At the same time, these goals had a great impact on the structure of the plays.

With regard to the distribution patterns of the presence, Shakespeare keeps more or less the same number of all main characters from act I to act III, decreasing their presence dramatically in acts IV and V. By contrast, Sumarokov gradually increases their number, reaching its peak in act V.

With respect to the distribution patterns of the total interventions of all main characters, the results show that all main characters intervene more frequently and, therefore, carry more weight, specifically in acts I and V, in SG. In act III, Sumarokov, as opposed to Shakespeare, distributes them in a more striking way, which proves that there exists a considerable partial divergence in this act inter-plays.

The aforementioned findings fit with the results in the previous research linked to the analysis of the presence and interventions of the main characters in SH and SG (Keshabyan Ivanova 2011).

Thus, the most remarkable findings unveil substantial structural deviations of the presence and interventions of all main characters, leading to noticeable diversions in the role and weight assigned by the authors to them per different acts inter-plays.

With this paper, I have aimed to suggest that this kind of empirical work is needed to underpin qualitative literary analysis; however, limitations of computer-assisted textual analysis should always be taken into consideration.

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Eros and Thanatos in A.S. Byatt's The Children's Book

Jennifer A. Johnson
Universidad de Málaga
jajasp.johnson@gmail.com

Abstract

A.S. Byatt says she cannot understand why in her work, writing is dangerous, a destructive force and that “people who write are destroyers”. In *The Children's Book* (2009), the lethal side of the creative drive is linked, with writing and other forms of art. The novel is set against the backdrop of the world of Socialists, suffragettes and Fabians striving to improve the world while writers for children weave magical tales. However, the creative impulse unleashes dreadful harm on the families of single-minded artists and on the artists themselves. The narrative revolves around creators but the creative urge is as often a source of destruction as of delight. The underlying tension in the novel derives from the conflict between sex and death, the creative urge and the drive to destroy things: *Eros* and *Thanatos*. This is explored in *The Children's Book* and related to earlier works of A. S. Byatt's.

Keywords: contemporary British literature, A.S.Byatt, creativity, women writers, *Eros* and *Thanatos*.

The British novelist A.S. Byatt has commented that Freud came as something of a surprise to her as nothing that he described resembled her own experience (Lawson 2009: n.p.). However, her novel *The Children's Book* (2009) does bear a resemblance to Sigmund Freud's view of the world, due to its underlying tension between the creative drive and the impulse to destroy: *Eros* and *Thanatos*. The novel ends just after the First World War, an event which led Sigmund Freud to suggest the existence of a destructive drive in human beings. Byatt had been intrigued by the realisation that many Edwardian writers of children's books had not been good for their own children and this connected with her awareness that writing can be harmful. She says, “I don't understand why, in my work, writing is so dangerous. It's very destructive. People who write are destroyers” (Leith 2009: 12).

The Children's Book starts in 1895 and ends in 1919, but the author maintains that she was curiously blind to the imminence of the First World War (Lawson 2009: n.p.). There is no sense of the inevitability of war looming over the story. However, the pervasive theme of the danger that creative artists present to their families, through their negligence, single-minded dedication to their art or callous exploitation of those around them, does permeate the narrative.

According to the *Oxford Dictionary of Psychology*, in psychoanalysis *Eros* is defined as “the life instincts, usually including both the sexual instinct and the ego instinct (the self-preservation instinct), the aim of which are to create and maintain the integrity of things” whereas “the principle underlying *Thanatos* is to undo connections and so to destroy things”. The latter can either turn inward and lead to self-destruction or turn outwards in the form of aggression. The fact that it was the First World War which led Sigmund Freud in *Beyond the Pleasure Principle* (1920) tentatively to posit the existence of a death drive *Thanatos* in counterbalance to the creative urge *Eros* makes it especially appropriate that this novel of A. S. Byatt's should end in 1919.

Byatt's central character is a writer of children's books, Olive Wellwood, who as Alexa Alfer observes, is "clearly modeled on E. Nesbit [and] shares not only something of the well-known children's writer's fertile imagination but also her unconventional life-style" (Alfer and Edwards 2010: 118). Both Alfer and June Sturrock use Julia Briggs' biography of Nesbit to point out the similarities between her and Olive's lives, including the concealed parentage of some of the children and the possibility of the putative father or stepfather making incestuous advances towards his daughter.

The Children's Book, set in England and Germany, has a huge cast of characters. The two dominant families are those of a writer, Olive Wellwood, and of a master potter called Benedict Fludd. Olive writes for children, and traumatic memories of her own childhood in an impoverished mining town are embedded in her tales. Fludd has been likened to Eric Gill, a sculptor and printer associated with the Arts and Crafts movement who is suspected of having sexually abused his children, while Sturrock has pointed out that Fludd's literary ancestor was Iris Murdoch's Jesse Baltram in *The Good Apprentice*. It gradually becomes clear that both of these families, Wellwood and Fludd, are suffering from the presence of a parent who single-mindedly pursues the need to create, be it fiction or pottery. These two cases are foregrounded, but there are other characters and other families whose stories work out aspects of the same dilemma: the conflict between creative and destructive drives.

Olive and her husband, Humphry, have an apparently idyllic family home in the Kentish Weald called "Todefright", whose etymology is explained early on in order to dispel any sinister connotations but, given the German strands in the plot, it is hard to overlook the obvious association with death. We are given an outsider's view of the household through the eyes of an adolescent boy, Philip Warren, who has run away from poverty in the Potteries because of his overwhelming need to "make something", a talismanic phrase of Byatt's which explains her own drive to write.

Olive concentrates on supporting her family by writing magical tales and, with no wish to revisit the past, she has packed away her memories of poverty and bereavement "in what she saw in her mind as a roped parcel, in oiled silk, with red wax seals on the knots, which a woman like her and unlike herself carried perpetually over a windswept moor [...] The woman never arrived, and the parcel was never opened" (84).

Even in her new life, there are still ominous undercurrents. We soon learn that not all of the Wellwood children have survived babyhood. One of them is even buried in the garden. Inevitably in the nineteenth century, reproduction is associated with death, and over a couple of pages Byatt gives us a chronological list of the births and deaths of the children, interspersed with an account of Olive's development as a writer.

The Children's Book is full of pregnancies and childbirth, with a keen awareness of the risks involved. Byatt establishes links between Olive's creative work as a writer, the death of some children and her role as mother in the years leading up to the beginning of the novel. These connections strengthen as the "golden" year of 1895 comes to a gloomy end which coincides with the birth of the Wellwoods' last child, Harry, and the death of a well-known Russian activist, Stepniak, who is killed by a train, either by accident or suicide, shortly before Olive goes into labour. The description of this event and the anarchist's torn body reminded Olive that "soon, soon she would herself face pain, and possible death, of one, or two people" (163). Her son Tom thinks of Stepniak's death and tries not to imagine the "shining rail, stretching before and after, and the black, thundering weight, in its shroud of steam, bearing down, a final dark rushing" (163). Years later, Tom will recall this event shortly before his own suicide. There is an obvious parallel with the inevitable bearing down and final rush of birth, which is fully developed when labour starts: "Olive thought she had forgotten what pain could be. She was a railway tunnel in which a battering train had come to a fiery halt" (165). The clichéd cinematic use of phallic trains and tunnels is instead turned

into a dual metaphor for death and birth, also a reminder that Olive is not only a creator as a writer. Despite some failures as a parent, she has also risked death – like every other mother at this time – in order to give birth.

Byatt has commented (Lawson 2009) that writers only have a right to their own stories, what they have experienced, and must be very scrupulous in their appropriation of the stories of others, but Olive uses the tale that she and her son, Tom, have created over the years, and which he regards as *his* story, with his namesake as protagonist, as the basis for a play. The performance disgusts him, especially as the part of Tom is played by a woman, and he refuses to suspend disbelief: “He did not think it out, but *knew* he was undergoing a trial or test. He must not for one moment, not for one second *believe*. The test was not to be taken in by glamour, by illusion” (Byatt 2009: 523). He stumbles out of the theatre, and is not seen again by his family.

Olive has suppressed her guilty feelings about having used Tom, his name and his tale, for her play without warning him: “she had locked away any anxiety about Tom Wellwood and Tom Underground. It would work out. Things worked out” (Byatt 2009: 523). She had not even thought about her son while the play was being written and produced, or the fact that they had used his name, because “[n]ames impose themselves on writers, and will not be changed, and come to be facts in nature, like stones, like plants, that are what they are. Only another writer, Olive thought, now it came to telling Tom Wellwood about the play, would believe her if she said that, about names” (520). Olive’s thoughtless single-mindedness when she is working leads her to be as destructive of her son’s well-being as any abusive parent might be. Tom’s subsequent suicide is reminiscent of Cassandra Corbett’s in *The Game* (1967), which is the consequence of her novelist sister Julia’s appropriation of her life as a source for fiction. However, whereas we feel that Julia suffers very little, Olive is distraught at the loss of her most loved child, an event which unleashes traumatic memories, but even then she wonders whether she may use this new bereavement in her writing: “She thought of the forest of coeval boys, all eternally present, crowding her room, and the old Olive thought idly, this is a story, there is a story in this. And then she saw that there was not. There would be no more stories, she thought, dramatically, uncertain whether this too was a story, or a full stop” (536). Olive takes to her bed, and whisky, telling her husband that the other children frighten her, “If you know that you can kill a child-” (542). There is no more writing.

Tom’s story is connected with the sexual abuse that he suffered at boarding school, and which is also associated with his mother’s writing. The theme of sexual abuse leads us to the other household, Purchase House, with the family of the potter Benedict Fludd, his wife and two daughters. The three women are strangely inert, apparently spellbound, and we soon realize that Fludd is not only suffering from bi-polar disorder but has also been sexually abusing his daughters and using them as models for obscene pots made throughout their childhood and adolescence. The volatility of kilns and Fludd’s character are equated because kilns “turned out to be both violent and temperamental, like Fludd himself. You could lose months of designing and throwing, and decorating, in one flare of fire, or gas, or explosion of a blister of water in an ill-made vessel” (Byatt 2009: 110).

Fludd is the most obviously abusive and dangerous creator of all the artists in this book, and the only one who resorts to suicide. Olive, although she fails as a parent, has tried to provide a loving home for the children, but she suffers more than any other mother in Byatt’s fiction, losing all her sons. The use of *The Winter’s Tale* as a textual referent earlier in the novel (with Olive playing Hermione) has alerted us to this possibility, as Byatt’s work is haunted by women who turn to stone as a metaphor for grief and loss. After Tom’s funeral, Olive falls unconscious and then lies “like a stone” (536).

The passion that a mother feels for her baby recurs in Byatt’s writing and recalls Freud’s description of this love as “something far more profound than her later affection for

the growing child ... a completely satisfying love-relation" (qtd. in Thurschwell 2000: 51). Olive suffers in proportion to the passion she feels as a mother and her subsequent betrayal and unwitting destruction of her son.

Much of Byatt's fictional writing is concerned with the harm that may be done by creative artists to themselves or others, and an analysis of *The Children's Book* reveals surprising resonances between the novel and Freud's descriptions of child-parent relationships, trauma and the tension between *Eros* and *Thanatos*. Fludd's bipolar disorder is an extreme version of this conflict. The greater the mania, the greater the artistic creativity and the greater the collateral damage in the family. There is also a clear connection between artistic vision and passion. Fludd's incestuous abuse of his daughters is entangled with his work and, when his elder daughter finally escapes into marriage with an alternative, loving, father figure, Fludd is driven to suicide. In parallel, we have seen how Olive's creative impulse has been fed by her children's stories and her emotional involvement with Tom. When she loses him, she also loses her ability to write.

Another writer in *The Children's Book*, Herbert Methley, is the sexual equivalent of a hit-and-run driver, but although he harms others he emerges unscathed. He makes no significant sexual or emotional investment in his lovers or his work, and his pseudo-Lawrentian novels bear little comparison to the creative work of the other characters. However, both Olive and Fludd feel true passion for their children (in both cases for those of the opposite sex), and each is also what Byatt has described as "a driven artist (i.e. someone who has to *make* something)" (Byatt 1991: xii). Byatt's characters struggle to balance their families and their work, especially if they are visionaries, people who see "everything too bright, too fierce, too much" (Byatt 1991: x). Women's need to juggle their own need to write (or do scientific work) and the demands of their families is a topic that Byatt has alluded to repeatedly. Her sympathies lie entirely with the woman who needs to "make something". There is no advantage in being a woman devoted to her family (Olive's sister, Violet, personifies altruism but dies unmourned), but neither is devotion to work an easy alternative. Julia's sister, Cassandra in *The Game* follows the advice Byatt was given by Helen Gardner at Cambridge, that "a woman had to be dedicated like a nun, to achieve anything as a mind" (Byatt 1991: ix), but she is still destroyed by her sister's fiction.

Thirty years after publishing her first novel, Byatt wrote in the introduction to another edition of *The Game* that it was about "a girl with an ideal and unapproachable father, who, being male, could have what she and I felt we perhaps ought not to want, single-mindedness, art, vision" (Byatt 1991: ix). I believe in those words "ought not to" lies the answer to Byatt's question as to why creativity and destruction are linked in her writing. There is an underlying sense of guilt to do with male and female roles and the responsibility we feel for our children. In *The Children's Book* this is set against a background of that ultimate betrayal inflicted by parents on their offspring: the First World War.

In her conversations with Ignês Sodr , Byatt says that Daniel Deronda's mother, the great singer Alcharisi who gave up her son for her career, was the fictional character that she felt she was, "as opposed to feeling I ought to be or wanted to be ... she says that terrible sentence about 'you can never imagine what it is to have a man's force of genius in you'" (Byatt and Sodr  1995: 100). In much of her fiction, I believe that the tension between *Eros* and *Thanatos* derives from the conflict between the roles of artist and parent. In her last published work, *Ragnar k* (2011), the drive for destruction is taken a step further, as the Norse gods who had created the first humans Ask and Embla when "the three killer-gods became the three life-givers" (29), destroy the world and themselves with it, a cataclysm which Byatt interweaves with her childhood memories of the Second World War and her fears for humankind's future survival on Earth.

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***Reporter in Spain*, de Claud Cockburn: entre el periodismo y la ficción**

Alberto Lázaro
Universidad de Alcalá
alberto.lazaro@uah.es

Abstract

Reporter in Spain (1936) presents the experiences of journalist and novelist Claud Cockburn as a war correspondent and volunteer in the Republican 5th Regiment during the Spanish Civil War. Traditionally, this type of chronicles, reports and memoirs has been associated with journalistic subgenres of an informative and interpretive nature, of a marked documentary or testimonial tenor, in which truthfulness and the reflection of reality are essential. However, current criticism proposes a new direction in the study of the relationship between journalism and literature by dismissing the so-called “objective reality” and emphasising the degree of fictionality in all these texts. This paper aims to analyse the degree of referentiality and fabulation in *Reporter in Spain*, establishing the features that, in its exploration of reality, link this book to both the literary and the journalistic genres.

Keywords: Claud Cockburn, Frank Pitcairn, *Reporter in Spain*, literature, journalism, Spanish Civil War.

En octubre de 1936, tres meses después de que estallara la Guerra Civil española, se publicó en Londres el libro *Reporter in Spain*, firmado por Frank Pitcairn, seudónimo que utilizaba el escritor inglés Claud Cockburn (1904-1981), periodista de izquierdas que en las décadas de los cincuenta y sesenta sería también conocido por sus novelas y relatos breves. En *Reporter in Spain* Cockburn presenta sus experiencias como corresponsal de guerra del *Daily Worker* y voluntario en las milicias del 5º Regimiento republicano.¹ Esta obra forma parte de un amplio legado de crónicas, reportajes y memorias sobre la Guerra Civil escritos por muy diferentes autores, entre los que destacan John Langdon-Davies con *Behind The Spanish Barricades* (1936), Arthur Koestler con *Spanish Testament* (1937) o George Orwell con *Homage to Catalonia* (1938). Aunque existen diversas clasificaciones que agrupan y definen los géneros periodísticos,² este tipo de obras suele asociarse a subgéneros de carácter informativo e interpretativo, de tenor documental o testimonial, en los que la veracidad y el reflejo de la realidad son esenciales. En ocasiones, estos textos incluso pueden pasar a ser utilizadas como fuente de la historiografía de la época.³ Ahora bien, la línea que separa estos géneros periodísticos de los literarios es a menudo muy delgada y difícil de establecer.⁴ Albert Chillón,

¹ Existe una edición española de esta obra titulada *Corresponsal en España: crónica de la Guerra Civil*, realizada por el autor de esta comunicación. Algunas de las ideas que aquí se presentan se incluyen también en la introducción de esta edición de *Reporter in Spain*.

² Véase, por ejemplo, López García (1996) o Bell (1991).

³ La obra de Orwell aparece citada varias veces en la conocida historia de Hugh Thomas, *The Spanish Civil War*. Sobre la relaciones entre este tipo de discurso narrativo y la representación histórica, véase White (1987), Gossman (1990) o Holton (1994).

⁴ Sobre las relaciones entre el periodismo y la literatura, véase Fisher (1985), Noortwijk (1998) y Blanco Alfonso (2011).

en su obra *Literatura y periodismo: una tradición de relaciones promiscuas* (1999) plantea un nuevo rumbo en el estudio de las relaciones entre periodismo y literatura al descartar la existencia de la «verdad» o la «realidad objetiva» y poner el énfasis en el grado en que la ficción domina todo tipo de textos, desde la mayor referencialidad a la mayor fabulación. De esta manera, en las crónicas y reportajes periodísticos predomina la veracidad y la exactitud histórica, pero por sobria y veraz que sea la información, al trasladar los hechos al papel el escritor los estructura, los explica, los pone en perspectiva, es decir, los ficcionaliza, al mismo tiempo que puede incluir una buena dosis de interpretación, subjetivismo y lenguaje personal cargado de expresividad y artificios estilísticos propios de la literatura. Al otro lado del espectro, en el literario, prevalece la ficción explícita, la ambigüedad y la vocación fabuladora. A la vista de estas consideraciones, cabe preguntarse por el grado de referencialidad o fabulación que ofrece *Reporter in Spain*, estableciendo los rasgos que, en su exploración de la realidad, vinculan la obra de Cockburn tanto al género periodístico como al literario.

Lo primero que hay que resaltar es que Cockburn fue un destacado periodista y comentarista político, desde sus primeros pasos como corresponsal del diario londinense *The Times* en Berlín y Nueva York, allá por 1929, hasta los últimos años de su vida, en los que continuó escribiendo artículos para publicaciones como *The Private Eye* o *The Irish Times*. Desde septiembre de 1934, Cockburn empezó a escribir para el diario comunista británico *Daily Worker* y cuando estalló la Guerra Civil española se convirtió en su corresponsal de guerra, enviando regularmente artículos, firmados con el pseudónimo de Frank Pirtcairn, hasta el verano de 1937. Transcurridos los tres primeros meses del conflicto, el Secretario General del Partido Comunista de Gran Bretaña, Harry Pollitt, le pidió a Cockburn que escribiera un libro sobre sus experiencias en España con objeto de dar a conocer al lector inglés los efectos de la sublevación militar y conseguir el apoyo del movimiento obrero británico al gobierno republicano español. Dada la urgencia del momento, Cockburn escribió *Reporter in Spain* en unos días y se publicó en octubre de 1936. La rápida redacción de la obra fue posible porque Cockburn utilizó gran parte del material que ya tenía escrito y había publicado en *Daily Worker* durante los meses anteriores. De los 22 capítulos de que se compone la obra, cinco de ellos (del XVII al XXI) y parte de otros tres (los capítulos X, XI y XIV) reproducen fielmente diversos artículos periodísticos publicados entre finales de julio y septiembre de ese año 1936. A lo ya publicado, Cockburn añade al principio unos capítulos sobre la tensión política existente en España poco antes de la guerra y las primeras hostilidades. Al final, completa la crónica con una descripción de sus últimos momentos en el frente de Guadarrama antes de volver a Inglaterra. De esta forma, consigue dar unidad y coherencia a unos materiales que en un principio tuvieron un destino diferente.

Al tratarse de un texto periodístico, *Reporter in Spain* tiene como uno de sus objetivos el de informar sobre unos sucesos de interés que están desarrollándose en esos momentos, con referencias a lugares reales y personajes conocidos del ámbito político y militar. De ahí que el interés de esta obra esté en descubrir los hechos que se suceden durante el conflicto español, desde las primeras refriegas entre los militares sublevados y los defensores de la república en Barcelona, hasta las condiciones de vida en un Madrid asediado por aviones enemigos. Nombres como el de Francisco Largo Caballero, José Calvo Sotelo, el General Sanjurjo, Franco y Hitler pueblan el relato de unos acontecimientos que se presentan con una aparente objetividad y con gran dosis de realismo. Destaca también la exactitud temporal y la precisión en los abundantes detalles que contienen las descripciones. Veamos, por ejemplo, cómo Cockburn describe la Columna Durruti, que había salido de Barcelona con numerosos voluntarios con la intención de liberar Zaragoza, entonces en poder de los nacionales:

The column was arranged in Basic units of ten men, these again being organised in commands of 100 each. In front went fast cars to see that the road was clear, then

followed the main part of the column in buses, lorries and requisitioned cars of every description, then came the petrol supply tanks and some distance in the rear a long line of Red Cross ambulances.

Near the head of the column I saw Caridad Mercader, the white-haired woman member of the Political Bureau of the Communist Party, who had already distinguished herself notably in the fight for the defence of Barcelona. (1936: 49-50)

Aunque en los reportajes periodísticos los escritores se suelen apoyar en fuentes significativas y una completa documentación sobre el tema tratado, que viene a reafirmar la realidad y veracidad de lo narrado, en *Reporter in Spain* no es siempre necesario recurrir a estas herramientas, puesto que se trata de un testimonio directo, narrado en primera persona, en el que el autor-periodista ha sido testigo de los hechos y los cuenta tal y cómo los vio. Es cierto que se incluyen algunos pasajes que no proceden de su propia experiencia, como la muerte en Madrid de José del Castillo, teniente de la Guardia de Asalto (cuerpo de seguridad de la República) asesinado a tiros en Madrid por un grupo de falangistas el 12 de julio de 1936, el mismo día que Cockburn llega a España por los Pirineos. Cockburn reconoce que nunca conoció a la víctima, pero recoge la información de varias fuentes que él considera fiables: «I heard all sort of people speak of him [...] Castillo was already distinguished, and already loved, by men who are not very easily pleased nor easily fooled» (1936: 16). Con todo, lo que predomina en esta obra es la observación directa de los acontecimientos, el relato de anécdotas personales y las experiencias vividas por el propio autor.

En múltiples ocasiones Cockburn se inclina hacia un periodismo más interpretativo y de opinión, que rebasa la simple información y emite juicios de valor sobre la guerra y sus contendientes. Siendo miembro del partido comunista británico y escribiendo crónicas para su órgano oficial, *Daily Worker*, es lógico que su punto de vista se corresponda con el del gobierno republicano español y sus críticas vayan dirigidas hacia los que han protagonizado y apoyan la sublevación militar. Los milicianos con los que viaja y lucha aparecen como nobles y valerosos camaradas, dispuestos a morir por la defensa de sus ideales, mientras que a los seguidores de Franco, incluyendo a militares, políticos y sacerdotes, se les representa como traidores, cobardes y asesinos. La falta de imparcialidad no debería suponer una renuncia a los principios y estrategias propios del periodismo profesional. Como señala el conocido aforismo de C. P. Scott sobre la naturaleza del buen periodismo, los hechos son sagrados, pero el comentario es libre.⁵ Los comentarios de Cockburn en *Reporter in Spain* iban fundamentalmente dirigidos contra la política de No-Intervención en la guerra española que había adoptado el gobierno británico y que también apoyaba el partido laborista y las principales centrales sindicales. De ahí que en *Reporter in Spain* sean constantes las alusiones al apoyo que las tropas de Franco tienen por parte de Alemania e Italia.

Este afán propagandístico, algo frecuente en el periodismo de guerra, puede ser el origen del salto hacia a un discurso más literario en la obra de Cockburn. En su afán de mostrar la peor cara del enemigo y ganarse a la opinión pública británica, el autor tiende a la simplificación y a la exageración, características propias de la sátira. Estas estrategias satíricas se aprecian claramente en la descripción de personajes, casi caricaturescos, en los que los rasgos más negativos se acentúan sin piedad hasta el ridículo. Al principio de la crónica, Cockburn ofrece la siguiente imagen de un coronel fascista español que pasea por el andén de

⁵ La frase “Comment is free, but facts are sacred” quedó plasmada en el artículo que Scott publicó en su periódico *The Manchester Guardian* el 5 de mayo de 1921 con motivo del centenario de su fundación. No entramos aquí sobre la veracidad de los hechos que describe Cockburn, aunque ha recibido algunas críticas por la forma en la que en ocasiones manipula la realidad; véase Symons (1960: 132-33) y Knightley (1975: 195-96).

la estación del pueblo fronterizo de Cerbère, donde Cockburn está esperando el tren que lo llevará a España:

Across the restaurant came a pungent smell of violets. A tall fattish man with a waddling gait and expensive clothes walked in and around, and out, and in again to a table. Two younger men walked beside him. "Bodyguard" was written all over them. I have seen the same type walking with the big gangsters in Los Angeles back in the prohibition time. (1936: 13)

Al coronel se le describe como grueso y lujosamente vestido, lo cual realza su procedencia burguesa y vida acomodada, con andares torpes que recuerda a los patos, y despidiendo un olor desagradable. Además, va acompañado de dos guardaespaldas, lo que inmediatamente lo asocia al crimen organizado. Al final del pasaje, el personaje de Cockburn se convierte en el símbolo de la violencia y la muerte que están por venir: «It occurred to me that if you wanted a 1936 symbol of 'Death', like the stock figure of death in medieval paintings, the colonel would do» (1936: 15). Es como una caricatura de las que aparecen en las novelas satíricas de Jonathan Swift, Charles Dickens o Evelyn Waugh.

Junto a la técnica descriptiva burlesca, propia de la literatura satírica, Cockburn introduce un gran número de diálogos que aportan una carga dramática al texto. Como si de una de sus posteriores novelas o cuentos se tratara, el diálogo en *Reporter in Spain* sirve en ocasiones como fuente de información y explicación de los hechos; otras veces se utiliza para delinear la personalidad de los personajes que se presentan; aunque lo que resulta menos verosímil es el empleo del diálogo para reforzar los temas centrales de la obra. Así ocurre, por ejemplo, en el capítulo XXI, cuando nuestro autor se encuentra junto a cinco guardias de asalto en la sierra de Madrid, en medio de una refriega con el enemigo, y empiezan a discutir sobre las posibilidades de que se rompa el pacto de No-Intervención y reciban ayuda armamentística de los países democráticos europeos (1936: 130-32). Si a esto se añade el hecho de que el diálogo supone la transcripción literal de la conversación entre los personajes, es difícil de creer que el autor fuera capaz de acordarse de todas las conversaciones que incluye. Es más, cabe cuestionar si realmente entendía a sus compañeros de trinchera, puesto que cuando llegó a España en julio de 1936 hay constancia de que tenía conocimientos de alemán y de francés, pero no de español.⁶ Estaríamos ante algo parecido a lo que Coleridge en su *Biographia Literaria* denominó «suspensión of disbelief», es decir, la suspensión de incredulidad a la que el escritor incita tan a menudo en los textos literarios.

A su vez, la narración en primera persona de *Reporter in Spain* nos presenta una focalización homodiegética, es decir, que el narrador no es un mero observador, sino que forma parte de la acción. Hay momentos en los que el autor-narrador se convierte en el protagonista de los hechos y cuenta su propia historia. Así ocurre, por ejemplo, desde el capítulo XVIII hasta el final del libro, donde se narran las experiencias del autor en el frente. Se nos presenta a un personaje inexperto en las artes de la guerra, pero valiente; fascinado ante la tenacidad de sus compañeros y compasivo ante sus desgracias; algo torpe en sus movimientos por el campo de batalla, pero cómico y humano, como cuando se le rompe el cinturón y se le caen los pantalones mientras baja corriendo una colina en medio del fuego enemigo (1936: 130). Aunque estos pasajes confieren un elevado tono de autenticidad y verosimilitud a la obra, el hecho de que el narrador se convierta en protagonista de la acción

⁶ Cockburn había vivido en Berlín y su hijo Patrick confirma que su padre dominaba el alemán (Cockburn 2005: 198); asimismo, al terminar sus estudios en Oxford, Cockburn pasó una temporada en Francia para aprender francés y poder acceder a una beca de viaje que ofrecía Queen's College (Cockburn 1981: 27).

hace que se potencie el suceso y la narración, algo característico del relato novelado, frente a la perspectiva e información, más propios del género periodístico.

No se pretende resolver las muchas cuestiones que la crítica viene planteando sobre los límites de los géneros literarios, pero sí resaltar la compleja mezcla de realidad y ficción existentes en textos periodísticos como *Reporter in Spain*. Aunque gran parte de su material proceda de artículos publicados previamente como noticias en *Daily Worker*, al convertirse en una crónica periodística se introduce la interpretación personal, el espíritu crítico y la expresión creativa. De esta manera, se abre la puerta a un discurso con despliegues propios de la literatura. A mayor presencia del periodismo de opinión, propagandístico y satírico, más recursos literarios se utilizan, ya sean en el ámbito de la caracterización de personajes, la elaboración de diálogos dramáticos o las estrategias narrativas. Dado el contexto político que rodea la creación de la obra de Cockburn, es natural que el predominio de lo literario sea constante. Ahora bien, la veracidad de los hechos narrados en la crónica no debería verse dañada por la inclusión en su texto de estos rasgos literarios. A pesar de que todo ello invita a un mayor subjetivismo en la presentación de la información, es el lector quien en último extremo ha de decidir sobre el grado de veracidad y validez de los datos que recoge la obra.

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The Essence of the Absence: (Re)Tracing Rodinsky in the Work of Iain Sinclair

María Deseada López Fernández
University of Málaga
delofe@uma.es

Abstract

David Rodinsky, an orthodox Jew who lived above a decaying synagogue in East London in the 1960s, features in some of the works by Iain Sinclair both as fictional and non-fictional character. This paper examines how Sinclair traces Rodinsky in his production by intertwining factual accounts with the memory of the stories that Rodinsky's revenant triggers. Sometimes Rodinsky's presence is instigated, for instance when his London A-Z is walked over, and sometimes it is encountered, as when Rodinsky's grave is visited. In either case, memories of Rodinsky emerge from and together with other people's memories that happened in the same location. The past is recalled from books, quotations, photographs, remnants, personal and historical dates, figures and facts that coexist spatially. Once retrieved, the memories of Rodinsky are inscribed into narratives that will be responded to again in the future, thus perpetuating the myth that originated from a sealed room.

Keywords: Iain Sinclair, David Rodinsky, *Rodinsky's Room*, Whitechapel, East End synagogue, trace.

It is no news that Iain Sinclair's characters, whether historical, biographical or fictional, feature in several of his works. Actually, we come across the same characters and stories in his works because his whole production can be considered a unitary project about the nature of London, one that emanates from its underlying history, and that is in turn traced and reconstructed at the interface of past and present. Such reconstruction is never developed from the comfort of scholarly research only, but rather by "hack[ing] a path into the thicket and convers[ing] —as a contemporary— with the dead centuries" (Sinclair 1993: 150). This practice of walking over these urban paths, drawing connections among places, peoples and topics, has come to be termed psychogeography.

Within this cartography of London depicted in Sinclair's novels, non-fiction books, articles and films, some topics and characters feature more prominently than others: Jack the Ripper, Hawksmoor Churches, the Kray Brothers, visionary poets such as William Blake or fictional characters as Sherlock Holmes. In this random collection of singled-out London landmarks David Rodinsky stands out by the singularity of his case. Rodinsky, the caretaker of a synagogue in Princelet Street, at the heart of the East End, disappeared in 1969, and his attic at the synagogue remained untouched for over a decade, becoming an actual "time capsule" and giving way in the 1980s to endless rumours about who Rodinsky was and why he went missing. His disappearance constitutes the very fact that triggers Sinclair's curiosity towards his case. It is our intention to outline how Rodinsky intersperses in his 1990s books as a means of understanding the manifold ways in which tracing becomes a part of Iain Sinclair's work.

Although not a Londoner himself, British writer Iain Sinclair has always been both fascinated and preoccupied by the East End of London, an area he has inhabited, read and

written about obsessively. His literary production is almost completely dominated by the East of London not merely as a location of his work, but as the theme and even plot. Despite performing different local labouring jobs, Sinclair has been a poet and film-maker actively engaged in the cultural life of East London since he moved to Hackney in the 1960s. It is no surprise then that when the news of Rodinsky's room first spread, Sinclair, a self-declared "stalker of rumours" (Lichtenstein and Sinclair 1999: 61), was among the first to climb up the stairs and write about the attic in the late 80s.

Although he actually wrote about the room in newspapers, it was in his novel *Downriver* (1991) that the Rodinsky story was properly incorporated into his narrative. Sinclair fictionalizes his first encounter with the room in one of the twelve loosely-related short stories in this novel. As it is usually the case with him, the boundaries between fact and fiction are never clear, and therefore we are not told, and nor is it the aim at all, to know how much of the narration actually took place. Sinclair, the narrator, is engaged in a filming production whose crew is desperately seeking for a stimulating project on Spitalfields. The opportunity arises when Fredrik Hanbury —the persona of the journalist Patrick Wright, the person who actually unveiled the mystery to him— leads him and his friend Joblard towards the myth of Rodinsky and to the synagogue itself. Even though Princelet Street was no new terrain for Sinclair, the excitement of a new story enables to read this place differently, and constitutes a moment of "cardiac arrest" (Sinclair 1993: 147) as it signals the start of a new narration in which he becomes absorbed "by a vortex of expectation" (Sinclair 1993: 147).

His frenzy, however, is different from the shiver of the "shrine-hoppers" (Sinclair 1993: 147) that Sinclair strongly criticizes. At a time when Spitalfields was being redeveloped and speculators abounded, he fears that the hysteria caused by the opening of Rodinsky's room could eventually mean that the room is heritagized, that is, turned into a blue plaque landmark, "a commercial attraction as the Anne Frank House" (Sinclair 1993: 149). The synagogue was an abandoned building, despite its historical value, and Rodinsky himself was just somebody "unremarked and unremarkable" (Sinclair 1993: 146), until he became invisible and the man turned into a room. The vast amount of objects chaotically contained in it, and the fact that some of them were perishable were clear indications that Rodinsky had not foreseen to leave the room at all, but rather went out one day, and for some reason, never managed to return. The Rodinsky material, however, constituted an unusual array of "romantic clutter" (Sinclair 1993: 159): handwritten notebooks, mostly about dead languages; hundreds of scraps of paper and notes, foreign travel books, kosher food packages, hand-drawn maps of London written on scrap papers, worn out clothes, calendars or empty bottles. In the more imaginative versions of this myth, Rodinsky is even said to have left the table set for a meal (Wright 2009: 114) or a mummified cat to have been found on the floor (Gregory-Guider 2005).

The reason why the Rodinsky tale could be incorporated into Sinclair's fiction lies in his obsession for the occult, arcane and malignant. Convinced that territories have a stream of consciousness and stories that they want to tell, Sinclair assumes the role of a medium moving across the landscape and tapping the stories and dreams of characters reading them together (Vallorani 2003: 32). If speculators expected to recover the man from the objects he left behind —"He's all about us" (Sinclair 1993: 147)— is ready to provide the missing element: fiction. The act of disappearance that Rodinsky performed is desirable in the eyes of Sinclair because such a fact enables him to expose what Rodinsky never was: "We can dump our ruin in the space that they vacate" (Sinclair 1993: 159). Having emerged at the *absolute still centre of the maze* (Sinclair 1993: 159), Whitechapel, the connections established around Rodinsky are rooted in the dark forces dominating the East End of London. The traces he follows, therefore, are spatial, as it is geography that determines the availability of the narration if the spot proves to be laden with history or stands as a liminal space.

Further connections are drawn a few years later in *Rodinsky's Room* (1999). Written in collaboration with Rachel Lichtenstein, the book testifies a shared interest between both writers based on very different motivations. In the case of Lichtenstein, she was first drawn to the building for its historic resonance, and as part of a much longer journey in search of her Jewish identity. She takes over Rodinsky's role as caretaker of the synagogue and by extension of the Jewish remnants scattered around Spitafields. As she gets involved in the story, cataloguing his material, she acknowledges that the room is indeed "a trap", as Sinclair had stated (Lichtenstein and Sinclair: 35), and that the search for Rodinsky is a personal quest after all.

Tracing is conducted differently by Sinclair and Lichtenstein, and such stark opposition accounts for the structure of the book and the nature of the collaboration between them. Whereas Lichtenstein's half of the book is chronological and clearly non-fictional, Sinclair's chapters encompass repetition and clarification on the Rodinsky episode from *Downriver* as well as further fictionalization of the disappearance. Sometimes the same episodes are told by Sinclair and Lichtenstein separately, to an extent that we do not know which one of both authors is being informed by the other. Lichtenstein puts together all the pieces in the Rodinsky puzzle, providing as many answers as she can in relation to Rodinsky's life as well as her own. As Brian Baker writes, "[t]he search is rooted in history. It is a detective story of sorts, piecing together 'Rodinsky' from the clues in his room and from her investigations into the cabalistic traditions or rabbinical Judaism" (111). For this reason her reconstruction seems at first more meaningful and justifiable than Sinclair's.

Throughout her investigation, Lichtenstein has to ponder contradictory interpretations of Rodinsky that emanate either from the objects found in the room or from the accounts of witnesses in Whitechapel: whether Rodinsky was a scholar (from the vast number of books found) or mentally disabled (from his inability to speak coherently); whether he wandered the streets as a ghost or actually mingled with the community, or even if he was a hermit because he was unable to cope with the disappearance of the Jewish ghetto or simply because he was mentally unfit.

If Lichtenstein demystifies Rodinsky as she unravels the data found in the garret (Gregory-Guider), Sinclair fills the absences by bringing into the story other texts, either literary, filmic, journalistic, or religious. This constitutes a second major form of tracing in his works. As a bookish person, his fictional reality is configured by the so many links drawn from other literary sources, either on the grounds of parallelisms, coincidences or merely spatial or historical overlapping. This is the case for Harold Pinter's *The Caretaker* (1960), Alexander Baron's *The Lowlife* (1963) or Michelangelo Antonioni's *L'Avventura* (1960).

Rodinsky's case is further explored by drawing analogies with other texts and characters of Jewish significance, such as Emanuel Litvinov, an actual caretaker of the disappearing Jewish ghetto in the East End, or Raphael Samuel, a legitimate researcher (Lichtenstein and Sinclair: 178) who, as Rodinsky, kept thousands of notes on scraps of paper. The most powerful connection, however, is that set between Rodinsky and the fable of the Golem, a comparison that both Sinclair and Lichtenstein establish throughout the volume. Sinclair reviews the early twentieth-century golem literature of Gustav Meyrink, Chayim Bloch, H. Leivick and the more recent interpretation of Peter Wolf in order to provide his own reworking of the legend impersonated by Rodinsky. "One myth underwriting another" (Lichtenstein and Sinclair: 176), he states. Just as some of the different readings of the Golem, Rodinsky survives in a boarded-up synagogue but vanishes, and his legend returns when summoned. As Rodinsky became a room, Sinclair identifies the Golem with the room itself, a dressed set that demands a narrative in which the narrator can project his own terrors (Lichtenstein and Sinclair: 187). Patricia Pulham, who reads the Golem in Sinclair as a spectral trace of Jewish history, has noticed that Sinclair's works "seemingly play with the

creation of myth, the significance of location, and the power of writing to animate dead histories” (164). The history of Rodinsky is thus traced by Lichtenstein, for whom Rodinsky is a modern-day golem, and the myth of Rodinsky as location is in turn constructed by Sinclair using the motif of the urban Golem.

All what is left of Rodinsky is contained in his attic. The array of objects found and the vast number of books and handwritten notebooks makes it easy to picture Rodinsky as a withdrawn scholar whose time was spent around books in his garret. However, he is also fashioned as the city wanderer at a time when the Jewish ghetto was becoming a memory trace (Lichtenstein and Sinclair: 62). In his shabby cap and long worn-out coat, Rodinsky must indeed have looked as a ghost around Whitechapel. However, his battered copy of the London A-Z, with some routes marked in it, proved that he had indeed ventured beyond Whitechapel into other parts of the city. To the peripatetic persona of Sinclair, such a potent item cannot be resisted: “Perhaps these charts would show the peregrination of an invisible man? If his walks could be repeated, might he be brought back to life? What did his curious symbols mean? Were these walks prophetic? Would they reveal the letters of some cabalistic code? Or did they simply record the small journeys he had been prompted to undertake” (Lichtenstein and Sinclair: 185).

The accounts of such walkings became in turn a book-length footnote (Sheppard 2007: 9) to *Rodinsky's Room* and a reworking of the myth on a spatial dimension. *Dark Lanthorns* (1999) pictures Rodinsky as a psychogeographer revealing the areas and landmarks that were of interest to him and were thus marked with a red biro: “prisons, asylums, burial grounds, children's homes, hospitals” (Sinclair 1999: 11). According to Sinclair, these markings show that Rodinsky reads the world as a wilderness of unknowing, punctuated by dark places” (Sinclair 1999: 11). In any case, his A-Z Atlas and his underground maps, which were also annotated, showed a city that no longer existed as such, but which could be retrieved by the act of walking. The written and visual account of such mapping becomes Sinclair's own piece of memorabilia on Rodinsky. A 45-page volume, very much like an A-Z, of which only 250 numbered and signed copies were produced, containing some of them holographic material. The dust jacket imitates the cover of an A-Z Atlas from the 1960s, and some facsimile wrapper of a chocolate bar is laid in the book, just like Rodinsky's scraps of paper could be found anywhere among his belongings. Such a rare book has become a coveted piece, and in fact the prices of those first-edition copies keep rising to the extent that it has become a collector's item. The myth of Rodinsky has thus become part of Sinclair's own, one that we assume will be part of the canon in the future, since, Robert MacFarlane claims “Sinclair has gone from cult writer to national treasure ... [He] is immaculately qualified for the attention of today's Eng lit academics”.

Given Sinclair's interest in liminal spaces as areas in which different realities and histories overlap, his attention eventually focused on the borderland around greater London, the M25 motorway, a tarmac ring that converted London into a traffic island (Sinclair 2007: 21). The movement away for the inner city can be read as the necessity to engage with new topics after having remapped the East End in almost every one of his works for the previous twenty years, but it as well reflects Sinclair's abhorrence of the gentrification of inner London. From the attic at the synagogue, Rodinsky is traced first along the walks outlined in his books and papers, and later by circumnavigating his burial place and the asylum where he spent his last days, both in the outskirts of the city. In *London Orbital*, which is the name of the “project” on the M25 and encompasses a book and a film, Rodinsky's depiction is closer to the figure of the fugueu, the restless amnesiac walker on mysterious expeditions as those plotted on his London A-Z. The M25 becomes a “site for the remaking of memory” (Petit and Sinclair), and asylums, which hold the motorway like abandoned forts become crucial within this “project of restitution” (Petit and Sinclair).

All in all, although Rodinsky is addressed in almost every work by Sinclair (sometimes the connection is made explicit or developed; at other times the name is just dropped), tracing of the myth is mainly developed in the works outlined above (*Downriver* (1991), *Rodinsky's Room* (1999), *Dark Lanthorns* (1999) and *London Orbital* (2002). Rodinsky proves to be staple material for Sinclair and as such the myth is incorporated into his works, refashioned and expanded throughout his production. Such reworkings, however, are built over the absences provided by the story, since it “would only retain its poetry for as long as the main questions remained unanswered” (Lichtenstein and Sinclair: 103). The web of connections, mainly spatial and textual that constitutes the core of his production is subject to further change. Whatever is a thread now is already a trace for future rewordings of the narrations, for an enlarged figurative mapping of the universe depicted in his works.

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“it’s generally women, you know, at the root of this sort of thing”: Monstrous Female Figures in Sarah Waters’s *The Little Stranger* (2009)

Lea Heiberg Madsen
University of Málaga
l.heiberg-madsen@uma.es

Abstract

The Victorian medical and cultural perceptions of the female body, wracked by its instabilities during menstruation, pregnancy, menopause or puberty, have continued to echo across the centuries. In *The Little Stranger* (2009) Sarah Waters re-produces, in a 1940’s context, such Victorian echoes and shows how the Victorian constructions of woman as monstrous persist in culture despite the passing of time, and that a woman’s body and sexuality remain at the core of her “monstrosity”. This paper discusses how Waters’s latest neo-Victorian novel revisits the trope of the monstrous-feminine and – in its simultaneous exploration of past and present – reveals the powerful and lasting intertextuality between medicine, culture and literature. Offering the figure of the monstrous female a kind of double revision, the novel re-presents, and goes behind, the traditional constructions of Woman as monstrous, suggesting that the translation of medical discourse into popular culture not only was but remains pertinent for women.

Keywords: female monstrosity, medicine, neo-Victorian, re-vision, Sarah Waters, *The Little Stranger*

1. Introduction: Neo-Victorian Revision of Female Monstrosity

Its simultaneous de/construction of female monstrosity is one of the most problematic characteristics of the Female Gothic, and reveals, as Susanne Becker suggests, the inherently “contradictive texture of gothic feminism” (1999: 52). This paradox, or contradiction, is evident the Victorian Female Gothic which challenges certain constructions of the monstrous-feminine but also, in many cases, provides the means for reinforcing others.¹ The Victorian divide between so-called angelic and demonic women, as well as the powerful intertextualisation between medical and cultural scripts (Mukherjee 2007: xi), consolidated the notion of female monstrosity: whether represented in medical or ideological terms, the female remained monstrous. That is, women were described “as ethereal, essentially disembodied angels within domestic ideology”, and, within medical science, they were perceived “as dangerously embodied creatures – wracked by the upheavals of puberty, menstruation, childbirth, and menopause; incapable of sustained rational thought; prone to emotional outbursts and hysteria...” (Hurley 2002: 200). The idea of Woman as, in this sense, doubly monstrous became internalised in the Victorians; in their culture and literature. In the

¹ One clear example is Charlotte Brönte’s *Jane Eyre* which, on the one hand, dismantled the image of the angelic, disembodied and dispassionate female, and, on the other, breathed life into the figure of the unruly and beastly madwoman.

Victorian Female Gothic we perceive, therefore, not only the (underlying) criticism, but also the internalisation of the highly contradictory ideas that governed the Victorians' perception of female identity.

Where the Victorian Female Gothic, in this respect, fails deconstruction, or only partially escapes enclosure (which is arguably the case with *Jane Eyre*), subsequent re-vision, re-presentation and re-writing have attempted to compensate for this; as Jean Rhys's *Wide Sargasso Sea* (1966) which speaks for the silenced and monstrous Bertha Mason. However, that the monstrous female continues to "haunt the new feminist texts" (Becker 1999: 57) not only testifies to the contemporary urge of revising and reworking the (Victorian) Female Gothic but also to the fact that there is still a lot to say about the figure of the monstrous woman. Arguably, one of the principal reasons that female monstrosity remains a prominent issue in today's women's writing is that the traditional constructions of woman as monster continue as part of our culture at present. As Becker similarly observes, "postmodern gothicism recalls [the] dynamics of the monstrous-feminine and explores their implications for the late-twentieth-century context – which does not seem that different, despite the sexual revolution" (1999: 60).

One of the fundamental characteristics of neo-Victorian fiction is its "revisionist impulse" (Shiller 1997) which is both cause and result of the genre's concern with change. Through its centralisation of "those figures under-represented by Victorian historical and fictional texts", Samantha Carroll suggests, "neo-Victorian fiction makes an important contribution to the model of social justice...destabilis[ing] deep-structure inequalities" (2010: 195). However, the neo-Victorian mode serves not only the under-represented *Victorians* but also the marginalised and "monstrous" of today. Sarah Waters has already shown how the neo-Victorian novel addresses the moment of writing as much as the Victorian past. Marking the turning-point for literature from the margins, Waters's famous neo-Victorian trilogy² challenges the perception of lesbian fiction as "literary monstrosity" (Llewellyn 2004: 213) and demonstrates how neo-Victorian revision may work to challenge and deconstruct persisting stereotypical notions and ideologies. In what follows, I discuss how Waters's latest neo-Victorian novel, *The Little Stranger* (2009), revisits female monstrosity and reveals the powerful and lasting intertextuality between medicine, culture and literature. In its simultaneous exploration of past and present, I will argue, *The Little Stranger* offers the figure of the monstrous female a kind of double revision: it explores traditional constructions of monstrosity and lays bare the workings of the medical discourse, suggesting that the translation of medicine into culture was and *remains* pertinent for women.

2. Monstrous Female Figures in Sarah Waters's *The Little Stranger*

The Victorian perceptions of the female body as wracked by menstrual, pre-menstrual and menopausal instabilities, have continued to echo across the centuries. In *The Little Stranger* Waters re-produces, in a 1940's context, such Victorian echoes and shows how the Victorian constructions of the monstrous-feminine persist in culture despite the passing of time, and that a woman's body and sexuality remain at the core of her so-called monstrosity. As when Dr Seeley dismisses the idea that Hundreds Hall be haunted, completely certain that the only weird things at the house are the women themselves (and thereof the title of this paper): he observes "...it's generally women, you know, at the root of this sort of thing. There's Mrs Ayres, of course, the menopausal mother: that's a queer time, psychically. And don't they even have some teenage housemaid out there, too?" (Waters 2009: 380). As Seeley's words

² *Tipping the Velvet* (1998), *Affinity* (1999) and *Fingersmith* (2002).

show, the weird and monstrous about women is inherently connected with their reproductive cycle beginning in puberty and lasting until menopause.

The Little Stranger tells the story of Dr Faraday and the Ayres: a widow, her son Roderick, ex-soldier of the British Army, injured during the Second World War, and her daughter Caroline who, eventually, starts a relationship with Faraday but, few days before the wedding, breaks off their engagement. Through the eyes of Dr Faraday, the family doctor and narrator of the story, we witness the gradual downfall of the Ayres and follow the family members' descent into madness and death, as the result of a series of mysterious hauntings at the Ayres residence: Hundreds Hall. When reading the novel the first time, we do not realise until the end that we are involved in a "twofold illusion" (Heilmann 2010: 125), and we begin fairly late to question the reliability of the narrator and his description of the female figures. However, already during one of his first visits to the Ayres we get a hint of the doctor's monstrous creativity. At seeing Faraday's "apparatus" with which he treats Roderick's injured leg Caroline exclaims: "And is that the machine? Crikey. Like something of Dr Frankenstein's, isn't it?" (Waters 2009: 60). Eventually, we discover that Faraday, like a new version of Dr Frankenstein, indeed creates one monster after the other at Hundreds Hall. So, Caroline's allusion to Dr Frankenstein not only foreshadows the outcome of Faraday's (medical and narrative) treatment of the Ayres but works, in fact, as a metatextual comment.

The figure of the spinster is inherently monstrous because she, through her mere status, refutes traditional (patriarchal) values. Being "intelligent, unmarried and childless", as Mark Llewellyn has pointed out, "are all 'social crimes' for women in the society of which she [the spinster] is both part and *apart*" (2004: 207; emphasis in the original). The prototype of the Victorian spinster is characterised by her ugliness, strangeness and cold-heartedness which is both cause and result of her spinsterhood—and, of course, a sign of her monstrosity. Depicted according to this perception, Caroline Ayres, as we perceive her in the larger part of the novel, is "plain" and "brainy" with "mismatched masculine features" and resembles her wealthy but "strikingly ugly" great-grandmother (Waters 2009: 35-65). As a spinster who, in addition, claims that she "can't be a doctor's wife...can't be anybody's wife" (Waters 2009: 447), Caroline is a challenge to patriarchal traditions as well as to Dr Faraday. Caroline comes to stand out as an abnormal, nearly grotesque, woman: "noticeably plain, over-tall for a woman, with thickish legs and ankles. Her hair...[looked] as if she had washed it with kitchen soap and then forgotten to comb it...she had the worst dress sense of any woman...[and] her face was long with an angular jaw..." (Waters 2009: 9). At times, Faraday perceives her in almost beastly terms: "Caroline, I noticed, had folded her slice [of cake] in half and eaten it down in two bites...her legs, I saw now, were bare, and tanned, and quite unshaven..." (Waters 2009: 24).

Caroline's monstrosity is from the very beginning related to the fact that she is "old" and unmarried; and being a spinster is also what finally consolidates her monstrousness, as we see in the powerful depiction of the investigation procedures of her fatal fall down the stairs. That Caroline was mentally unstable is "proved" in court where the "family taint" (Waters 2009: 490) and her so-called oddities are brought up in the attempt to solve the mystery around her sudden death. Although everybody at court agree that Caroline's supernatural fancies (she suspects Hundreds Hall to be haunted) speak of her unbalanced mind, it is the fact that she has "broken off an engagement of marriage" and is planning to leave the country that provides the judges with the ultimate proof that she "was far more concerned with ending a life than with beginning one" (Waters 2009: 488). The inquest shows us how Caroline, the spinster, is trapped: literally by the family doctor, discursively by the medical and legal discourses as well as by the cultural scripts that place her in a separate category, outside the norm.

Similarly, traditional ideologies and medical notions fuse and overlap in Faraday's construction of Mrs Ayres as a monstrous anti-mother. Mrs Ayres's prolonged depression over the loss of her infant daughter, Susan, along with her so-called unnatural, anti-motherly behavior towards her other children, provide the doctor with a perfect point of departure for framing her as eccentric and weird. Indeed, Mrs Ayres is both medically and culturally framed as monstrous. While her grievance over Susan is, at first, acceptable and to expect of a so-called good mother, when her depression persists after the births of both a girl and a boy, she is perceived as unnatural and abnormal: given that "a mother always loves her sons..." something must be "the matter with [her]" (Waters 2009: 219-20). By pathologising her suffering, Faraday easily translates Mrs Ayres' weakness into obsessive nostalgia, depicting her as a woman living in a nearly spectral state. Gradually, the widow descends not only into madness but into a lower form of humanness; a near-animal state, "sitting...hunched and shivering, starting like a hare at every slight unexpected movement or sound..." (Waters 2009: 347). As in the case of Caroline, the authorities instantly accept Dr Faraday's account of the monstrous widow and of her death, illustrating to what extent society's most powerful discourses – the legal and the medical – cooperate in the demonization of woman, reinforcing each others' notions of female monstrosity.

Carrying strong echoes of late-nineteenth-century readings of the pubertal female body, the medical discourse – literally embodied by Dr Faraday and Dr Seeley – also plays a fundamental role in the construction of Betty, the maid, as monstrous. Convinced that the adolescent girl's (repressed) sexual impulse be the most logical cause of the haunting at Hundreds Hall, the doctors' explanation of Betty's untapped sexual currents hardly differs from how Victorians linked female sexuality with mental instability and illness, perceiving the female body as something potentially dangerous:

'And don't they even have some teenage housemaid out there, too? [...]
'They do. She's the one who got them all thinking about spooks in the first place.'
'Is that right? And how old is she? Fourteen? Fifteen? Doesn't get much chance to flirt with the boys, I imagine, stuck out there.' [...]
'Well, the sexual impulse is the darkest of all, and has to emerge somewhere. It's like an electric current; it has a tendency, you know, to find its own conductors. But if it goes untapped—well, then it's a rather dangerous energy.' (Waters 2009: 488-9)

The fourteen-year-old Betty thus makes a perfect tool for Dr Faraday who easily manages to invalidate the girl's credibility and status as a rationally-thinking human being, and, consequently, abrogating her as a witness to the events at Hundreds Hall. So, given not only her status as a maid but also as an "ambiguous" (Hurley 1996: 5) and monstrous figure, it comes as no surprise that Betty's testimony is dismissed by the court judges as a "grotesque little story" (Waters 2009, 485), whereas the doctor's version is taken as the plain truth: as Faraday notes, his "clear direction" leaves the jury with only "little to debate" and they return "with the expected verdict" (Waters 2009: 492)

3. Conclusion: Revision and Redemption through Reverse Psychology

On a surface level, *The Little Stranger* seems to confirm what so many nineteenth-century narratives suggested: that the monstrous woman is doomed. Indeed, the female characters' fate apparently follows the traditional pattern of the Victorian Female Gothic: like many a monstrous woman before her, the spinster's death is her punishment for attempting to flee or transgress; her troubled mother, like-wise, goes crazy and ends up dead; the housemaid's grotesque testimony is completely nullified. Yet, it is crucial to be aware that we are, in fact,

looking through the lens of Dr Faraday here. And this is where Waters's strategy of reverse psychology proves its force. Not realising to what extent we are manipulated by the narrator, Waters makes the reader share Faraday's vision throughout the larger part of the novel. Consequently, when we do start to question the narrator, we are forced to ask *ourselves* a number of questions, such as why we so willingly accept the view of Dr Faraday? Is it because he is the narrator? or because he is a doctor? Whatever might be the answer, we must admit that, like the characters within the narrative, we quite uncritically accept the reality Faraday presents to us, taking for granted that the doctor's story is (as good as) truthful. Waters's project of re-vision is, in this sense, both very subtle and complex. Although she does not redeem, as such, the figure of the monstrous female, she does revise and, between the lines, re-writes her story. In *The Little Stranger* Waters thus offers a new angle on female monstrosity and the mechanisms involved in the disempowerment of Woman. By laying bare the (sometimes fatal) consequences of abrogating, silencing, burring the female voices/narratives, *The Little Stranger* suggests that the monstrous-feminine will survive as long as women are pathologised by the medical discourse, gazed at from, and silenced by, the male perspective. However, the novel not only challenges its readers to think about the role of "the male gaze and its objectifying and dehumanising discourses" (Heilmann and Llewellyn 2010, 140), but also about our own role, as readers, consumers and patients, in terms of accepting and perpetuating the discourses that describe women as pathological, abnormal and monstrous.

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Source of Trauma in Cynthia Ozick's *The Shawl* and *The Messiah of Stockholm*: A Comparative Analysis

Silvia Marcinová
Pavol Jozef Šafárik University, Košice, Slovakia
Universidad de Jaén, Jaén, España
marcinova.silvia@gmail.com

Abstract

The short story “The Shawl,” its sequel novelette *Rosa*, as well as the thematically separate novel *The Messiah of Stockholm*, written by an American born author of Jewish background, are fiction works directly dealing with the effects of Holocaust trauma. Psychological insights into the main characters and their deeply traumatized psyches are the key motifs of both works. Both novels focus on the topic of Post-Holocaust suffering as the central subject matter of both works. However, both of them approach this topic from a different angle. My thesis is that *Rosa* represents sufferers of direct Holocaust trauma whereas *Lars* represents sufferers of transmitted Holocaust trauma. The article focuses on the sources of trauma in both characters, how this trauma is represented and how it is overcome by both sufferers. The article uses the theoretical background of trauma studies for research.

Keywords: Holocaust trauma, transmitted trauma, PTSD

1. Introduction

The main characters of both novels Rosa Lublin and Lars Andemening are the main subjects for the comparative analysis. They are central characters to both novels and the subject of trauma concerns their destinies. The source of trauma for both characters is different and essential to be contrasted. Rosa is herself a Holocaust survivor; she has undergone the life-threatening difficulties of the camp and was liberated at the end of the horrors of war. She fled to US where her life goes on, but her healthy perception and enjoyment of life is blocked by strong symptoms of PTSD.

The novel *The Shawl* (in which two separate writings are comprised: the short story “The Shawl” and the sequel novelette *Rosa*) describes causes for Rosa's trauma and later how this trauma influenced her life. In the first narrative we see her as a self-sacrificing mother determined to protect her baby in a concentration camp. No loss of Rosa's family is mentioned here, but the story focuses and describes a present loss – the murder of Rosa's baby. This loss becomes the main motive in the novel later. The second part shows us the main character about forty years later, but still fighting with the psychical wounds of the Holocaust. Lars Andemening is not a Holocaust survivor, but he has grown up as an orphan due to Holocaust and his suffering is centered around deprivation of parental care all his life.

2. Sources of trauma

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The source of trauma in Lars Andemening's life is rather vague compared to Rosa's elaborately described background. We know that he was approximately born during the war. His father was shot in the Polish ghetto even before he was born. On the other hand, he has never known even his mother: "Lars has never learned his mother's name, but his father has become his craze" (1987: 4). Thus Lars' trauma is completely different from Rosa's. It consists of not knowing his both parents due to Holocaust rather than the Holocaust itself. It had an indirect consequence in his life. This way Lars is an example of a transmitted trauma sufferer.

We can say that the main characters of both novels are figuring the prototypical models of direct and indirect victims of Holocaust. Rosa is a camp survivor and her traumas are triggered by direct events she experienced. Lars is not a direct survivor, he is an offspring of refugees and he bears symptoms of transmitted trauma. Lars seems to be the victim of trans-generationally transmitted trauma because his trauma does not stem from direct parent – child relationship, but it is conditioned by general transmission.

Kellermann describes four aspects which are affected by transmission of trauma: issues with re-traumatized person's 'self' (self-esteem issues and identity problems), cognition of the affected person, affectivity (marks how much the particular child is affected by the parents' trauma) and interpersonal functioning (2009:74 – 78). Out of these, the identity problems are most visibly realized in Lars' life. His search for a father is a hidden search for his own identity. Not knowing the identity of his parents has marked him by a virtual absence of his own identity. However Lars had his own direct traumas as well. They consisted of other sources, namely of his divorce and personal failures.

Rosa being a primary trauma sufferer, she bears all the characteristics of survivor guilt, whereas this feeling of guilt is not presented in Lars' perception. This guilt was represented in the novel when Rosa demolished the life she built after the war in form of destroying her antiquity shop in New York: "The power to smash her own. A kind of suicide. She had murdered her own store with her own hands" (1980: 46). The words "kind of suicide" allude to the masochistic self-destroying tendencies that are common for survivors right due to the mentioned guilt. Survivor guilt was reported in 1968 by Nederland when describing the survivor syndrome in which "chronic depressive states occur" and they "cover a spectrum of conditions from masochistic character changes to psychotic depression" (Leys 2007: 31). This guilt is a subconscious identification with the aggressor, knowing that this behavior is the only means of escape from the fate. Even if Rosa did not identify with her aggressors in the camp openly, her identification broke into surface by turning against herself and her property. In the context of Holocaust the pattern of survivor guilt can be illustrated by the formula: "I live – they died, i.e. *they* unconsciously were sacrificed by *me*" (Nederland in Leys, 2007: 40). Rosa sacrificed her own child so that she could live. Therefore Rosa sacrificed her own life for post-traumatic suffering due to unbridgeable guilt from surviving.

Rosa justified her deed of rage by talking about the visitors coming into the store and about how indifferent towards the burdens of her past they were. They did not want to listen to her story about the toughness of life in the camp. This detail is very important because it

indicates that she was trying to work through the past by sharing her story, but she could not find a listening ear. This marks another sign of an experience being traumatizing, i.e. the unspeakable nature of memories. Menyhért (2008: 8-11) points out the fact that silence is accompanying trauma, from the point of view of the sufferer. The inability to express feelings and report on the events clearly is caused by the fragmented nature of trauma. In the victim's mind, traumatic events cannot be processed as a coherent event, general timeline of what happened scatters into a mass of unprocessed stimuli and images sustained in subconscious. Rosa had difficulties to express her memories in a coherent way even though she yearned to talk about her trauma after several years of silence and unspeakability.

Similar thing is experienced with Lars' longing for a listener. In fact, being a reviewer only points to the fact that he needs to express ideas, he needs readers and listeners. In the bookshop he tried to tell his story about being a refugee to Heidi, but she refused to listen: "Why do tell me these things? Why should I want to know? You think you're the only one with a story? Stockholm is full of refugees! All my customers are refugees! Professors! Intellectuals! I have my own story!" (1987: 24). This reminds us of Rosa's situation in her antiquity shop. But the reasons why nobody wanted to listen were different. Listeners in Rosa's story were indifferent because they just did not care. They were born on a different continent into a different society and they did not have an idea of the Holocaust. On the other hand, listeners in Lars' story restrained themselves from being helpful in listening to Lars' traumas because they were traumatized themselves. Thus the indifference in both stories stems from two contrasting sources: indifference due to unconcern and indifference due to overabundance with the issue.

3. Trauma and obsession

One more connecting point between Rosa's and Lars' traumas can be found. Both of them nourish obsessive relationships to deceased relatives. Also, both of them manifest their imaginary relationships through objects connecting them to the real persons. In Rosa's case it is Magda's shawl and in Lars' case it's the lost manuscript of his father. In both cases these objects give the name to the story (*Messiah* is the name of the lost book Lars is desperately searching for) and thus they become the force which holds the elements together.

The shawl in fact is the only tangible item that connects Rosa to her daughter. Little Magda was wrapped into the shawl and it represented her death - "Rosa knew Magda was going to die very soon; she should have been dead already. But she had been buried away deep inside the magic shawl" (1980: 6). Choosing the word 'buried' is not a coincidence. This metaphor expresses the child's death, no prospects for future and no hope. The shawl represents the object through which Rosa sacrificed Magda and this object reminds Rosa of her guilt throughout the rest of her life.

Lars, compared to Rosa is clinging to a completely fictitious object. Lars' search for his father's writings is marked by detachment from reality. He is not searching for something that really existed, he cannot be sure. In fact he is hoping to find something that he was only convinced that it would exist. The book *Messiah* was never published and one cannot be sure whether it really existed or is only the object of Lars' delusions. The fabled background of the pursued object emphasizes Lars' obsession.

The authenticity of Lars' father's identity is questioned throughout the story too. One is never assured whether the writer is really his father, or it is only one of his delusions. When Lars presents the facts upon which he grounds his assumptions, it becomes obvious that they are only his mind's persistent false beliefs: "No, you can see the resemblance. All those photos ... photos in books (1987: 25). He based his assumptions purely on physical

resemblance to the author's photograph he saw on the published books. Lars needed a true relative so much that by he created one in his own mind and pathologically stuck to it.

4. The Culminations of the Traumas

Rosa's imagination culminates when Rosa calls Stella and wraps the receiver into the shawl, imagining a baby. What happens in the last section of the novelette could be marked as *cathartic-abreactive cure*, to use Leys' terminology (2000: 14). In her desperate hunt for something she has lost and in Magda's imagined presence Rosa goes through a catharsis. The end of the novel is considered a solution because it indicates that these compulsive images of Magda being alive disappear. The end of the novel indicates that Rosa wakes up in reality.

The culmination of Lars' story is described more in detail in the novel. Lars' healing starts in the point when he encounters Adela, his supposed sister who came into his life to distort his imagined world. Once he faced the manuscript, once it was there in front of him in a tangible form, his own set of imaginations started to fade away. Surprisingly the existence of the manuscript did not bind him to his father even more, but he was freed from its power. Lars was now free from his imagination. Thus he acted contradicting his former self by pronouncing the manuscript a forgery and set it to fire. By destroying the writing he liberated himself from the fake reality. This act marked the turning point in his beliefs. From then on he believed that the manuscript was made up by Dr. Eklund, Adela being his daughter and the writing waiting to be given a quality review by a recognized reviewer.

5. Conclusion

The central objects and main motives of the novels (the *shawl* and the *Messiah*) are key concepts for interpretation. Both of them are the objects to which both main characters are fatally attached. Concerning the shawl, Ozick herself denied any specific intention and confirmed that there was no metaphoric reason why this object was chosen as the central motive. She wrote about a simple shawl, with no religious connotations, an object in which the baby was wrapped and that is why it was glorified by Rosa. A shawl is just a random object, nothing more (Ozick qtd. on The Big Read website).

The *Messiah* itself is a word with a special religious meaning. In the context of this novel, the *Messiah* bears various hidden meanings. Lars was waiting for a Messiah that never came, i.e. when it came, he did not believe it was real. This reflects the Christian way of viewing the Jewish point of view of the Messiah's arrival. Lars destroyed the *Messiah* when it came to him, he did not want to accept it. The image of burning the *Messiah* evokes internal connection with the Holocaust: "You finished it off. Cremated. It's gone. The very one. The only one. It was what it was" (1987: 141). By using the word 'cremated', the connection with the Holocaust is unmistakable. The *Messiah* was destroyed the same way as the essence of the Jewish nation in the labor camps. Even Christ's death was used as a justification for the Nazis for solving the Jewish question the way it was solved. The revenge for the Christs' death was given as the reason why Jews deserved the fate they were given and even nowadays we can hear hidden voices that repeat this justification.

However, it is unimaginable that Ozick would agree with such a justification. Rather, burning of the *Messiah* can be taken as a metaphor for killing all the Jews. Nazis in the name of Christianity have killed millions of Jews in the name of taking revenge. But Jesus himself was a Jew and could burn in one of the crematoria if he was born later. Did Christians put a revenge on Jews by doing this or did they lose the Messiah in fact? The ability to forgive should be one of the basic attributes of a Christian and by not being able to forgive, the initiators of the Holocaust have given up the very basis of their Christian nature. In fact,

together with the Shoah all the Christians that have allowed it to happen have burnt the *Messiah* within them. Just the way Lars burnt the object in which he has seen the meaning of his life for many years.

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Sweeney Todd: Adapting a Victorian Urban Legend

Juan José Martín González
University of Málaga
jmargon7@gmail.com

Abstract

This paper is aimed at examining two neo-Victorian adaptations of the legend of Sweeney Todd: Stephen Sondheim's *Sweeney Todd. The Demon Barber of Fleet Street. A Musical Thriller* (1979) and Tim Burton's *Sweeney Todd, the Demon Barber of Fleet Street* (2007). Firstly, taking the analytical tenets of Adaptation theories as a point of departure, I will consider the medium-specific features of theatre and cinema that come out in the play and the film referred above respectively. Secondly, I will look into how violence is portrayed in each adaptation and I will peruse the social-political resonances of the legend in general by tracing briefly its adaptation evolution from the nineteenth century up to nowadays.

Keywords: Sweeney Todd, violence, Sondheim, Burton

1. Introduction

Modern Fleet Street, set in central London, was the printing home both of British earliest tabloids as well as cheap sensation fiction in Victorian times (Sligo 2011: no pages; Springhall 1994: 568). This geographical spot hosts the legend of the sanguinary Sweeney Todd, the eerie tale of the barber who cut his customers' throats to be manufactured later into meat pies by Mrs. Lovett in her pie-shop, and that has become a landmark in London urban mythology. Just as the buildings of Fleet Street were devoted both to the publication of fact (newspapers) and fiction (serial novels), the tale of the demon barber has been historically enclosed in a halo of uncertainty between history and myth.

Although perusing factual episodes contributing to the legendary status of Sweeney Todd would be an arduous albeit fascinating task, the focus of this paper is, however, the artistic adaptation of the legend. The anonymous text *The String of Pearls* (1846-47) is the earliest appearance of the legend in British literature. This Victorian text was inserted within a literary mode known as penny bloods, fiction for the working classes which were critically disregarded at the time as very low literature, and dealt with sensational topics, madness, crime, the underworld, the gothic and the supernatural. Nevertheless, this paper focuses on two neo-Victorian adaptations of the legend.¹ On the one hand, I will look into Stephen Sondheim's stage musical *Sweeney Todd. The Demon Barber of Fleet Street. A Musical Thriller* (1979), which premiered in Broadway achieving a great critical success and a moderate spectatorship attendance. On the other hand, I will analyse Tim Burton's film adaptation *Sweeney Todd. The Demon Barber of Fleet Street* (2007), a film which invigorated

¹Neo-Victorianism is a currently-expanding cultural phenomenon characterized by a renewed fascination with the nineteenth century, which is fertilizing contemporary literature and cinema, as well as uneven fields such as architecture or fashion.

the legend from its dormant stage in the wake of the phenomenon of neo-Victorianism. Although this selection is only the tip of the iceberg of a long and prolific adaptation history of the legend, it is however a chance to analyse both how violence is portrayed in media and the socio-political traces inherent to the legend.

2. Meat Pies on Broadway: Stephen Sondheim's Sweeney Todd: The Demon Barber of Fleet Street. A Musical Thriller (1979)

Sondheim's Broadway musical consisted of an adaptation of Christopher Bond's previous play *Sweeney Todd: The Demon Barber of Fleet Street* (1979).² Bond's play is remarkable in the sense that it includes a revenge plot: Todd, after years of deportation on a false charge, comes back to take revenge on Judge Turpin, who raped Mrs. Todd and took Johanna, Todd's daughter, as a ward. It is not surprising that Sondheim paid attention to a story about Victorian outcasts since he has always been "attracted to characters . . . who express, among other feelings, a frustration with, or even contempt for, mainstream society" (Lovensheimer 2008: 206).

The opening of the musical is revealing: a huge white curtain hangs in front of the audience, showing a reproduction of George Cruikshank's *The British Beehive* (1867) which displays from top to bottom Queen Victoria as the queen bee and all the classes ending with the working collective (Citron 2001: 247). Suddenly the curtain is violently dropped to reveal an industrial setting and the whole Chorus on stage. The tearing-down of the beehive signals the play's deepest meaning: a challenge to the traditional social structure by means of violent actions. All members of the Chorus wear costumes proper of working classes. A character states that "[Todd] trod a path that few have trod", implying that Todd dares to do what few low class members dare: employing force to collapse the higher classes' hegemony. The Chorus encourages Sweeney in his violent actions, singing "Swing your razor wide, Sweeney! Hold it to the skies!" Chorus' members look constantly at the audience, disturbingly promoting us to celebrate the spill of blood. Not in vain, the Chorus's intervention is re-enacted every time the barber makes a further step in his gyre of violence, singing similar lines as the ones quoted above.

The scenery backcloth shows an industrial harbour, trading ships, factories and smoking chimneys superimposed by metallic frameworks. Stephen Citron reports that "an unused Rhode Island iron foundry [was reconstructed] to resemble the play's mid-Victorian factory setting" (Citron 2001: 245). The theatrical machinery and the skeletons of the metallic footbridges are left bare probably on purpose, which together with the moving iron-stairs and walkways were intended for sure to invoke Industrialism imagery. Metallurgical structures and the shadows projected by them turn the theatrical space in a sort of cage, hinting the oppression to which Victorian individuals were subdued in the mechanical roar of Industrialism. The quick rhythm with which performers move props and sceneries to transport us to different places of Victorian London reflects equally in some way the hasty rhythm of Victorian Industrial Britain.

Among the numerous songs composed for the musical, some are rather remarkable for the analysis of violence in the story. A particularly interesting number is "My friends" in which Todd dedicates a song to his razors. By devoting a musical apostrophe to his deadly

² The original version of the Broadway musical premiered in 1979, with Len Cariou and Angela Lansbury in the leading roles. Nevertheless, for the making of this paper I have used a recorded version of a stage production whilst on tour in Los Angeles in 1982, edited in DVD (2008) and with George Hearn and Angela Lansbury in the leading roles.

sharp weapons Todd elevates violence to the level of art. His rapturous and tender addressing to the razors, to which he often caresses affectionately “as if he were pouring out his heart to a lover” (Kimball 1991: xxxv), suggests his total surrender to violence as the axiom of his behaviour.

A turning point in the play is the episode “Epiphany”, which marks the beginning of the destructive cycle of horror. In this scene Judge Turpin escapes Todd’s razor when Anthony, Todd’s sea-companion, bursts into the shaving parlour. The barber, having lost the chance to avenge his family, goes completely mad as it is suggested in the furious music underscoring him. Todd has just crossed the threshold between sympathetic avenger and hideous murderer, and has expanded his vengeful drives towards the whole humanity, stating boldly that “we all deserve to die.” In the Chorus’ final number, characters transfer Sweeney’s revengeful drives from the stage to the audience, crying “Sweeney!” and pointing alternatively to different places of the theatre-hall. The Chorus hints the possibility of potential ‘Sweeneys’ among all those present spectators by taking the most of theatre-going as a social act and rendering violence as a natural impulse in human behaviour.

Lovett, wonderfully performed by Angela Lansbury, joins happily the horror circus initiated by Todd when she sees the chance to bring fresh air to her business. Their partnership in the manufacture of cannibalistic pies is established in the funniest number of the show, “Have a Little Priest” when the barber and the baker let their imagination run wild in guessing how different collectives would taste if made into pies. The candidates suggested as suitable stuffing for the pastries belong, not surprisingly, to powerful classes: priest, bishop, lawyer, politician, and so on. Todd and Lovett are resolute to challenge the usual position of society in that now “those above will serve those down below!” That is, now it is the turn for lower classes to abuse, squeeze, and exploit the upper classes in their revenge against capitalism. The evils of a society consuming itself in the ferocity of capitalism are reflected in the song “City of Fire” performed by the beggar-woman and Todd’s wife, while she observes the ominous smoke whirling from Lovett’s chimney. The beggar-woman, before being killed by Todd, has time to expose the depravation of an industrial city destroying itself in the fire of its own excesses and consumption, making evident the repulsive gluttony of Lovett’s customers who cry non-stop “More hot pies!”

3. Revitalizing the legend: Tim Burton’s *Sweeney Todd. The Demon Barber of Fleet Street* (2007)

The sadistic resonances of the legend were taken to its most extreme limits by the American director Tim Burton, whose interest in the monstrous side of human nature and in nightmarish/gothic landscapes is exemplified in works such as *Beetlejuice* (1988), *Edward Scissorhands* (1990) or *Sleepy Hollow* (1999). His celebrated adaptation of Sondheim’s musical revitalized the legend and brought it to the fore within the neo-Victorian paradigm. Above all, Burton’s stage-screen transposition meant releasing the legend from spatial constrictions in a theatre-building. Burton’s camera accesses every corner of Todd/Lovett’s terrifying industrial building, including the cellar and the sewers. By means of CGI effects, the camera creeps over the tumbledown roofs of Fleet Street, the dirty and rat-infected alleys, and the sooty and foggy atmosphere of Victorian London, rendering a sublimely phantasmagorical view. The sets are claimed to be “influenced by Victorian paintings . . . of William Frith . . . Atkinson Grimshaw and Whistler” (French 2008: no pages).

Screen musicals’ detractors often mention the inherent artificiality of performers bursting into singing. Certainly the artificial stage-space allows the inclusion of certain features which do not operate properly in the realistic territory of cinema. In a search for realism, the figure of the Chorus is dropped on screen. Therefore only characters within the

story sing. Additionally, Johnny Depp and Helena Bonham Carter, performing Todd and Lovett respectively, space out their singing performance from the operatic style adopted in the Broadway musical, employing “hushed, “indoor” voices that blend almost seamlessly with the spoken dialogue” (Patrick 2010: 206), and minimizing the artificiality of musical conventions. Naturalization strategies are perceived also when comparing Bonham Carter’s contained performance and Lansbury’s histrionic Broadway-like acting. A third naturalization mechanism is inserting the performance of a given song within a frame where artifice is allowed. Such technique is used after Judge Turpin escapes Todd’s razor. Todd drives totally mad and his performance of “Epiphany” starts but only in his mind, where breaking into singing is more permissible.

Burton also distances the film from Broadway by cannibalizing traces of melodrama and emphasizing the most brutal aspects of the story. In the original penny-blood and in Sondheim’s play, Anthony and Johanna are reunited in the ending and a happy future is suggested for them. In Burton’s film, however, the lovers are abandoned before the climax and no more is known of them. Johanna’s melodramatic performance of “Green Finch and Linnet Bird” is equally darkened by Burton by showing Judge Turpin spying voyeuristically the young Johanna through a hole in the wall, raising concerns of child abuse in modern spectatorship. Burton is appealing to blood-avid twenty-first century audiences who would not accept readily an over-presence of melodramatic traces.

Todd and Lovett will not hesitate in dynamiting the social order in order to punish capitalist society. Again during the “Have a Little Priest” scene, they carefully select human stuffing for their pies while they prey on the different high classes from behind the window. Their statuses as outsiders allow them to see without being seen and concede them a panoptic power over a hasty society which focuses on economic benefits rather than on the welfare of its members. Todd and Lovett seal their bloody commitment with a grotesque carnival waltz which acts as a portent of the end of their commercial alliance, also marked by a waltz at the end when Lovett is thrown to the scorching oven. The scene “Epiphany” sets the turning point again. After claiming that “we all deserve to die”, he walks the gloomy streets, pointing with his razor alternatively to anonymous men who do not seem to hear him. Todd lifts his razors while rows of citizens walk by unshaken, mimicking assembly lines in the never-ending mechanization of society, of which Todd escapes by adopting a spectral and imperceptible status.

The graphic killings executed by Todd illustrate his lethal absentmindedness in which he vows revenge to the whole society. The artificially blood, unrealistically sprayed from the victims’ necks, seem aimed at reflecting the protagonist’s mental expurgation and revengeful insanity. The bodies falling headfirst through down the hole to the sanguinary cellar epitomize graphically their demotion in the social scale from the upper to the lowest and dirtiest plane. Todd frequently kills his victims while softly singing “Johanna” in lament for her lost daughter. Burton juxtaposes Todd’s roles as a ruthless murderer and loving father, collapsing our preconceived image of a murderer and aestheticising violence. In the end Todd is killed with his own razor by Toby, his apprentice, who simply turns round, and the audience cannot help but expect him to have a ‘successful’ criminal career.

4. Conclusion

The disengagement of fictional violence and actual violence seems to be at the heart of the artistic pervasiveness of the legend of Sweeney Todd. Whereas repulsion or rejection is the only commonsensical response to violence on real life, bloodshed on art enjoys a greater freedom despite critical voices. Artistic brutality is a dexterous enough construct as to be intermingled with social commentary, or even with shockingly opposite concepts such as

humour. Suffice it to highlight the social criticism prevalent in the legend in all its manifestations or the crucial role of carnivalesque and dark humour in Sondheim's musical (1979) and Burton's film (2007).

Poore and Jones assign to the legend a "Marx-derived economic determinism" (Poore and Jones 2008: 4), or how the social and economic forces corrupt and deprave the individual. Following this, an enduring subtext in the legend is the reproduction of Todd and Lovett's deeds as a social/class revenge against capitalism and the high spheres of power. Todd and Lovett feature themselves as anarchist forces, setting their criminal alliance above good and evil and beyond authority domains, which are considered unfair. In this sense it is worth recalling Friedrich Engels's words in his portrayal of capitalism as a body that "creates want, wretchedness, and crime" (Engels 2001: 216).

A latent discourse of the legend has been to mirror the disquietude sparked by the ever-expanding London metropolis and its dark corners. Despite the panoptical control exercised by authorities, the architectural complexity of the metropolis turns the urban experience in a hazardous trip with potentially disastrous outcomes for human integrity. A wide variety of urban legends sprang up as a result of postindustrial society. Sally Powell hints the eighteenth and nineteenth centuries as the point of departure for legends about the trade of corpses and the figure of the body-snatcher (Powell 2007: 46) and stories of food adulteration (Powell 2007: 49). Since then, urban legends about bodily aggression and dubious food quality, including involuntarily extirpated kidneys or rodent teeth in restaurants' dishes, have become plentiful in the contemporary imagination. The cannibalistic process by which Todd's victims are commercialized also metaphorically evokes the power of the city to reshape citizens into anonymous individuals and the ferocity of capitalism to drag citizens into consumerism, or "our own potential complicity as consumers of mass-produced goods" (Patrick 2010: 211).

Although the original penny-blood was as much a melodrama as a horror story, through a process of textual cannibalism, the legend of Sweeney Todd has crystallised in the contemporary imagination basically as a horror tale. This transition illustrates a cryptic puzzle within art history: how can we feel artistically attracted to what terrorises or torments us. This question, illustrated as "the paradox of horror" (Carroll 1990: 160) has been given manifold answers. Noël Carroll suggests the seductive power of the monstrous entity as a possible explanation for the horror appeal (Carroll 1990: 168) as well as appropriates the theories of psychoanalysis to categorize fascination with horror as an outlet for traumas or repressed psychosexual desires (Carroll 1990: 172). Indeed, from a psychoanalytical viewpoint, Todd materializes human beings' darkest and bloodiest side, carrying out actions that rational beings would not dare to accomplish. Revealingly one of the reasons suggested for the vitality of the legend in contemporary culture is a current widespread disappointment with the functioning of modern law implementation (Poore and Jones 2008: 3). Accordingly, following Todd and Lovett in their gory misdeeds provides the receptors a temporary exorcism of their frustrations, worries and rages.

The ongoing and cross-temporal fascination with the legend of Sweeney Todd can be allied to its versatility. On the one hand, the emergence of Sweeney Todd as one of the pioneer urban legends in Europe informs about concerns of massive significance in the Western world such as capitalism, consumption, or industrialism. On the other hand, the legend materialized from its very roots as a vehicle for mirroring the strained communion between factual and fictional horror as well as the changing perceptions and responses towards violence and criminality throughout history. It is certainly the fluctuating trait of Sweeney Todd between criminal and victim, between ruthless murderer and social/tragic avenger, what augurs for the legend an enduring stance in the horror gallery of British urban mythology.

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Censura legal en la literatura inglesa. El caso de D. H. Lawrence

Carmelo Medina Casado
Universidad de Jaén
cmedina@ujaen.es

Abstract

Historically censorship in English Literature is closely connected to the legal normative approved by its Parliament. This presentation will refer to these laws and to the institutions responsible for its implementation from Henry VIII until present times. D. H. Lawrence's case and the legal prosecution that his poems, novels and pictures went through will be emphasized. The main English Acts and Police and Official Institutions' internal files related to censorship will be quoted.

Keywords: Legal Censorship; D. H. Lawrence; Contemporary English Literature

Fue durante el reinado de Henry VIII cuando el Parlamento consideró, en 1534, que era posible cometer delito de traición "by words or writing". Cuatro años después se crearía un organismo encargado de otorgar licencia para publicar, "The Privy Council". Desde 1545 el "Master of the Revels" sería el representante real que otorgaba la autorización de representación de obras teatrales. Durante el reinado de Elizabeth I se aprueba *The Censorship Ordinance of 1559* que establecía la censura de las publicaciones y obras de teatro que se refirieran al rey o a la religión. En 1579, Elizabeth I quiere que ejecuten a Stubbe, un autor al que acusa de felonía en sus escritos; sin embargo, un jurado lo condenan a un castigo menor, perder su mano, aplicándole una norma del siglo XIII.

Una de las leyes más citadas acerca del origen de la censura legal corresponde a James I (James VI of Scotland), *An Act to retrain the abuses of Players* que comienza señalando que la ley es: "For preventing and avoiding of the great abuse of the Holy Name of God in stage-plays, interludes, may-games, shows, and such like." La pena por referirse de forma irreverente o utilizar "the Holy name of God, or of Christ Jesus, or the Holy Gost, or the Trinity" era de 10 libras, una enorme suma en esos años, esta sería dividida en dos partes: "the one moiety thereof to the king's majesty, his heirs and successors." El que se considere hecho punible las referencias "blasfemas" o de contenido religioso, daba vía libre a la interpretación de los afectados (clérigos y gente del entorno religioso) y por extensión a las autoridades locales, a la vez que era una manera segura de incrementar las arcas reales.

El creciente poder del teatro desde finales del siglo dieciséis entre la gente de la ciudad, la creación de teatros estables y el surgimiento de autores teatrales que contaban con poderosos mecenazgos entre la nobleza, provocarían que esos primeros esfuerzos legales no fuesen suficiente. En 1642 se establece la figura del Lord Chamberlain como censor teatral oficial. La siguiente medida, después de intentar controlar el teatro mediante leyes y representantes reales para vigilar su cumplimiento, sería prohibir estos espectáculos y cerrar teatros. Esta medida que se tomaría en 1642 por orden del Parlamento dominado en esas fechas por los puritanos. Estos no se reabrirán hasta 1660 con la restauración del rey Charles II. Poco a poco el género dominante entonces, la comedia, se convertiría en una forma frecuente de criticar la corrupción de los poderes públicos.

Habría nueva normativa para tratar de ejercer control sobre teatros y otras actividades públicas, como *An Act for reducing the Laws relating to Rogues, Vagabonds, flurdy Beggards, and Vagrants, into one Act of Parliament* ... aprobada en el Parlamento en 1714 durante el

reinado de Queen Anne; “Rogues, vagabonds” y adjetivos similares era la forma de denominar a los actores ambulantes. Pero no fue hasta 1737 cuando la *The Stage Licencing Act* concedió poderes a Lord Chamberlain para ejercer control sobre todas las obras que se estrenaban en Inglaterra siendo su decisión inapelable. El precedente inmediato de esta decisión hay que buscarlo en la crítica mordaz que, durante el reinado de George II, Henry Fielding hacía del Primer Ministro Robert Walpole, a quien acusaba de corrupción. En esos años hay dos importantes leyes relacionadas con la censura que estarán vigentes hasta mediados del siglo diecinueve: *An Act for the more effectual preventing the unlawful playing of Interludes within the Precincts of the Two Universities, in that Part of Great Britain called England, and the Places adjacent ...*, y *An Act to explain and amend to much of an Act made in the Twelfth Year of Queen Anne ...*, citada anteriormente; ambas leyes se aprobaron en 1736. La primera se refiere a las universidades de Oxford y Cambridge y hace un recorrido por leyes anteriores sobre este tema aprobadas en los reinados de Edward VI, Charles II, William III y Queen Anne; la segunda amplía los poderes de Lord Chamberlain y sanciona la identificación de “vagos y vagabundos” con la de actores. La multa a imponer a los infractores se eleva a cincuenta libras además de la pérdida de la licencia para actuar, y exige que se entregue al Lord censor una copia de las obras antiguas modificadas y de las nuevas.

Durante el siglo diecinueve, el período Victoriano se caracterizaría por su celo para regular el comportamiento moral de sus súbditos con normas estrictas en cuanto a su comportamiento en público. Durante estos años se publicarían leyes muy relevantes para aplicar la censura que afectarían en el siglo veinte a importantes autores. Cito las más importantes: *The Theatre Regulation Act of 1843*, *The Libel Act of 1843*, *The Obscene Publications Act of 1857*, también conocida como “Lord Cambell’s Act” ya que fue pergeñada por él como Lord Chief Justice, *The Customs Consolidation Act of 1876*, *The Post Office (Parcels) Act of 1882* y *The Post Office Act of 1908*.

Antes de continuar es interesante señalar que se pueden consultar las carpetas con los informes de la oficina de Lord Chamberlain desde 1901 a 1968, año en que se abolió su figura. Estos archivos con documentación perteneciente a Lord Chamberlain permanecieron “secretos” o cerrados al público hasta 1991, en ellos se resumen el contenido de las obras sometidas a su aprobación, subrayando palabras y añadiendo comentarios. Los años que incluyen esta documentación fueron unos años muy interesantes desde el punto de vista literario, ya que la censura actuaría con gran intensidad. A la labor vigilante de Lord Chamberlain hay que añadir las actuaciones de la policía y de la oficina del Director of Public Prosecution, que mostraron una diligencia digna de mejor causa contra autores como James Joyce, D. H. Lawrence, Ezra Pound, por mencionar sólo algunos de los más conocidos autores víctimas del celo censor, o contra manifestaciones artísticas como la exposición de Manet o la de los Post Impresionistas en Grafton Gallery.

En esas fechas, la primera mitad del siglo veinte, proporcionalmente fue más frecuente la actividad de los censores que en los siglos precedentes. El mismo gobierno Liberal del Primer Ministro H. H. Asquith, 1908-1916, ignoró una recomendación del Parlamento para que la literatura se librara de la acusación de obscenidad, a pesar de su buena relación con el mundo de la cultura. Rupert Brooke, autor de “The Soldier”, sería tratado por el médico personal de Asquith cuando volvió para recuperarse del frente durante la Gran Guerra, también el mismo Lawrence recurriría a él a través de sus hijos con los que mantuvo una correspondencia fluida, especialmente con Lady Cynthia Asquith y Herbert Asquith (ver Huxley 1932).

En la segunda mitad del siglo veinte tendría lugar un movimiento legislativo favorable a cambiar la normativa existente, con fuerte apoyo de asociaciones culturales, editores y escritores que abogaban por mayor libertad de expresión en el campo de la literatura. Para ello la obra literaria debía desvincularse la obra literaria del concepto de pornografía y se revisó el

concepto de obscenidad utilizado por los censores basado en la definición que en 1868 ofreció Lord Chief Justice Cockburn en el caso “Regina v. Hicklin”: “I think the test of obscenity is this, whether the tendency of the matter charged as obscenity is to deprave and corrupt those whose minds are open to such immoral influences, and into whose hands a publication of this sort may fall” (Cockburn 1868: 371) Esta definición será corregida en una nueva ley aprobada en el Parlamento en 1959, *Obscene Publication Act*, que sanciona en su artículo primero que el texto debe ser considerado en su totalidad, “for the purposes of this Act an article shall be deemed to be obscene if its effect ... if taken as a whole ...”. El resto de los artículos de la ley ofrecen nuevos derechos a editores y autores, añadiéndose en el cuarto que un libro no sería prohibido si era “in the interests of science, literature, art or learning, or other objects of general concern”. Otras leyes que aprobó el Parlamento en esas fechas relacionadas con la censura legal de una obra literaria fueron: *Sexual Offences Act*, 1956 y *Theatres Act*, 1968, en esta última ley desaparecería la figura de Lord Chamberlain que desde 1642 había actuado como censor teatral.

Aunque fueron muchos los autores que vieron perseguida su obra aplicando la mencionada normativa, sólo vamos a detenernos brevemente en D. H. Lawrence cuyas novelas, poesía y obra pictórica serían víctimas de la censura legal. Incluso su vida personal se vería afectada de una vigilancia especial por parte de la policía durante la primera Guerra Mundial, debida en parte por el origen alemán de su mujer Frieda. De una u otra forma, gran parte de su obra sufrió el rigor de la censura. A veces fue el mismo editor quien le exigiría cambiar algún párrafo o parte del contenido de una novela para publicarla, ya que de acuerdo con la ley el editor e incluso el tipógrafo eran responsables de la obra que publicaban. Los casos más señalados de prohibición legal fueron sus novelas *The Rainbow* y *Lady Chatterley's Lover*.

The Rainbow sería legalmente prohibida en 1915; una novela que F. R. Leavis consideró “a study of contemporary civilization ... when he proposed a deep and sustained study of related individual lives” (Leavis 1964: 105). A partir de ese momento todo lo que publicaba Lawrence sería objeto de un examen especial por parte de la censura. *Women in Love* también sería amenazada con su prohibición. Para evitar la censura a veces su obra se publicaba fuera de Inglaterra o en ediciones expurgadas, otras se hacían ediciones limitadas con precios muy altos que sólo podían adquirir unos pocos. Este fue el caso de la obra de Lawrence, *The Mint*, 1955, que se publicó en New York y Londres y nos explican que “Doubleday, the copyright owner, had been waiting twenty years for phrases like ‘Fucking bar’s shut’ to become acceptable” (Perrin 1992: 55-56).

Lady Chatterley's Lover se publicó de forma privada en Florencia en 1928 para evitar la censura en Inglaterra. La publicación del texto completo de la novela en Inglaterra en 1960 provocaría por una decisión tomada por el Director of Public Prosecutions, uno de los juicios más mediáticos habidos en el campo de la literatura; las partes enfrentadas fueron los editores, Penguin Books, y el estado, “Regina”. Hay que destacar que este juicio sería el primero realizado contra una obra literaria aplicando la ley, *Obscene Publications Act*, aprobada el año anterior. Comenzó el veinte de octubre de 1960, se celebró ante un jurado durante seis días de sesiones que finalizarían con las intervenciones del fiscal, del abogado defensor y del Juez que presidía el acto, los días uno y dos de Noviembre de ese mismo año. El veredicto final del jurado ante la pregunta “Do you find that Penguin Books Ltd are guilty or not guilty of Publishing an obscene article?” su decisión por unanimidad fue “Not guilty” (Rolph 1961: 248). Durante el juicio desfilaron numerosos autores y relevantes figuras de la cultura como testigos a favor del valor literario de la novela y contra su prohibición, como relata Rolph en su detallado libro sobre el juicio.

Un año antes de su muerte tendría lugar otro episodio de persecución legal a su obra, esta vez serían algunos de sus poemas y sus cuadros. De *Pansies* catorce de sus poemas

fueron censurados y prohibida su publicación. Hemos consultado la documentación que guardaba el Home Office que debía mantenerse secreta hasta 2030 de acuerdo con la norma de los cien años y que sufrió un “accelerated opening” permitiéndose su acceso a los investigadores. El primer informe de esta documentación tiene fecha del seis de marzo de 1929. En ella, entre otros escritos, hay cartas del GPO, de Custom House, del Post Office americano y telegramas del gobierno pidiendo colaboración para el seguimiento de los envíos de volúmenes de *Pansies* a otros países anglosajones e incluso hay uno a Argentina. La solución de los editores fue hacer una edición barata en la que se excluían los poemas censurados y otra limitada, más cara y “por suscripción”, en la que aparecían todos los poemas. Lawrence escribió una introducción para cada edición, más corta para la edición popular, un par de páginas, en la que rechaza la ausencia de poemas y señala los culpables: “Some of the poems are perforce omitted—about a dozen from the bunch. When Scotland Yard seized the MS. in the post, at the order of the Home Secretary ...” (Lawrence 1993: 423). En la edición limitada reivindica sus poemas como pensamientos que proceden “as much from the heart and the genitals as from the head” (417). Más adelante, en la misma introducción, hace un alegato en contra de la censura: “I am abused most of all for using the so-called ‘obscene’ words. Nobody knows what the word ‘obscene’ itself means, or what it is intended to mean ... Obscene means today that the policeman thinks he has the right to arrest you, nothing else” (418).

Con sus cuadros también vivió Lawrence un episodio parecido de enfrentamiento con la censura el mismo año de la prohibición de sus poemas. De una exposición con sus cuadros en Warren Gallery la policía se llevó trece cuadros, oleos y acuarelas, allí expuestos. En el Home Office se encuentran varias carpetas que se abrieron con informes internos sobre el tema. La primera lleva fecha de cuatro de julio de 1929, sólo cuatro meses después de la abierta para *Pansies*, encabezando el tema: “Warren Gallery – Exhibition of paintings”, debajo se añade: “Considers this exhibition should be closed at once”, a continuación el apartado “Minutes” ofrece distintos informes a mano. Otras carpetas informan de la redada de la policía en la galería, cartas del New Scotland Yard, recortes de prensa informando sobre el tema y otros documentos. En el juicio subsiguiente, el juez decide que los cuadros se devuelvan a su autor con la prohibición de que vuelvan a exponerse, dos que ya habían sido vendidos se ordena que se devuelvan a sus propietarios.

Finalizo con dos frases de Lawrence del ensayo, “Pornography and Obscenity”: “What is pornography to one man is the laughter of genius to another ... The law is a dreary thing, and its judgments have nothing to do with life” (Lawrence 1955: 195)

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El impacto del 11-S en los productos culturales: el caso de *South Park*¹

María Dolores Narbona Carrión
Universidad de Málaga
narbona@uma.es

Abstract

Despite the fact that more than one decade has already elapsed after the terrible experience of the 9/11 terrorist attacks in New York, their effects can still be noticed in almost all types of spheres. However, this essay centers on the field of audiovisual creations and, more concretely, on cartoons, paying special attention to *South Park*. This series has been chosen because it constitutes a very original case of study in the wider television context that existed after the above mentioned terrorist attacks. Taking into account a solid theoretical basis, this essay, firstly, situates *South Park* in the wider context of the audiovisual mass media; then, it brings to focus some of the main characteristics of the series, and it finally shows the analysis of one of its episodes. These parts have the objective of demonstrating that our premise that the series constitutes a clear example of originality in its particular context is correct.

Keywords: 9/11, mass media, cartoons, humor, subversion, originality.

Ya pasada más de una década desde que el mundo entero se quedara prácticamente atónito ante la terrible experiencia de los atentados terroristas del 11 de septiembre en Nueva York, aún se pueden detectar sus secuelas en todo tipo de ámbitos. Son muchos los estudios y trabajos especializados que lo analizan, pero en éste nos vamos a centrar en el entorno de las creaciones audiovisuales y, más concretamente, en el de las series de animación, con especial atención a la archiconocida e irreverente *South Park*. La hemos elegido no con la intención de llamar la atención por sus sonadas provocaciones de diversa índole —que han dado lugar a todo tipo de protestas provenientes de distintos sectores que se han sentido ofendidos por ella²—, sino porque constituye un caso de estudio realmente original frente al panorama general televisivo que se vivió y que seguimos experimentando tras los mencionados atentados. Así, en esta exposición, es nuestra intención situar *South Park* dentro de este amplio contexto de los medios de comunicación audiovisual, para después mencionar algunas de las características de la serie que nos ayuden a entender mejor por qué se mostró del modo en que lo hizo tras los atentados del 11-S, y terminar con el breve análisis de uno de sus episodios relacionados con este tema, que nos permitirá demostrar nuestra anteriormente mencionada premisa sobre la originalidad de la misma.

¹ El presente trabajo se ha desarrollado en el marco del proyecto I+D+i «Amenazas globales y miedos de la vida cotidiana en las dramaturgias audiovisuales contemporáneas: La representación de la realidad tras el 11-S», financiado por el Ministerio de Ciencia e Innovación del Gobierno de España (referencia FFI2011-25404).

² Para ampliar información sobre las reacciones negativas que ha recibido la serie, véase, por ejemplo, Johnson-Woods (2007: 82-84).

Prácticamente todos los estudios existentes sobre la programación estadounidense tras el 11-S coinciden en señalar que ésta se vio fuertemente afectada por los acontecimientos acaecidos en dicha fecha, como también lo hicieron los demás medios de entretenimiento en general, que, en palabras de Lynn Spigel, «had to reinvent their place in U.S. life and culture» (2004: 235). Durante semanas, a modo de luto, las principales cadenas televisivas consideraron necesario retirar de las pantallas sus programas humorísticos o aquéllos en los que se mostraran imágenes de violencia extrema. El país se encontraba en una situación desconcertante: descubrió una vulnerabilidad a la que no estaban acostumbrados sus ciudadanos, y desde los medios de comunicación se tuvo especial cautela para no herir de ningún modo su sensibilidad. También se evitaba opinar sobre la actuación del gobierno estadounidense en lo relativo a su actuación con respecto a los citados ataques. Tanto fue así que, si hubo alguna voz disidente en aquellos días que sí se atrevió a hacerlo, como fue el caso de Bill Maher, tuvo que pagarlo caro, con la retirada definitiva de su programa, *Politically Incorrect*, a petición de la Casa Blanca (Raphael 2002).

En medio de estas cautelas por parte de los creadores de distintos programas, nos encontramos con la serie de animación *South Park*, que no sólo había tratado ya temas terroristas antes del 11 de septiembre de 2001, sino que siguió haciéndolo tras dicha fecha del mismo modo descarado que le venía caracterizando desde su creación en 1997. Quizá nos sorprenda menos este hecho si tenemos en cuenta ciertos factores que pasamos a enumerar. Uno de ellos es que la serie se emite en la cadena Comedy Central, que, a lo largo de su trayectoria, ha venido demostrando no tener jamás reparo en sacar a la luz en sus programas todo tipo de controversias. En segundo lugar, los creadores de *South Park* —Trey Parker y Matt Stone— seguramente no temían el posible rechazo social que pudieran generar por el tratamiento de estos temas delicados, pues la serie ha venido recibiendo quejas desde diversos sectores con bastante frecuencia. También hay que añadir que, al contrario que otros programas de dibujos animados, que requieren una media de unos 8 meses desde que se concibe uno de sus capítulos hasta que ve la luz, *South Park* utiliza unos medios informáticos que le permiten tenerlos listos incluso en menos de una semana. Esto les ha posibilitado el tratar temas recién acaecidos, cosa que les resulta imposible a otras series de animación. A todo esto podemos sumar también el hecho de que, al tratarse de una serie de dibujos animados, se aleja del realismo que caracteriza a las de otro tipo, y que podía dar lugar más fácilmente a su rechazo por parte de unos telespectadores ya suficientemente traumatizados por imágenes referentes al terrorismo. Otro motivo, quizá el más influyente, es que, como subrayan Leslie Stratyner y James R. Keller (2009: 2), cada vez son más las voces críticas que reconocen que estos dibujos animados tienen una finalidad más transcendente de la que aflora tras una primera impresión: la de hacer pensar a su audiencia.

No obstante, no son pocos los que piensan que *South Park* podría conseguir este mismo objetivo de hacer reflexionar, pero sin sobrepasar ciertos límites de respeto. De hecho, un grupo de islamistas radicales ha llegado incluso a lanzar amenazas de muerte a Parker y Stone por haberse sentido ofendidos.³ Pero, como venimos señalando, los responsables de la misma no se amilanán ante ninguno de estos contratiempos. De ahí que tampoco hayan tenido miramiento alguno en incluir entre sus temas el del terrorismo. Así se puede comprobar en episodios de antes del 11-S, de justo después del mismo, y en otros más recientes. De entre los que se emitieron antes del 11-S podemos citar, entre otros: «Probably» (4.10; 2000), o «Super Best Friends» (5.3; 2001). Tan sólo ocho semanas después de los terribles atentados, vio la luz «Osama Bin Laden Has Farty Pants», rompiendo, como decíamos anteriormente, todos los esquemas sobre lo que se consideraba apropiado mostrar en las pantallas

³ Para ampliar información, véase: Cogan 2012: 67–68.

estadounidenses en aquellas delicadas circunstancias.⁴ Y Parker y Stone han seguido incluyendo en su agenda temática asuntos derivados del 11-S en años posteriores, como podemos comprobar en episodios como: «200» (14.5; 2010), «201» (14.6; 2010), y «The Mystery of the Urinal Deuce» (10.9; 2006), por citar algunos.

En esta exposición nos vamos a centrar en el último que hemos mencionado, para que nos sirva de ilustración práctica sobre cómo plasma la serie las controversias suscitadas tras los atentados del 11-S. Podríamos pensar que, para la fecha en que se emitió (2006), no sería ya muy probable el molestar a los espectadores por tratar el tema del terrorismo. Sin embargo, hemos podido comprobar que cinco años no fueron suficientes para amortiguar el dolor que aún producía en la audiencia este tipo de asuntos. Así se desprende, por ejemplo, de la reseña de este episodio de Dan Iverson (2006), que llega a la conclusión de que las bromas sobre estos desgraciados acontecimientos aún le parecen de mal gusto.

El citado episodio se puede considerar como una parodia sobre quienes defienden que existió una conspiración por parte del gobierno estadounidense, de manera que sería éste quien organizara realmente los atentados contra su propio pueblo. Así, se da a entender que el propio gobierno habría acusado a los terroristas islámicos de los ataques que él mismo habría perpetrado, con el fin de conseguir una excusa a nivel mundial para atacar los países en los que se asientan, de manera que pudiera así asegurar y elevar su tasa de poder.⁵ Esta posibilidad no parece tan aberrante si tenemos en cuenta el contenido de documentos oficiales como el *Project for the New American Century* (2000), que señala la necesidad de contar con enemigos para legitimar la política de seguridad estadounidense.

En este contexto, los dardos satíricos que lanza en esta ocasión *South Park* van dirigidos principalmente al cuarto de población estadounidense que se considera que cree en este tipo de teorías conspirativas para explicar los atentados del 11-S. A pesar de que el colectivo de ciudadanos que considera ciertas estas y otras teorías conspirativas es bastante extenso (DiLouie 2001; Feuer 2006), estos dibujos animados no tienen reparos en denominarlos *tarados* (*retards*) en repetidas ocasiones. Pero no es éste el único modo en que la mera consideración de la posibilidad de certeza de las teorías conspirativas queda ridiculizada, sino que, ya desde el propio título del episodio, vemos cómo se equipara el misterio que éstas entrañan con el de la desconocida autoría de la defecación en un urinario de pared. Para ambos casos se emplea el mismo tipo de razonamientos y deducciones, todos ellos rozando la estupidez. Aunque autores como Iverson ven en este paralelismo una flaqueza del episodio, por la poca conexión que encuentra entre dos hechos tan desproporcionados entre sí, sin embargo, creemos más acertado interpretarlo como una clara reminiscencia de la subversión carnavalesca que aparece en las teorías críticas de Mijail Bajtín.⁶ En su definición de *carnaval* podemos observar, precisamente, esta mezcla a la que aquí nos referimos: «Carnival brings together, unifies, weds, and combines the sacred with the profane, the lofty with the low, the great with the insignificant, the wise with the stupid» (2003: 123). Toni Johnson-Woods, basándose en el propio Bajtín, afirma que ciertos aspectos del mundo son sólo accesibles por medio de la risa (2007: 89). Si tenemos esto en cuenta, no nos resultará tan chocante el trato desenfadado e irreverente que recibe el tema de la autoría de los atentados del 11-S en este episodio de *South Park*.

⁴ Analizo este capítulo en profundidad en mi capítulo de libro titulado «La excepción que confirma la regla: la originalidad de *South Park* (también) con respecto al tema del terrorismo y sus efectos», que se encuentra en prensa.

⁵ Dunmire (2009) y Furedi (2009) amplían esta información.

⁶ Otros trabajos que contemplan la aplicación de las teorías de Bajtín a la serie, son, por ejemplo, los de Paul Wells, Alison Halsall, M.J. Robinson, Deidre Pike y Paul Achter.

Gracias a que Cartman lleva a cabo una detallada investigación sobre los dos mencionados misterios, basada principalmente en Internet, en el episodio salen a colación algunas de las más conocidas. Entre ellas se menciona, por ejemplo, la de que la cantidad de carburante que se derramó de los aviones y la temperatura que éste alcanzó no eran suficientes para hacer que las torres se derrumbaran completamente⁷; la de que se vieron unas explosiones en la base de las Torres Gemelas que no provenían del choque de los aviones contra ellas; o la de que el Pentágono fue atacado por un misil estadounidense.⁸ De este modo, de nuevo, el episodio, a pesar de su aparente inocencia y simplicidad, se nos presenta como un reflejo de la sociedad y cultura en que se encuentra inmerso, y da lugar a la reflexión sobre ciertos aspectos de la misma.⁹ Como concluye Iverson, no es que el episodio vaya a hacer retractarse a quienes están convencidos de que el gobierno estadounidense estaba detrás de los atentados del 11-S, pero, al menos, les puede hacer reconsiderar lo que creen.

Pero «The Mystery of the Urinal Deuce» da una vuelta de tuerca más al asunto al hacer descubrir a los niños que las teorías conspirativas que culpan al gobierno estadounidense de los atentados terroristas, en verdad, fueron inventadas por él mismo para hacerle parecer aún más poderoso. Así, éste daba a entender que ningún país ni grupo terrorista había atacado a los *invulnerables* Estados Unidos, sino que ellos mismos habían perpetrado los atentados para tener así una excusa para poder atacar a los países del Este donde se asentaran sus enemigos. Teniendo esto en cuenta, es fácil concluir que el segundo objeto de parodia y crítica abierta del episodio es el propio gobierno estadounidense, al que se le presenta como capaz de todo con tal de mantener inalterable su imagen de poder.

Tras esta exposición y análisis, podemos concluir que *South Park*, lejos de constituir una mera creación orientada, en el mejor de los casos, a provocar la risa sin escrúpulos de ningún tipo, puede considerarse como un medio para hacer reflexionar a su audiencia. Hemos procurado justificar esta afirmación a lo largo de este ensayo no sólo con opiniones de destacados especialistas, sino también con ejemplos prácticos de uno de sus capítulos. Éste nos ha servido, además, para demostrar el atrevimiento y la originalidad de la serie, ya que, no sólo ha contado con estos dos elementos en tiempos de calma, sino que ha sido capaz de mantenerlos como baluartes también en épocas tan controvertidas como fue la que siguió a los atentados del 11-S, diferenciándose así de la mayoría de los programas estadounidenses que se emitieron por las mismas fechas. Con este estudio respondemos de forma activa a la invitación a la comunidad investigadora que ciertos especialistas de los estudios audiovisuales —como B. Ruby Rich— hacen a que nuestros trabajos sirvan para romper con la idea de que todos los productos audiovisuales creados tras el 11-S se muestran unánimemente al servicio del poder (2004: 114).¹⁰ Esperamos que estas reflexiones sirvan también para ampliar nuestras miras a la hora de juzgar elementos emanados de la cultura popular que tan frecuentemente se suelen minusvalorar por no pertenecer a lo que se considera canónico o la *alta cultura*.

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⁷ Para ampliar la información sobre esta teoría, véase Jones 2012.

⁸ Véase Schoner 2003.

⁹ Por su apariencia sencilla, Johnson-Woods relaciona su técnica creativa con la denominada *limited animation* propia de 1950, en la que la abstracción y el simbolismo jugaban papeles fundamentales, y servían para que los espectadores se centraran en el contenido más que en la forma (2007: 78). Esto sitúa a *South Park*, también, más en la línea irreverente e innovadora que representa la animación de la Warner Bros. que en la de Disney, como explica, entre otros Johnson-Woods (2007: 78).

¹⁰ Douglas Kellner analiza en su ensayo cómo la administración estadounidense ha hecho uso de los medios de comunicación para promover sus propios intereses.

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Hunger Performances: A Masculine Spectacle

Nieves Pascual
Universidad de Jaén
npascual@ujaen.es

Abstract

In this essay I succinctly chronicle the history of the spectacle of fasting from the 18th to the 20th centuries. Despite the feminization of the act of hunger, or possibly because of it, I argue, first, that the spectacle of hunger is masculine: the hunger performer must be male. And second: the difference between the old and the new hunger spectacle lies in the kinds of corporealities in sight: whereas in the past what attracted the audience to a hunger spectacle was zombism, now it is transvestism.

Keywords: fasting; act; performance; spectacle; zombies; transvestites

1. Introduction

In “Fasting Women, Living Skeletons and Hunger Artists: Spectacles of Body and Miracles at the Turn of a Century,” Sigal Gooldin investigates the spectacle of hunger which she separates from the act of hungering: “the act of fasting expresses *one dimension* of the phenomenon of fasting. Another dimension, often overlooked in the discussion of female starvation, is *the spectacle* of fasting” (2003: 31). She clarifies the terms:

First, the distinction between the “act” of fasting and “the spectacle” of fasting is, obviously an analytical distinction. In “social reality” these two aspects of fasting are intertwined and supplement rather than “substitute” each other.... The “act” of fasting occurs prior to the “appearance” of fasting (i.e. prior to the spectacular, gazed-at act of fasting), in the same way that a “text” occurs prior to the “reader.” But, at the same time, the “act” of fasting in itself has no meaning just as text, in itself, without the reader’s interpretation, is meaningless. Therefore, to the extent that “meaning” is produced from the interaction between text and reader, so the meaning of fasting is produced as a result of the interaction between fasting (as spectacle) and its *spectators*. The “spectacle” of fasting, then, is conceptualized in this article as the *appeared, performed, visible, gazed-at* phenomenon of fasting. The concept of “spectacle” in this regard refers to the spatial and temporal *presence* of the act of fasting in the social world. (2003: 31-32)

Gooldin is right that the spectacle of hunger refers to the spatial presence of the act of fasting in the social world (paradoxically, though, spatial presence is achieved by occupying as little space as possible), but I must take issue with the temporal sequence she puts forward. As it is, the examples used (see below) to illustrate the interaction between fasting and its spectators are based on the principle of simultaneity: the act is not prior to the appearance of fasting but simultaneous with it. In other words, in order to be visible in itself and acquire temporal presence, for hunger to be real, it must acquire duration: the act of fasting is long and its spectacle must, in consequence, be long too.¹ In the understanding that a spectacle is

¹ Thus considered, the spectacle would exclude the sensationalized reports of beautiful actresses, models, and other famous individuals broadcasted by the media. In truth, they do not show hunger as

“something exhibited to view as unusual, notable, or entertaining” (*Webster’s*), the question is, of course, how can hunger be entertaining? At bottom hunger is about boredom. In hunger nothing of interest happens to disrupt its long and oppressive uniformity. What is notable about not eating?

In what follows I compare the spectacle of hunger in the past with current performances. Despite the fact that willed starvation is, by definition, a feminine act (the statistics of the National Eating Disorders Organization in the United States show that 10 million females and 1 million males are suffering from anorexia and bulimia), I argue that: a) the spectacle of fasting can only be masculine, and (b) that the difference between the old and new format lies in the kinds of corporealities we look at: zombies versus transvestites. Before proceeding two caveats are in order. One: Like Gooldin, I treat the spectacle of hunger as a text: hunger operates as a text and, moreover, hunger cannot be without a text. The text is the clothing that makes the disappearing and starving body appear in sight. Second: due to restrictions of time and space, I cannot illustrate my theoretical considerations with examples. Let me just mention that my reflections in this paper were inspired by David Blaine’s hunger stunt in 2003 and Michael Krasnow’s *My Life As A Male Anorexic* (1995), both of which are, in my opinion, sequels to Franz Kafka’s ‘The Hunger Artist’ (1922).

2. The Spectacle of Hunger during the 18th and 19th centuries

Gooldin chronicles the popularity of the spectacle of hunger during the 18th and 19th centuries through the presence in Europe of the Living Skeleton and the Hunger Artist. The first displayed a (super)natural anatomy to the audience. Born skeletally thin, a Living Skeleton offered the spectacle of a body between life and death, a dead body enjoying physical well-being. Claude Ambroise Seurat, one of the most famous, “played on the idea of a living (social) persona in a dead (physical) body” (2003: 42), “a corporeality between ‘here’ and ‘there’, ‘fiction’ and ‘reality’, ‘life’ and ‘death’” (2003: 43). In sum, what was attractive about this “zombie” exhibit “was his normalization as an ordinary man, living an ordinary life in spite of his ‘physical anomalies’” (2003: 42). Seurat supplemented his show with acrobatic exercises that emphasized his healthy condition and evoked the mirth of the audience.

The Hunger Artist offered a more serious spectacle of supernatural control. His impossible will controlling his need to eat, his overcoming the pain of the body during 40 days of fasting installed a deep awe in the public watching him. What was attractive was the transgression of the “norm” by an ordinary man. Public performances by both Living Skeletons and Hunger Artists satisfied the audience’s voyeuristic pleasure; the battle between health and sickness fed their morbid curiosity. Both amused the public, both deserved admiration, of “being” and “doing” respectively (Gooldin 2003: 47) and both, although Gooldin does not explain why, “were almost exclusively male” (2003: 45), but only the spectacle of the hunger artist was artistic, which suggests that the occupation of art at the time required sacrifice and that such sacrifice could provide entertainment.

much as recovery. It would exclude talk shows exploiting the ordeals of individuals with the diseases of eating disorders to bolster ratings. They simply have no time to make the duration of hunger palpable. It would exclude non-serialized, non-time specific photographs, like that of French anorexic model Isabelle Caro for the “No Anorexia” campaign of the fashion house Nolita or David Nebreda’s autoportraits. It would exclude the phenomenon of the hunger strike where the act of hunger is a mere excuse for the spectacle of political protest.

3. Today: From Zombies to Transvestites

The popularity of the spectacle declined at the end of the 19th century. Nowadays, adds Gooldin, it has regained its fashionability through the presence of anorexia nervosa. To highlight this, she asks three questions: “*What appears* in the contemporary social space through the presence of anorexia? What is performed in anorexia? What is gazed at?” (2003: 50). Combing through autobiographical texts, it is clear that the anorexic woman wrests meaning from hunger by transforming it into art. Her belief in her own uniqueness makes it possible to elevate hunger to the realm of art, but the meaning created through the interaction between the spectacle and the spectator is one of sickness. Take for instance, LA Raeven, the artist name for twins Liesbeth and Angelique Laeven, who repeatedly perform their anorexic body images. Through Video 1 & 2, an installation on their anorexic eating habits exhibited in February 2002 at the ICA London, they claimed interest for their hunger based on its artistic qualities and its capacity for revelation; but the sisters “weren’t contextualized primarily as artists, not even as kooky artists, but as eating disorder victims.” One possible explanation for this is that responses to art are often based on gender stereotypes and, as art historian Griselda Pollock accurately points out, that “Women were not historically significant artists ... because they did not have the innate nugget of genius (the phallus) which is the natural property of men” (1998: 2). Etiologies of mental illness and art may overlap when a creative intentionality is divined behind the causal beginning of the disorder; yet, the exclusion of women from art prevents this connection. Herein lies the fear overhanging the anorexic woman’s reluctance to exhibit her body.

Of more interest for my purposes here is that hunger has again been accommodated within the framework of entertainment. But, to assume entertainment value the spectacle must be masculine because masculinity is what gives genius (read: originality) to it. After all, as Nolan writes: “Less than one half of one percent of American men are expected to develop the illness in their life time” (2008: 71). It is imperative not only that the spectacle be real (the hunger entertainer must indeed hunger and the spectacle must be simultaneous with the act), but that the audience suspend belief: What they think they see must become a surreal masquerade. Otherwise, given the visible reality of anorexia nervosa and the horrors of hunger associated with oppression, believing that what they see is not surreal would compromise the good conscience of the spectators, summoning their sense of guilt and interrupting visual pleasure. Disbelief is made possible through comedy. Introduced either by the audience or by the spectacted, comedy deprives hunger of meaning, inundating it with non-sense, moving the audience to laughter. So, rather than being an object of admiration, the current hunger spectacle becomes one of derision. Instead of admiring the impossible corporeality of the zombie, hovering between life and death, the current spectator derides the impossible corporeality of the transvestite, hovering between genders. This shift obviously requires explanation. My argument runs thus:

One: Hunger is feminine. I mean by this that hunger feminizes men not only because it is “a distinctive form of female suffering” (Chernin 1985: 13), but also because it diminishes the body and thereby stands in contrast to the normative structure of manhood that demands social and physical space, that is, embodiment. It is not surprising that Dr Kathryn Serbe, Professor of Psychiatry at Oregon Health and Science University and longtime expert on eating disorders, affirms that: “a large study from 2007 found that gay men do appear to have more eating disorders than straight men” although “these men do not necessarily want to be feminine.” By affirming that gay men who are anorexic “may not necessarily want to be feminine,” is Zerbe not sealing the connection between femininity and anorexia? So, even though gay is negative feminine and a masculine

oriented gay man may not necessarily want to be feminine, on acquiring anorexia he necessarily acquires femininity.²

Two: If feminization is bound up with the story of gayness, the story of gayness in turn is bound up with the story of transvestism. Marjorie Garber writes that “The story of transvestism in western culture is in fact ... bound up with the story of homosexuality and gay identity” (1997: xviii). Garber restricts transvestism to cross-dressing, but transvestism often involves more than just garments as it also encompasses the adoption of the behavior, movement, gesture and even shape of the body of the opposite sex.

Three: The story of transvestism is also a story of deception, of tricking an audience by showing something that is not.

Four: In addition, the spectacle of male transvestism is tied to laughter. Significantly, Amelia Jones in *The Feminism and Visual Culture Reader* links laughter with the dissolution of gender boundaries in the following way: “male reversal [...] seem[s] capable of representation only in terms of farce. Male transvestism is an occasion for laughter; female transvestism only another occasion for desire” (2003: 65). This means that male transvestism is not an occasion for identification (all desire is a desire for mimesis, after all). Rather, it creates a distance that places spectators in a masculine viewing position.

Five: Distance, which is necessary for voyeuristic pleasure, is achieved through the disintegration of gender boundaries and the public/private divide. Another way to put this is that the spectacle of transvestism violates the public/private dichotomy. If we assume that the public is masculine and the private is feminine (still a current assumption), a male transvestite on the stage both usurps the private and, within the same movement, brings to the public his private/feminine self, making spectators feel that they are watching something that they are not supposed to watch.

Six: Moreover, laughter (evoked in part four of this argument) assuages the fear of transgression. In this regard Rhona J. Berenstein asserts that “The transvestite [...] is terrifying [...] precisely because s/he incarnates and emblemizes the disruptive element [...], signaling [...] a crisis of [the] ‘category’” of genders (1996: 38). Because transvestites threaten the normative structure of gender, they are constructed as objects of fear and, in consequence, as scapegoats.

4. Conclusion

In sum, hunger inasmuch as it is an ideal space for transvestism, it is also an occasion for deception, laughter and voyeurism. The deceptive nature of the spectacle of transvestism that hunger allows the audience to doubt the reality of what they are seeing and gives room to laughter. Laughter assuages fears of disorder, creates the distance necessary for voyeuristic pleasure and puts spectators in the masculine viewing position. Stated in very simple terms, the gaze has been theorized as masculine and feminine. The masculine gaze establishes a distance. The feminine gaze cancels the distance and identifies with the object of the gaze (Mulvey 1975). Inasmuch as the hunger spectacle, in order to entertain the public demands

² On the suggestion that gay men may be more prone to anorexia since a slim physique is considered more desirable in gay male relationships than in straight ones, see Nolan 87. On the feminization of hunger, see Kelleher.

that they dis-identify with what is gazed at, the ideal spectator of the hunger spectacle is male: both spectator and spectacle, then, create a masculine viewing position.

One final note: I have found no example of female hunger performed as comedy, even though hunger also transvestes women by depriving them of their bodily curves and even their periods. The anorexic woman who looks like a man who looks like a woman performs an act of transvestism too, but female cross-dressers do not engender any interest because “all women cross-dress as women when they produce themselves as artifacts” (Garber 1997: 49). Also, the evidence researched suggests that in the texts of their anorexia women rarely use the language of boredom. Certainly if one is not bored there is no need to entertain time.

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Grendel's Mother's Femininity in the Anglo-Saxon *Beowulf* and in R. L. Zemeckis's Film Version

Pilar Peña Gil
University of Seville
pilarpenna@yahoo.es

Abstract

The character of Grendel's mother is vaguely and obscurely portrayed in the Anglo-Saxon *Beowulf*, to the extent that she does not even receive a name. In contrast to the other female characters, Grendel's mother possesses some attractive characteristics deriving from her masculine features, mostly evinced by her breaking of the conventions traditionally ascribed to women in Anglo-Saxon society. This rupture endows her with a certain sensuality that has been explored and perhaps exaggerated in several literary and filmic adaptations. In Robert L. Zemeckis's *Beowulf* (2007), the director portrays Grendel's mother as more seductress than monster or warrior, with Angelina Jolie highlighting the sensual attributes of the character. The exposure of the actress' naked golden body emphasizes *Beowulf*'s penchant for flesh and wealth—the film's interpretation of the *Beowulf* of the poem's lust for glory. My analysis of this controversial monster-woman in the poem and the film aims at clarifying the possible reasons for Zemeckis's interpretation.

Keywords: *Beowulf*, Grendel's mother, gender studies, medieval studies, film adaptation, monsters, Anglo-Saxon literature, Robert L. Zemeckis, Angelina Jolie.

1. Introduction

The portrayal of Grendel's mother in the Old English poem *Beowulf* has been interpreted in many different ways. Considered a monster by most critics though defended in her humanity by some others,¹ she has awoken the imagination of readers, scriptwriters and comic book artists, who have represented her in various ways. However, it is Robert Zemeckis's adaptation of the Anglo-Saxon epic for the cinema, *Beowulf* (2007), which has been most influential. Played by a voluptuous Angelina Jolie, Grendel's mother has become powerful in this film, not by her physical strength to kill but by her ability to bend men to her will through her sexual force.

Grendel's mother is connected to the aquatic element, as established in the Old English poem; she is said to be a *brimwylf* “she-wolf of the sea” (l. 1506 and 1599),² or a *merewif* “mighty mere-woman” or “water-witch” (l. 1519a). Of the four elements of nature, water and earth have traditionally represented femininity. Tracing it back to ancient cultures these two elements have stood for the woman as mother, as begetter of life, since it is in water where life originated and it is in earth where life developed. Grendel's mother is found by *Beowulf*

¹ Christine Alfano's article has been the most influential in the defense of Grendel's mother as a human being instead of a monstrous creature as traditionally considered.

² All references from the poem belong to *Klaeber's Beowulf* (2009), edited by Fulk, Bjork and Niles. Translations have been taken from Liuzza's *Beowulf: A New Verse Translation* (1999).

in her cave under the water, a place that combines both elements as a maternal womb. Zemeckis exploits this idea and makes Grendel's mother a creature linked to water, covered in scales in an intended allusion to her possible mermaid connection. In Zemeckis's portrayal, she is a woman whose ultimate aim is to have offspring that could perpetuate her species. Her role is made a central one by this cinema version of the poem. She is the begetter of monsters that would threaten the Danish kings, monsters that paradoxically are fathered by the Danish kings themselves. Hrothgar is responsible for Grendel's birth whereas Beowulf is suggested to be the dragon's progenitor. This cycle seems to continue when she tempts the new king towards the end of the film, probably to have another child, who would become a future monstrous menace.

This paper aims to analyse Zemeckis's interpretation of the character and his portrayal of her. Grendel's mother will be first examined as she appears in the poem, then in Zemeckis's *Beowulf*, with the purpose of finding some connection between them.

2. *Beowulf*: the poem

Grendel's mother is a very atypical female character for her time. She appears in several instances as a masculine figure, to the extent of being referred to by masculine pronouns, as in "nō hē on helm losað" (l. 1392b) ["he will find no protection"]. There is also a gender inconsistency when she is made allusion to by *sē þe* instead of *sēo þe* in line 1260, or *hē* instead of *hēo* in line 1394. The editors of *Klaeber's Beowulf* clarify that the use of the masculine pronoun "is not simply a scribal error" because it is "also suggested by the poet's description of Grendel's mother as *sinnigne secg*" "culpable man" (l. 2136) or *Gryreligne grundhyrde* "terrible guardian of the deep" (l. 2136) (Fulk 2009: 197). There seems to be, then, a deliberate intention in making her sex ambiguous.

Nevertheless, she is marked by a very feminine characteristic: she is a mother, the main feature of her portrayal, since she is not even given a name. She is subtly described, merely in allusions that point out to a powerful nature, like her *atolan clomun* (l. 1502a). But the few references we are given of Grendel's mother in the poem emphasise her motherhood, her relation to the biblical Cain and water:

se þe wætereġesan	wunian scolde,
cealde strēamas	siþðan Cāin wearð
tō ecġbanan	āngan brēþer (l. 1260a – 1262b)

[she who dwelt in those dreadful waters, the cold streams, ever since Cain killed with his blade his own brother]

Establishing a link between Cain and her confers an aura of evil, setting her up as the antagonist. As a mother, she engenders evil creatures such as Grendel. Finally, her relation to water emphasises this aspect by placing her in a combination of the two elements which represent femininity and fertility, as are water and earth. She is not said to be an aquatic creature, but as in the extract quoted above, she "dwelt in those dreadful waters". She is reported to inhabit a cave under the water, combining thus both natural elements. And it is there where Beowulf looks for her and the battle between hero and the *femme fatale* take place.

The battle has been the subject of analysis for the erotic connotations it may suggest. Jane Chance analyses every movement the combatants make, establishing parallelisms between the actual battle and the sexual act. From her point of view, swords stand for the male sexual organ, and both would mean dominance from an Anglo-Saxon point of view.

Grendel's mother represents a sexual inversion of Anglo-Saxon women's roles, emphasised in juxtaposition to the female characters that directly precede her in the narrative. Wealhtheow and Hildeburh are peace-weavers whereas Grendel's mother attacks the hero, an action that would have never been expected of a woman in an Anglo-Saxon society. Therefore, her use of swords would be manly not only in terms of battle terms but of sexual inversion, as well. According to Chance, the key term for this interpretation is *ðurhfōn* "penetrate" (l. 1504), mentioned when she tries to pierce him with her fingers and then when Beowulf kills her, penetrating her body with his sword, whose blade melts in contact with her body (Chance 1990: 254). Chance supports her perspective with analogues in the Old English corpus, such as Riddle Twenty, "The Sword", *Judith* or some saints' lives in the Old English *Martyrology*, among other works.

Glenn Davis compares this battle to some Riddles in the Exeter Book, too, and reinforces her interpretation of the struggle as an allusion to the sexual act because of the many references that are made to both combatants' hands and the verbs denoting grasping and touching (Davis 2006: 50).

Grāp þā tōgēanes,	gūðrinċ ġefēng
atolan clommum;	hring ūtan ymbbearh,
þæt hēo þone fyrdhom	ðurhfōn ne mihte,
locene leoðosyrċanlāpan fingrum.	(l.1501-1505)

[She snatched at him, seized the warrior in her savage clutches, but none the sooner injured his sound body--the ring-mail encircled him, so that she could not pierce that war-dress, the locked coat of mail, with her hostile claws]

Grendel's mother's first act once Beowulf has entered her cave is to seize him in a deadly embrace and to attempt to pierce him with her *lāpan fingrum*. According to Davis, "in Riddles 12 and 44, for instance, we find similar penetrative attempts by, or at least enabled by, the hands of the sexual agents of the poems" (Davis 2006: 50). Here is the extract of the battle when the hero beats Grendel's mother.

Hē ġefēng þā feteht,	freca Scyldinga
hrēoh ond heorofrim,	hringmæl ġebægd
aldres orwēna,	yrringa slōh,
þæt hire wið halse	heard grāpode,
bāhningas bræc;	bil eal ðurhwōd
fægne flæschoman,	hēo on flet ġecrong;
sweord wæs swātig,	secg weorce ġefeh. (l. 1563- 1569)

[The Scyldings' champion seized its linked hilt, fierce and ferocious, drew the ring-marked sword despairing of his life, struck in fury so that it caught her hard in the neck, broke her bone-rings; the blade cut through the doomed flesh—she fell to the floor, the sword was bloody, the soldier rejoiced.]

Taking this extract as reference, Zemeckis makes a quite interesting interpretation of the outcome of the battle, with no bloody sword but a joyful hero, in any case.

3. *Beowulf*: the film

Robert Zemeckis chooses a modern technique known as *motion capture*, in which actors are made into digital characters, to represent his own interpretation of the Anglo-Saxon *Beowulf*. His perspective on the Old English poem takes considerable liberties. He presents the

monsters as a punishment to the heroes for their own weakness and a manifestation of adulterous guilt. It is suggested that Hrothgar engendered Grendel and that his successor, Beowulf, fathers the dragon. Zemeckis questions as well the extent to which the monsters are the real abominations of nature by hinting at the Danish kings' complicity in their begetting. However, this paper is only concerned with the monsters' paternity insofar as it looks at Grendel's mother's seductive powers.

Grendel's mother's physical aspect in the film is that of an anthropomorphised mermaid, with golden scales adorning her voluptuous body. However, the resemblance to the mythological mermaid is not only physical, in her half-monster, half-human nature; she also has the ability to seduce and make men "shipwreck" in their moral standards. Zemeckis's version makes her the centre of all conflicts but also the one who enables heroes to reach glory. She is a water demon, a witch and, above all, a temptress. When Beowulf goes to her cave to kill her, she offers him fame and wealth. He is only requested to give her a child in return, to which he enthusiastically agrees. Here, her reproductive imperatives supersede her destructive ones.

Despite visiting Hrothgar's hall to avenge her son—off-screen—Grendel's mother is only seen in her cave, appearing half submerged as an aquatic creature. From my point of view, there is a clear symbolism in the location. As explained above, earth and water are traditionally feminine elements which represent fertility. Earth was already associated by primitive societies with a mother goddess for its capacity to produce life and nurture it by the victuals also produced there. Seeds need to be planted inside the earth in order to grow and give fruit. Water is likewise a feminine element in the sense that it was in the water where life first emerged. Organisms need water as they need earth to grow and develop. A human being is engendered in a liquid element and then grows and develops in an aquatic environment.

Zemeckis's exclusively tying Grendel's mother to the underwater cave—which is an element of the Anglo-Saxon poem—highlights her motherly nature. This cave symbolises the maternal uterus and the idea of the encounter between Beowulf and the mother in the water instead of out of it is very significant. D. W. Marshall explains the resemblance between Grendel's mother's cave in the film and a uterus.

the design of the cave complex consists of four separate sections. The entrance resembles a vaginal opening, littered with human bones, that leads to a flooded chamber spanned by ribs and a spine, a womb-like space in which Grendel's mother (Angelina Jolie) scolds in anger and cradles in grief. (Marshall 2010: 10-11)

From Marshall's point of view, the cave is not only associated to fertility and maternity in a metaphorical way but also in a physical level.

The poem's fight between Grendel's mother and Beowulf has been replaced in the film by sexual intercourse, following the idea already hinted by critics such as Davis or Chance. In Zemeckis's interpretation, Grendel's mother does not attack Beowulf; she uses her hands to approach him and seduce him with subtle movements. The hero does not pierce her with his sword, as he does in the poem. The sword melts when the mother starts caressing it in an obvious allusion to the phallus and male orgasm—and, perhaps, to Beowulf's self-control. Marshall states that "the promises of worldly power coupled with the melting blade visually suggest Beowulf's sexual climax, not over her physical form, but over the idea of having wealth and total authority" (Marshall 2010: 13). Consequently, Beowulf is tempted not only through sex but mostly by the references she makes to fame and glory, since it is while she is telling him how his power, might and deeds will outlive him when his sword melts. "A man like you could own the greatest tale ever sung. Your story will live on when everything now in life is dust" is the key sentence she needs to make him start considering her offers. By her promise that he will "forever be king, forever strong, mighty, and all powerful", he yields.

Zemeckis interprets the battle as purely sexual, and essentially reverses the poem's outcome. Grendel's mother's ascendancy is gained by her convincing the hero of his own self-interest, and the victory is made complete when he succumbs to her charms and they are suggested to have sex. The second sword that the Beowulf in the Anglo-Saxon poem uses to kill the mother could be understood as the male organ itself, which pierces her and asserts Beowulf's dominance. Nevertheless, while Beowulf's encounter with her in the film only appears to end in victory to the kingdom's inhabitants, it in fact represents a kind of defeat; he succumbs to his baser desires and—literally—sows the seeds of his eventual annihilation: the dragon.

4. Conclusions

The link between Grendel's mother and fertility had already been represented in cinema by J. McTiernan's *The Thirteenth Warrior* (1999), where the mother appeared as the worshipped leader of a primitive tribal society. Here, she was linked to earth, since she was located in a cave. Fertility symbolism was also present in hints such as a little sculpture representing a feminine body, like the ones which have been preserved from pre-historical societies. In Zemeckis's adaptation, the element chosen is water instead of earth, but again with the same powerful symbolism.

These two interpretations are not as free as they may seem at first glance. In the poem, both earth and water are present in relation to Grendel's mother and the battle between Beowulf and her has already been analysed by several critics regarding its erotic undertones. Besides, though not very common, there are instances of Old English poems where struggles between male and female combatants have been interpreted by modern criticism in sexual terms. Consequently, Grendel's mother could have been considered a threat by the male-based Danish society as a fatal woman who should be destroyed, not because she was a monster of any kind or dangerous at all, but because she defied the stereotyped female figure by being an independent woman, a single mother and an active sexual temptress. However, in Zemeckis's film, her powers are enhanced in regard to her seductive nature. Her real force is not seen on screen when she kills many of Hrothgar's retainers. In this visual representation, Zemeckis goes back to the traditional representation of a female character, a mother interested in reproduction and a woman who achieves her aims through her feminine charms.

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Ecoss Intertextuales de *Ulises* en *La vida perra* de Juanita Narboni

Esther de la Peña Puebla
Universidad de Sevilla
estherdlp@hotmail.com

Abstract

This paper aims at revealing the intertextual echoes that James Joyce's *Ulysses* reflects upon *La vida perra* de Juanita Narboni, written by Ángel Vázquez. The discourse that both authors use in their works, through the stream of consciousness of their characters, illustrate the socio-cultural milieu and the urban spaces of two cities (Dublin and Tangier), closely attached to their protagonists, and to themselves. The gender dichotomies that are shaped in the city spaces, the relation between the city and the character, the characters and the society around them, all of them reveal analogies that deserve to be remarked for a deeper analysis. Similarly, the identity and interpretation of the protagonists are evidenced to show that both characters share an inevitable past, an absurd present filled with solitude, and seem to be about to enter in a somber hopeless future.

Keywords: intertextuality, stream of consciousness, urban spaces, interculturality.

1. Introducción

Al iniciar las líneas del presente trabajo, no puedo dejar de mencionar las escasas, pero significativas referencias que algunos escritores y escasos académicos hacen a la apenas reconocida figura de Ángel Vázquez como "un escritor fuera de nómina", un gran desconocido que, sin duda, alcanzó con *La vida perra* de Juanita Narboni su consagración como escritor de gran talento, cuya novela más relevante definen algunos críticos y académicos como una injustamente olvidada "obra maestra de la literatura española"¹. El trabajo literario de Vázquez denota un impulso autobiográfico de vocación testimonial que, a través de su protagonista, Juanita Narboni, nos permite conocer la crónica de una vida convulsa y plagada de inquietudes en un Tánger tan cambiante como decadente. *La vida perra* de Juanita Narboni está narrada desde una perspectiva realista, a través de un único e intenso monólogo interior que veta la voz de su autor pero que, paradójicamente, le permite, desde un distanciamiento irónico, incrementar la presencia de datos autobiográficos para configurar un puzzle narrativo donde la mirada de lo superficial se mezcla con la fuente insondable de un mundo interior de gran valentía intelectual y profundidad semántica. Ese mundo fragmentado, ambiguo y provisional que Ángel Vázquez nos presenta, nos recuerda, a su vez, al universo de otro genial escritor, James Joyce, quien, a diferencia de Vázquez, es mundialmente conocido y reconocido por su ambiciosa y magnífica obra *Ulises*, entre otros exponentes de su indiscutible calidad literaria.

¹ Entre otros: R. Acín, "Con la soledad a cuestas". *Quimera*, 30 (1983): 73; J. Goytisolo, "Cuando Tánger era un cementerio. *Babelia*, nº 705, pág. 8; E. Mendicutti, "Nueva edición de la novela *La vida perra* de Juanita Narboni de Ángel Vázquez". *El País*, 29 de diciembre, 1982; E. Sanz de Soto, "Ángel Vázquez, un escritor fuera de nómina". *El País*, 12 de marzo 1980; M. Soriano, "Ángel Vázquez, una excepción". *Quimera*, 1991, págs. 88-90.; R. Faveau, "*La vida perra* de Juanita Narboni: le miroir ou la recherche d'une identité". *Les langues-neolatines* (1991): 46-61.

Es paradójico que, como en otras muchas ocasiones, sean críticos foráneos los que se hayan encargado de hacer justicia a la figura y obra de un artista español, a pesar de los muchos intentos – algunos, sin duda, fructíferos, pero sin gran repercusión – de los que fueron sus grandes amigos y conocedores de su magistral obra.² Ha sido recientemente, el pasado mes de enero, cuando *La vida perra de Juanita Narboni* se reeditó en Francia (con un prólogo encomiable a cargo de Juan Goytisolo), y cuando la crítica francesa ha cuestionado el motivo por el cual esta obra literaria ha permanecido oculta para el público español en general. Raphaëlle Rerolle (del diario *Le Monde*) señala: “Et si la critique a pu comparer l’*Ulysse* de Joyce à « une cathédrale deprose », La *Juanita* d’Ángel Vázquez en constitue à l’évidence rien moins qu’une nef latérale d’importance.”³ Y en este punto es donde comienza mi aproximación al estudio comparativo de ambas obras a través de dos líneas de análisis que focalizan mi interés en ambas novelas. En primer lugar, el discurso literario que ambos autores desarrollan a través del monólogo interior en sus personajes protagonistas, y cuyo marco sociocultural y temporal queda reflejado en sus pensamientos, impresiones y retrato humanístico. En segundo lugar, la ciudad y el personaje: Dublín y Tánger como el retrato de una ciudad a través de sus habitantes. Ambas metrópolis son el marco referencial de las vidas de sus protagonistas: indefinibles, ambiguos y alienados. Las dicotomías de género aparecen representadas a través de las ciudades de Dublín (como un espacio fundamentalmente masculino) y Tánger (femenina como Juanita), y ambas ciudades son, a su vez, escenario y personaje. Las analogías que ambas obras revelan evidencian, una vez más, los ecos intertextuales que Joyce imprime en otro escritor que logra de manera brillante recuperar la esencia de su maestría al apostar por el valor del discurso por encima del de la historia.

2. Analogías en el Discurso del Tiempo y del Espacio

“I am tomorrow, or some future day, what I establish today. I am today what I established yesterday or some previous day” James Joyce

El discurso narrativo que la ficción de James Joyce y Ángel Vázquez nos presenta en las dos obras que se estudian en este trabajo comparte una originalidad e indefinición que se manifiesta, principalmente, en un lenguaje que trasfigura la realidad en un universo disonante que los autores logran reconstruir a través de una narrativa detallada, ecléctica y casi épica en su ámbito. La organización de la estructura argumental y el concepto del tiempo en la secuencia narrativa de ambos autores coinciden en un discurso ideológico (“one cannot choose to step out of ideology”; Spivak 1988: 120) salpicado de referencias anacrónicas.

En el caso de *Ulises*, su desciframiento requiere una relectura pausada y paciente acompañada de guías, antologías y mapas. Organizada en dieciocho episodios, la obra reúne numerosos detalles geográficos, datos históricos y referencias culturales que hacen que Dublín adquiera un carácter familiar y de presencia constante para el lector. Como capital de Irlanda, el aparente cosmopolitismo de la ciudad contrasta visiblemente con el provincianismo de sus ciudadanos, aún gobernados por un legado ideológico católico e institucional que

² Amigos incondicionales y difusores incansables de su obra son especialmente Eduardo Haro Tecglen, Emilio Sanz de Soto, Eduardo Haro Ibars y Jane Bowles, la cual se refería a Ángel Vázquez como “Mi pequeño genio redondito”. La publicación en la editorial Cátedra a cargo de Virginia Trueba, con su espléndido estudio preliminar, de la obra de Ángel Vázquez, ha contribuido, sin duda, a la difusión de su novela en ámbitos académicos, dando a conocer las numerosas posibilidades de estudio que esta obra ofrece.

³ Ver ésta y otras reseñas online: <http://www.rouge-inside.com/wordpress/wp-content/uploads/vazquez-chiennedeviejuanitanarboni-presse.pdf>

evoca constantemente su pasado colonial. Esta circunstancia se refleja en el discurso de Bloom a través de un lenguaje híbrido que le muestra ajeno al devenir de la ciudad, independiente e irónico en sus postulados. Su exclusión de los círculos sociales nacionalistas y el pragmatismo con el que resuelve ciertas cuestiones políticas e institucionales le convierten en un personaje indeterminado y heterogéneo.

Joyce came to delight in the possibilities of his father's world, but he did not desire to be part of it. Hence his hero is Bloom, the common man who is also the outsider, the Dubliner who is also a stranger (Cronin 1989: 88).

Paralelamente, la estructura argumental de *La vida perra de Juanita Narboni* está organizada en dos partes que contienen 54 unidades narrativas en total: 21 en la primera parte (en donde ocurren los hechos más decisivos de la vida de Juanita: muerte de su madre y huida de la hermana), y 33 en la segunda (que narran la supervivencia de la protagonista en una ciudad en ruinas). No existe un orden cronológico temporal que unifique la secuencia narrativa, pero sí permanece un riguroso presente desde el cual Juanita emite su monólogo. De esta manera, Vázquez consigue romper la barrera del tiempo y proporcionar al lector una visión histórica de una ciudad que, junto a su protagonista, cohesionan el texto de manera casi invisible: “No mires nunca para atrás, Juani, ni tampoco mires para adelante. Lo importante es el momento”⁴ (330). Para Juanita, su historia se inicia un 6 de Junio de 1914 y acaba en una fecha indeterminada de los años setenta. Aunque *Ulises* discorra a lo largo de dieciocho horas de un 16 de Junio de 1904, tanto Joyce como Vázquez logran transmitir las imágenes y sentimientos atemporales que permanecen grabados en el inconsciente de sus personajes desde tiempo inmemorial.⁵ Como explica Jung en su ensayo sobre el monólogo de *Ulises*, Joyce rescata “the imagery of the collective unconscious [...] in a current of collective life which arises, not directly from consciousness, but from the collective unconscious of the modern psyche”(Jung, 1967: 109-34). Y es en ese punto donde los dos personajes protagonistas, Bloom y Juanita, se distancian de las opiniones políticas del momento y muestran una actitud crítica que se manifiesta en un comportamiento social afectivo, irónico y receptivo. Así es el caso de Bloom cuando ayuda desinteresadamente a un ciego a cruzar la calle, al preocuparse por la Sra. Dignam, por Stephen, Molly, e incluso por el parto de la Sra. Purefoy. Y lo mismo sucede con Juanita que, a lo largo de toda la novela, se interesa constantemente por todos: “Yo, siempre yo. Aquí está Juanita para lo que ustedes gusten, a mandar”; “Yo siempre le traigo suerte a los demás, pero lo que es para mí no queda nada” (245).

El tratamiento temporal que Vázquez imprime en su historia contribuye a reforzar la idea de opresión y soledad que sufre Juanita, y que la inhabilita para tomar decisiones que resuelvan su situación de angustia y soledad. Desde sus primeros años: “¡Qué difícil es vivir, puñetas, qué difícil es todo!” (150), hasta los últimos: “El tiempo que se fue, y lo que está de mí, el tiempo que se irá. Nos iremos todos” (244), “...ya solo me veo rodeada de muertos” (245), “Estoy tan sola” (268), pasando por el engranaje de la ciudad, sutilmente enhebrado en la vida de Juanita: “Esta maldita casa que es como una tumba, en esta ciudad que es un cementerio, y yo una enterrada en vida” (382).

La soledad de Bloom se vuelve a reflejar en Hades cuando relaciona el féretro de un pequeño fallecido, que también ve en el cementerio, con la muerte de su hijo Rudy y con la carta que su padre dejó escrita a modo de despedida: “Rattle his bones [...] Only a pauper.

⁴ Ángel Vázquez, *La vida perra de Juanita Narboni*. Madrid: Cátedra, 2000.

⁵ Carl. G. Jung, “Ulysses: A Monologue”, en *The Spirit in Man, Art and Literature*. Trad. R. F. C. Hull. London: Routledge, 1967, págs. 83-105.

Nobody owns". De acuerdo con Stanley Sultan (1987:101-2), Bloom siente una soledad que le aísla en la cadena sucesoria familiar, "neither root...nor branch". Tal y como parece desprenderse de este episodio y de otros, en *Ulises*, al igual que en el caso de *La vida perra de Juanita Narboni*, las ideas - representadas o no a través de imágenes- que los personajes transmiten se hallan íntimamente ligadas al espacio/contexto en el que aparecen en la obra. La constante combinación de palabras con representaciones físicas, pensamientos y reflexiones actúa a modo de señal reveladora de la valiosa relación entre el discurso en el tiempo y en el espacio.

El mestizaje de origen que Juanita comparte con Bloom también se refleja en el lenguaje que ambos emplean en sus respectivos discursos. Si para Vázquez la yaquetía⁶ (castellano popular mezcla de andaluz, hebreo sefardí, árabe, francés, portugués e inglés) es el lenguaje de Tánger que refuerza el carácter híbrido de la ciudad, para Joyce la elección de lenguajes que exploran diferentes discursos convierten su novela en objeto de estudios e interpretaciones que intercalan a su vez a Dublín como un territorio de signos. Si Nabokov ya expresó en *Pnin* que "Man exists only insofar he is separated from his surroundings", los espacios de Dublín que Joyce delinea están marcados por presencias y ausencias que determinan el carácter de sus personajes: "In *Ulysses* I tried to express the multiple variations that make up the social life of a city- its degradations and its exultations" (Power 1974: 95). Ese es el caso de los episodios "Telémaco" (discurso irlandés nacionalista asociado a la torre); "Proteo" (Stephen y su razonamiento filosófico que cuestiona y reacciona ante el institucionalismo de Dublín); "Hades" (Bloom alienado por el antisemitismo de la sociedad católica de Dublín, "worst man in Dublin", "Are we all here?"⁷); y "Eolo" (ciudad paralizada), en los que los edificios y el pasado histórico del fracaso subversivo irlandés aparecen como emblemáticos, focalizando la atención en el lenguaje y en el discurso que tanto Bloom como Stephen logran transmitir de manera complementaria: "There are not one but two *Ulysses*... Together, though unwittingly so, they wage the battle of Dublin, the attempt to instill a foreign conscience into their native city" (Ellmann 1977: 40).

Por su parte, Juanita despliega un amplio abanico de palabras y expresiones típicas tangerinas que son fiel reflejo del collage lingüístico que existía en Tánger: "'bujali" (loca) (127), "jalugo" (cerdo) (130), "satisfachado" (satisfecho) (88), "omelette", "caja de nougats" (276), "Ça ne fait pas chic" (220), "la jeune fille mal élevée" (308). Pero no sólo la mezcla de palabras de otras lenguas merece el interés que se presta al lenguaje que impregna el habla de Juanita, sino también la incorporación y combinación de castellanos que convergen en su propio castellano: el de carácter andaluz: "despachurrado" (249), "bajío" (264), "explotido" (345); algunos argentinismos: "descangallado" (173); y cómo no, el castellano de los sefarditas de Marruecos, fielmente reproducido por Juanita: "jafreó"(181), "oriza" (204), "los teffelines" (206). El discurso que Juanita transmite al lector se traduce en una amalgama lingüística indefinible que comparte con la ciudad ese carácter voluble y cambiante que la caracteriza. Como apunta Iacobo M. Hassan, la coexistencia de una diversidad que no se impone de manera normativa a ninguna se refleja especialmente en la yaquetía, y, en este sentido, ésta es la única obra que constituye un documento histórico del habla de los españoles y judíos-españoles que, como Juanita, vivieron en aquellos años en Tánger⁸.

El resultado final de los discursos críticos que Joyce y Vázquez nos permiten aquilatar sobre las ciudades de Dublín y Tánger, a través de sus diferentes revelaciones e interpretaciones, convierten las dieciocho horas de la vida de Leopoldo en su trasiego

⁶ Véase el trabajo de Paul Bénichou, "Observaciones sobre el judeo-español de Marruecos". *Revista de Filología Hispánica* 3: (1945): 209-258.

⁷ http://www.online-literature.com/james_joyce/ulysses/6/

⁸ I.M. Hassan, <http://www.jstor/discover/10.2307/40298459?uid=3737952&uid>

itinerante por la ciudad y la existencia de Juanita en su Tánger natal en un legado ideológico de gran relevancia para el mundo contemporáneo. Como señala Bajtín: “la palabra del hablante en la novela no viene simplemente dada, ni tampoco reproducida, sino representada artísticamente”.⁹ Valgan pues estas representaciones literarias como muestra del valor artístico de sus autores.

3. La ciudad y el personaje: Dublín y Tánger: Retrato de la evolución de una sociedad

“Un hombre es la imagen de una ciudad y una ciudad las vísceras puestas al revés de un hombre” Luis Martín Santos: *Tiempo de Silencio*

La relevancia narrativa que adquieren las ciudades de Dublín y Tánger en las obras de Joyce y Vázquez ofrece al lector un complejo entramado socio-cultural con claras dicotomías de género que se entrelaza armoniosamente con la conciencia individual de los personajes protagonistas para contraponer el declive social e institucional de la ciudad frente a la propia experiencia de los personajes. El discurso narrativo emerge pues de manera irónica y subversiva para retratar e ilustrar la evolución de una sociedad en decadencia, bajo la atenta pero ajena mirada de sus protagonistas. De este modo, resulta imprescindible tener en cuenta ciertos datos biográficos de los autores (en especial del no tan conocido Ángel Vázquez) para comprender mejor el discurso ideológico que se desprende a lo largo del trasiego de sus personajes por la ciudad.

Nacido en Tánger en 1929, Ángel Vázquez vive en la ciudad internacional hasta el año 1965, en el que decide marcharse a Madrid acogiéndose a unas ayudas que facilita el gobierno de España y que marca definitivamente la diáspora de la comunidad española en Tánger que, como también otras, asistía al proceso de marroquinización irreversible que experimentó la que había sido hasta entonces ciudad moderna, tierra de libertades y germen de una prolífica actividad artística y cultural. “Zarpé para nunca jamás volver a los brazos de esa puta llamada Tánger”¹⁰. Poco después, Ángel Vázquez escribe su novela sobre y de Tánger, en un claro intento desmitificador, a lo largo de un paseo desconstrutivo que desvela las miserias de una sociedad en decadencia. Juanita y Tánger evolucionan al mismo tiempo y de la misma manera. Ambas se deslizan hacia un deterioro irreversible, pasando de una abierta y despreocupada diversidad cultural internacional a una rígida imposición institucional marroquí. “Juanita Narboni muere cuando muere Tánger y en este sentido puede considerarse un libro testimonio”¹¹. Y así, Juanita se lamenta: “El decorado es el mismo [...] pero la opereta se acabó. Ahora están interpretando en este mismo decorado una tragedia en árabe” (371). La sensación de miedo (“ni a salir me atrevo”; 371) y parálisis que Juanita experimenta al sentirse sola y alienada en una ciudad “fantasma” queda reflejada en sus propias palabras: “La que me espera... Las ruinas de Pompeya y de Atenas, todas juntas, son poco para lo que a mí me espera. ¿Adónde iré a parar?” (371). Y concluye: “Ahora es ella misma [Tánger] un cementerio [...] algunas ciudades mueren sin enterarse de que ya están muertas” (372). La proyección del discurso ideológico sobre la muerte no sólo aparece de manera metafórica en

⁹ Mijail Bajtín, *Teoría y estética de la novela*. Madrid: Taurus, 1989, pág. 149.

¹⁰ Fragmento de la carta que Ángel Vázquez envía a su amigo Carlos Sanz de Soto en 1962. Referencia incluida en *Tánger, Ciudad Internacional* de Rocío Rojas Marcos. Ed. Almed. Granada, 1989, pág. 338.

¹¹ Declaración de Ángel Vázquez en la entrevista concedida a Cristina Maza en el diario *Informaciones* 10 (1976): 20.

la representación decadente de Tánger, sino también en el espacio físico que es frecuentemente visitado y comentado por Juanita al morir su madre.

En el caso de Joyce, por todos es conocido el rechazo que éste sentía hacia todo tipo de institucionalizaciones y, tal y como señala Edna Duffy (1994), *Ulises* representa un texto de clara insurrección política en una ciudad moderna que, paradójicamente, vive en un marco socio cultural anacrónico lleno de reminiscencias poscoloniales.

Un ejemplo análogo en relación a *La vida perra de Juanita Narboni* lo encontramos en el episodio “Hades”, que presenta e ilustra la significación social que posee la muerte en la sociedad de Dublín. El recorrido que el cortejo fúnebre realiza a través de las calles de la ciudad no sólo descubre los aspectos físicos de pobreza y decadencia de los edificios y de algunas calles: “The carriage, passing the open drains and mounds of rippedup roadway before the tenement houses, lurched round the corner and, swerving back to the tramtrack, rolled on noisily with chattering wheels”¹², sino que nos permite conocer el impacto social que la muerte adquiere en una sociedad profundamente religiosa y de marcado carácter masculino. Tal y como señala Cherly Herr, “...Joyce allusive network makes evident when we examine it as an anatomy of cultural forms rather than as a catalogue of thematic accents” (Herr, 1986: 5).

All watched awhile through their windows caps and hats lifted by passers. Respect. The carriage swerved from the tramtrack to the smoother road past Watery lane. Mr. Bloom at gaze saw a lithe young man, clad in mourning, a wide hat.¹³

En este episodio se revelan también las dicotomías de género que se aprecian en la vida cotidiana de Dublín y que están presentes a lo largo de toda la obra. Joyce reproduce la relación de dominio masculino en las relaciones sociales de la vida activa de Dublín en un entorno urbano que, igualmente, margina la presencia femenina limitándola a un entorno doméstico interior. Históricamente, así lo recuerda Hill: “The rural nature of Irish society, North and South, the more limited participation of women in the work-force and the Ethos of Catholicism are among the reasons given for these differentials” (Hill, 2003: 197). Las tres mujeres que pueden considerarse protagonistas en la historia están claramente excluidas de la vida activa de la ciudad: la Sra. Dedalus está muerta y enterrada, Milly ausente, y Molly recluida en casa. Y el resto de personajes femeninos, como la mujer del fallecido (Mrs. Digman) a cuyo entierro acuden básicamente hombres, permanecen en espacios interiores y son objeto de las miradas, reflexiones y deseos masculinos. Es el caso, en este mismo capítulo, de Bloom cuando al ver mirar por la ventana a una mujer piensa: “Glad to see us go, we give them such trouble coming”¹⁴. Tal y como se presenta en Hades, las mujeres son objeto de recelo y peligro en una sociedad patriarcal, presiden la existencia sobre el nacimiento y la muerte y, como advierte el personaje Mr. Kernan, “This cemetery is a treacherous place”, al comparar las tumbas con el útero femenino (“the cemetery is a tomb/womb”) y de manera casi reversible “the womb becomes a tomb”, “The Irishmen’s house in his coffin”, como piensa Bloom al observar el entierro en “Hades”. En este sentido, Kristeva analiza que en Joyce “we shall discover that the feminine body, the maternal body, in its most unsignifiable, unsymbolizable aspect, shows up, in the individual, the fantasy of the loss in which he is engulfed or becomes inebriated” (Powers I: 20). Y al concluir el episodio, la sensación que emana del texto es la que compara a la ciudad con un cementerio,

¹² http://www.online-literature.com/james_joyce/ulysses/6/

¹³ http://www.online-literature.com/james_joyce/ulysses/6/

¹⁴ http://www.online-literature.com/james_joyce/ulysses/6/

con espacios muertos: "The gates glimmered in front: still open. Back to the world again. Enough of this place. Brings you a bit nearer everytime".

Con respecto a la obra de Vázquez, Tánger es esencialmente mujer, y de esa manera, tal y como señala Sanz de Soto, Tánger es una Juanita representada a través de otras muchas identidades que comparten el carácter proteico y babilónico de la ciudad y que, disfrazadas a lo largo de un encaje verbal adquieren una misma identidad. Y así, Juanita (nacida en Tánger, de padre gibraltareño y madre andaluza) se lamenta: "Esto de ser inglesa, siendo española, o española siendo inglesa... Antes no existía nada de eso, se decía: yo soy tangerina y todos tan contentos" (371). Sin embargo, a través del monólogo de Juanita, Tánger aparece, al igual que Dublín, como un espacio "tomado" y poseído por un orden masculino que se ramifica como consecuencia del legado cultural de cada grupo que cohabitaba en el Tánger internacional. Para Juanita, a pesar de la libertad reinante en su entorno durante los primeros años de su vida, los hombres (ejemplificados en la figura de su padre, al que desprecia profundamente) son los que marcan y determinan la vida de las mujeres. Ese sentir de represión es lo que habitualmente marca su discurso y lo convierte en un marco referencial de la tradición cultural española, anclada en terreno religioso y sometida a un acervo machista que la acompaña a lo largo de toda su vida. "Toda mi vida me he estado dejando llevar como un pañuelito arrastrado por el viento" (134). Y el viento, que en numerosas ocasiones aparece caracterizado como masculino -"Este desvergonzado ventarrón que te alza las faldas [...] que te abofetea como si fuera un chulo y tú una mujer cualquiera, y te hace subir la cuesta de la playa, a trompicones..." (129)- es el que ejemplifica el concepto que Juanita tiene y ha aprendido de los hombres. El mismo que ha vivido en su propia casa, con su padre, al que no escatima adjetivos hirientes ["barrica de whisky (192), "cerdo libidinoso" (216), "cabrón" (218), "cochino" (225), "viejo verde asqueroso" (233)], y en forma de reproche: "Nunca hemos contado nosotras para ti..." (175); "Ahora tranquilito, tu despacho y tú [...] lo que haces es agarrarte a promesas para que no te abandonemos" (198); "¿Qué se habrá creído el tío éste? ¿Cómo has podido aguantar, mamá, todo esto durante tantos años?" (217). Y, por extensión, la homofobia que Juanita desarrolla la impide relacionarse con los hombres de manera racional: "Mamá lo decía: los hombres son todos unos viciosos. ¡Qué asco!" (214). Por este motivo, Juanita intensifica una frustración sexual que aparece y desaparece en su vida al igual que las contradicciones que se desprenden de otros pensamientos mezcla de deseo y represión: "Yo cierro los ojos y expreso un deseo. Zorrito, bésame. [...] Me mira y sonrío, el cabrón. ¿Qué me das? ¿Qué me está ofreciendo este loco? Es duro. ¡Un rábano de azúcar cande! [...] ¡Indecente!" (172).

Si el Dublín de Joyce y el Tánger de Vázquez son geografías que encierran historias, son éstas las que provocan en ambos escritores una insubordinación que desmitifica la ciudad y su crónica. En este sentido, "In the Dublin of *Ulysses*, aspiration is rarely matched by achievement, perception fails to confirm intuition, and actions do not lead to expected results..." (Hart 1977: 183), y el Tánger de *La vida perra de Juanita Narboni* oculta unas señas de identidad que se derrumban con el deterioro progresivo de la ciudad.

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Reinventing *Alice in Wonderland* with a Steampunk twist: Jeff Noon's *Automated Alice*

Lucía Prada González
University of Oviedo
luciaprada@hotmail.com

Abstract

In 1996, British author Jeff Noon, a Carroll admirer, published *Automated Alice*, a third Alice adventure in a futuristic and post-industrial Manchester. Imagining what Lewis Carroll might have written by the end of the 20th century, he created a novel with a steampunk flavor in which he experiments with Carroll's universe and style, and combines it with quantum mechanics, robots and gadgets. The result is a playful revision of the classic text, simultaneously a tribute to Carroll and an irreverence to the literary canon. In my paper I analyze the manner in which Jeff Noon reinterprets Carroll's novels and reinvents his legacy for an adult audience in the late 20th century. By means of a comparative analysis of Carroll's and Noon's novels, I present the similarities and divergences in the authors' styles, thus illustrating Jeff Noon's attitude towards the *Alice* books and the ideology lying behind his decisions.

Keywords: Lewis Carroll, Jeff Noon, Alice, adventure, version, adaptation, rewriting, steampunk, cyberpunk, children's literature, Wonderland, post-industrial, post-human, dystopia

1. Introduction

Automated Alice is a novel by Jeff Noon, the third of the four titles which conform his Vurt series. It is a Lewis Carroll experiment, a third Alice adventure in which, instead of Wonderland, Alice travels from 1860 to an alternative and futuristic Manchester in the year 1998, a dystopian and over-industrialized city in which authorities have infected citizens with a disease called "newmonia", which has caused their bodies to mutate into hybrids. In her adventures in the future, Alice becomes a main suspect in a case of several macabre killings popularly known as the "Jigsaw Murders". What she and the police ignore is that she is being set up by Mrs. Minus, a corrupt and evil authority representative who wants her and a group of visionary scientists and artists dead.

Although Noon's literature normally tends towards the cyberpunk genre—a branch of science fiction characterized by a dystopian view of the near future, in which technology plays a crucial role in human relationships—in this case, the British author's Carrollian experiment rather ventures into the steampunk. In this paper I analyze the characteristics in *Automated Alice* which have led readers and fans to associate it with steampunk literature, as well as the elements in Lewis Carroll's *Alice* books which I believe have inspired some of Jeff Noon's choices for his personal reinterpretation of the children's classics.

1.1 What is steampunk?

First of all, what is steampunk? The term *steampunk* was coined by writer K. W. Jeter in a letter he wrote to *Locus* magazine in April 1987 to refer to the type of literature that he as well as other authors created. This genre, inspired by classics like Jules Verne and H. G. Wells, has

been described as Victorian science fiction —using the term “Victorian” in a loose and non-historical sense, and thus encompassing the Edwardian and Industrial Revolution eras. Its setting involves a nostalgic re-imagining of the past, a futuristic and sci-fi reinvention of old-fashioned technology which results in anachronisms. It imagines extravagant manners in which nineteenth century technology could have evolved and explores its possibilities with science fiction methods.

In his book *The Steampunk Bible*, expert Jeff VanderMeer describes in great depth the concept of Steampunk and analyzes its development from literary genre to subculture and way of life. In his opening chapter he shares what he calls “the Steampunk equation” —a schematic and visual description which features the basic characteristics of this genre and explains the manner in which they interact:

STEAMPUNK = Mad Scientist Inventor [invention (steam × airship or metal man / baroque stylings) × (pseudo) Victorian Setting] + progressive or reactionary politics × adventure plot. (VanderMeer 2011: 9)

In his brief equation VanderMeer is able to explain Steampunk in terms of the type of story it usually features, its setting, central character(s), aesthetics and ideological values. According to his theory, a Steampunk novel needs to have a character who is a mad scientist inventor and who works on the creation of either an airship or an automaton powered by steam, a key technological element in the Industrial Revolution. The setting of the novel will have a nineteenth century nostalgic flavour, but it will not necessarily be historically precise. The story will present an adventure plot, probably a quest or investigation with action and fight scenes, and the ideology lying behind the text will be rather progressive: the mad scientist will be a visionary who understands the flaws of the society where he lives and who, aided by his inventions, will embark on an adventure seeking to (re-)establish social justice.

2. What makes *Automated Alice* steampunk

Jeff Noon seems to be reluctant to accept labels on his literature. He claims he does not consciously write cyberpunk, although, paradoxically enough, one of the quotations taken from a newspaper review that appears on his novels’ covers and dust jackets proclaims him “Britain’s first star of cyberpunk”¹. Similarly, when asked about *Automated Alice* and its possible steampunk touch, he limits himself to saying that he wrote it trying to emulate what Lewis Carroll could have done if he had had access to the scientific knowledge available by the end of the twentieth century. Taking into account the fascination that Carroll had for mathematical and logical games, Noon is convinced that Carroll would have been intrigued by concepts such as the relativity, the possibility of time travelling, or the chaos theory, for instance, and that he would have used them in his *Alice* adventures. Thus, Noon claims to have written a “trequel” to the other two *Alice* books, a sequel in an imaginary series of three titles (Santala 2003).

In any case, whether intentionally or not, the truth is there are several features in *Automated Alice* which do match the description of steampunk, and which explain the reason why some people have identified it as belonging to this genre. If we go back to VanderMeer’s equation and try to apply it to *Automated Alice* we will make some interesting findings. The first element in his equation is the mad scientist inventor who creates steam-powered airships or automata, an element that is present in Jeff Noon’s novel. In her struggle to prove her

¹ Featured on the front cover of *Pollen*, quoting a review from *The Guardian*.

innocence and fly from the police, Alice is aided by a group of extravagant scientists and artists who are being chased themselves by the government for elaborating dangerous conspiracy theories. Among the members of this group is a sculptor who optimizes Alice's doll and makes her look like an automated, computerized and perfected version of Alice—the automated Alice character which the title refers to—, and a scientist who builds very complicated and flamboyant artefacts as means of transportation.

The second element in the equation is the (pseudo) Victorian setting. Although most of the action in *Automated Alice* is set in an alternative 1998, the protagonist does come from the year 1860, which is also the year in which the story both begins and ends. Furthermore, all the way through her adventures in the future Alice takes with her her set of old-fashioned cultural values and beliefs—proper of the Victorian era and a trigger for misunderstandings and comical situations.

The third element is the progressive or reactionary politics, something that is also present in *Automated Alice*: the whole story is a tale of rebellion, the struggle of one innocent girl immersed in a conspiracy tailored by an oppressive and totalitarian government, and only aided by a few visionary underdogs. Although it costs them some of their lives, in the end virtue wins the battle, the cruel main leader is destroyed, and there is a general sense of re-established justice.

Finally, the fourth element in the equation is the adventure plot. As I have already hinted at in this paper, *Automated Alice* does have an adventure plot: it is a quest story with some touches of crime fiction in which the protagonist is assigned a series of successive tasks before she can find what she is looking for and go back to normal life. In the story there are several action scenes which help advance the plot and give the novel a faster rhythm, as well as create a suspense. Coinciding once more with the steampunk taste, many of those action scenes count with a high dose of gadgets, extravagant weapons and clinking machines.

Apart from the basic elements in VanderMeer's equation, there are other characteristics which the author associates to steampunk aesthetics and which are also present in *Automated Alice*. One of those characteristics is the tendency to use gothic or gore elements (VanderMeer 2011: 55), something that is not absolutely necessary in a steampunk novel, but which is often present in them, and is indeed featured in *Automated Alice*. The novel begins with Alice looking out of a window at her aunt and uncle's house in Manchester—a house with views to the cemetery—on a cold stormy night of November. The description of the atmosphere is very gloomy, something which Alice associates to the presence of factories in the city, which she dislikes and finds very unsettling. During her reflections as she looks out of the window, she describes Manchester as a “frightful city” (Noon 1996: 11), thus positioning herself as a defender of pastoral England who feels threatened by the rapid industrial development that is taking place in the North of the country, an area which she finds scary and uncanny. The illustration on this page, where tombstones and statues of angels stand up against a black sky, contribute to the gloominess described in the text.

Similarly, there are scenes in the book which have gore elements. As I explained further up, when she travels to the future Alice is accused of being involved in the “Jigsaw Murders”, a series of macabre killings in which victims appear with their limbs chopped off and reassembled in extravagant ways. In these scenes, Jeff Noon makes very detailed descriptions of the manner in which the bodies of the victims are re-arranged, thus playing with black humour and the aesthetics of disgust. I will illustrate this point with a passage in which Celia—the automated version of Alice—asks the protagonist to wake up a Fishman hybrid who appears to have fallen asleep, to which Alice replies: “Firstly, I can't wake him; secondly, his left fin is sprouting from his forehead; thirdly, his gills are where his eyes should be; and fourthly, his tail is flopping out of his mouth!” (Noon 1996: 174).

A last important feature that VanderMeer identifies as connected to steampunk and that I would like to comment on is the references to pop culture: because steampunk has become a subculture in itself, there are several art forms that it has permeated —other than literature—, such as cinema, music, visual arts and craftsmanship. Thus, steampunk manifestations conform a wide web of art works which interact with each other and give the concept plurality and multiplicity (VanderMeer 2011: 132-162). In *Automated Alice* there are references to icons of popular culture, such as Jimi Hendrix, Miles Davis, and Quentin Tarantino, even though their names and art appear as slightly reinterpreted. For instance, Jimi Hendrix is featured in the novel as Jimi Hentrails, a robot who plays music with a guitar that is made with an old racket and several other discarded items. Creating useful artefacts out of what would normally be considered as “a bunch of junk” is something basic for a steampunk way of life; it is a way of creating beauty out of forgotten objects, of turning back to the past to give old rejected things a second chance to be useful and look good in the present time. This is why Jimi Hentrails could be very well said to play music with a steampunk guitar.

3. Where Carroll and VanderMeer meet

Now that I have argued the reasons why one could associate *Automated Alice* to steampunk, I proceed with one further question: what could be the aspects in the Carroll’s *Alice* books which prompt a steampunk reinterpretation of his world? In this last section of my paper I focus on three aspects in which Carroll’s universe and Noon’s steampunk revision seem to have a point of convergence.

The first of these aspects is the mad characters. In her adventures in Wonderland, Alice has a succession of encounters with very extravagant and nonsensical beings, and quite often she makes remarks on their insanity: during the trial at the end of *Wonderland*, after one of her conversations with the Red Queen in *Looking-glass*, or during her ‘Mad Tea Party’ with the March Hare, the Dormouse and the Mad Hatter, just to mention a few. Her whole journey in each of the novels is a series of crazy arguments after which she usually feels rather unnerved. Similarly, in *Automated Alice*, the protagonist moves around the city of Manchester hopping from one misunderstanding to the next, and often concluding that the future is too strange for her. However, some of these apparently “mad” characters are not so much so: as I explained further up, despite their quirkiness some are visionaries who understand their society in a deeper and more critical way —they appropriate the concept of madness and reverse it into a positive rebellious attitude that fights for social justice. Furthermore, in contrast with the characters in the *Alice* books, these actively help Alice in her quest.

The second point of convergence would be the authoritarian social system and its power of decision over helpless individuals. If in Noon’s Manchester the city is governed by a corrupt collective who oppresses citizens and uses them for their own personal agendas, in Carroll’s *Alice* books Wonderland is ruled by mentally unstable totalitarian monarchs who behave like spoiled children and threaten with decapitation to those who dare disagree with them. Both Noon’s and Carroll’s worlds are led by megalomaniacs who put their own personal interests before those of the people they rule over. Although the *Alice* books do not carry an open rebellious message against monarchy, some critics like Jan Susina have argued that Carroll’s representation of an aristocracy that behaves so childishly is a covert declaration that the real worthy people in Victorian England were the middle classes, represented by Alice. (Susina 2011: 45)

The last of the three aspects I enumerated earlier is the references to hallucinations. Both of Carroll’s *Alice* books have a dreamy atmosphere in which odd events succeed one another without an apparent logic —not in vain, the stories themselves are presented in the narration as dreamt by Alice and/or the king. Furthermore, some characters appear smoking

exotic pipes, and even the protagonist's own size varies depending on what side of a mushroom she bites from: there are several elements in Carroll's novels which have prompted rather psychedelic readings during the past decades. Therefore, given Noon's interest in exploring the subconscious side of the human mind and the boundaries between real and non-real in his literature, it is not surprising that his own *Alice* novel follows a similarly dreamy narration, and that he even includes an episode of drugs consumption. This episode resembles the one from *Wonderland* in which Alice meets the caterpillar who is smoking a hooka and who tells her to eat from the mushroom he is sitting on. In Noon's novel, when Alice is sent to jail, she shares a cell with a huge snailman hybrid who plays jazz and who offers Alice to join him on a hallucinogenic trip that brings the girl back to a pastoral scene memory. The facts that he talks very slowly and almost loses track of his own ideas, and that the illustration shows musical notes floating out of his trumpet, both suggest a visual parallelism with the illustrations of the smoking caterpillar from *Wonderland*, and an implication that the snailman is under the effects of some drug.

To conclude, Jeff Noon might not be a purist of steampunk, but there are good reasons to believe his *Automated Alice* ventures into the realm of Victorian science fiction. His own personal tendency to produce cyberpunk literature —a sister genre— and his admiration for Carroll's Victorian novels seem to have found in the steampunk style the right place to create his experimental tribute to a fetish author.

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Technology and the Poetics of Early 20th Century Urban Space: Theorizing the Modernist Sublime

Esther Sánchez-Pardo¹
Universidad Complutense de Madrid
esanchez_pardo@filol.ucm.es

Abstract

Modernist writers had a conflicted relationship to technology, ranging from technological utopianism to deep pessimism. In an attempt to discuss the place of the Sublime in modernist literature and art, this paper illustrates our discussion with the work of two major poets, Hart Crane and William C. Williams and their shared utopianism and pessimism, placing it into the larger context of the Machine Age. We will discuss the relationship between their poetics and the modernist debate surrounding engineering, industrial design, and mass reproduction. The products of technology were fetishized in early consumer culture as the quintessential manifestations of “the new”, and so these poets, ideologically committed to an avant-garde poetics of perpetual innovation, were led to embrace technology in their poetry. Often, in fact, they used bridges, skyscrapers, and advertisements, as analogues for the poem itself.

Keywords: technology, sublime, modernism, urban space, ecstasy

In the decades leading up to the 20th century, the development of high-speed electric elevators and the perfection of new methods of urban development allowed for the construction of taller buildings than ever before. The need to maximize space in the busy downtowns of Chicago and New York made them the early centers of the modern buildings called by the poetic term “skyscraper”. The skyscrapers converted the city into a canyon-land, with the sky itself a gash of blue geometrically arranged by the building tops. “Down Wall, from girder into street noon leaks, / A rip-tooth of the sky’s acetylene” (“To Brooklyn Bridge”, Crane 2006: 33), writes Hart Crane in *The Bridge*, and indeed public concern over the disappearance of sky, air and light in the city centers gave rise to regulation of skyscraper plans and heights in 1916, and led to the stepped-back profiles common to modern skyscrapers.

Though tinged with an ironic edge, F. Scott Fitzgerald’s description of the skyline of New York City rising in magnificent and magical towers gets at the sense of innocent architectural wonder that the skyscraper evoked in the 20s:

Over the great bridge, with the sunlight through the girders making a constant flicker upon the moving cars, with the city rising up across the river in white heaps and sugar lumps all built with a wish out of non-olfactory money. The city seen from the Queensboro Bridge is always the city seen for the first time, in its first wild promise of all the mystery and the beauty in the world (1995: 73).

As David E. Nye has demonstrated, “the skyline had emerged as a new visual category” by the last decade of the 19th century, a lighted silhouette that had created “an artificial

¹ This research was supported by MICINN (FFI2009-13454)

horizon, a completely man-made substitute for the geology of mountains, cliffs, and canyons” (Nye 1994: 91). The skyline of New York held a visceral fascination for many painters and writers, such as Hart Crane, Vladimir Mayakovsky, Joseph Stella, and Georgia O’Keefe, among many others. In 1912 Arnold Bennett wrote that “a great deal of the poetry of New York is due to the sky-scraper. At dusk the effect of the massed sky-scrappers from within, as seen from any high building uptown, is prodigiously beautiful, and it is unique in the cities of this world. The early night effect of the whole town, topped by the ...Metropolitan tower, seen from the New Jersey shore, is stupendous, and resembles some enchanted city of the next world rather than of this.,,” (1912. 45–46). The skyscraper was the prime urban symbol of the power of business, and of the magic of engineering. It was widely viewed as a modern wonder, a massive icon of vertical sublimity (Nye 1994: 7–10).

Nye finds in the American enthusiasm for bridges, skyscrapers, dams, and other great feats of engineering an example of what Leo Marx calls the “technological sublime” (Marx 1964: 195). He contextualizes the emergence of the “rhetoric of the technological sublime” in early-nineteenth-century America, claiming that “the entire relation between man and nature is being transformed” at that time (1964: 195). In his view, technology joins, and even supplants, Nature as the source of the sublime. The Brooklyn Bridge, for example, popularly known as “the Eighth Wonder of the World”, impressed the painter Joseph Stella, who described it as “the shrine containing all the efforts of the new civilization of AMERICA—the eloquent meeting point of all forces arising in a superb assertion of their powers, in APOTHEOSIS. [. . .] I felt deeply moved, as if on the threshold of a new religion or in the presence of a new DIVINITY” (*In transition* 1990, 199). In Crane’s *The Bridge*, it is a sublime artifact that “lend[s] a myth to God” (Crane 2006: 34), and part of a Machine Age religion of “SCIENCE—COMMERCE and the HOLY GHOST” (Crane 2006: 41). Russian Futurist Vladimir Mayakovsky’s 1925 poem “Brooklyn Bridge” approaches the structure with a similar fervency of belief: “As a crazed believer / enters / a church, / Retreats / into a monastery cell, / austere and plain; So I, / in graying evening / haze, Humbly set foot / on Brooklyn Bridge” (2007, 57). While Mayakovsky, Stella, the Italian futurists and others described engineering as the new divinity in a secular era, for poets like Hart Crane and William C. Williams that role was to be filled by art, and so their poetry about building evokes the technological sublime as a means of expressing the artistic sublime.

Hart Crane intended his long poem *The Bridge* (1930) as his masterpiece; the key evidence is that he worked on it for six years from 1923 to 1929. Just as important, it was to be his repudiation of T.S. Eliot’s *The Waste Land*, which appeared in 1922, and whose utterly convincing portrait of modern civilization in fragments seemed to do away with the dream that the new art could regenerate American society. On many American poets, its effect was to confirm them in a cultural pessimism that sought antidotes in order, discipline, and tradition. Crane felt called to challenge what he saw as Eliot’s suffocating negativity, and hoped to “apply as much of [Eliot’s] erudition and technique as I can absorb and assemble toward a more positive, or (if [one] must put it so in a sceptical age) ecstatic goal. I should not think of this if a kind of rhythm and ecstasy were not (at odd moments, and rare!) a very real thing to me” (Jan 5, 1923 letter to Gorham Munson; Crane 2006: 308).

The Bridge was meant to show that “ecstasy” was as valid for the modern poet as despair. If Eliot wrote about alienation, Crane’s governing metaphor would insist on the possibility of connection. “The very idea of a bridge, of course, is a form peculiarly dependent on . . . spiritual convictions”, he wrote to Waldo Frank in 1926. Reading *The Bridge* today, one does capture what Crane called the “feelings of elation . . . like being carried forward and upward simultaneously . . . that one experiences in walking across my beloved Brooklyn Bridge” (Letter Jan 18, 1926; Crane 2006: 431).

For Crane, as for contemporaries like the painter Joseph Stella and the photographer Walker Evans (whose photographs illustrated the first edition of the poem), the Brooklyn Bridge was the perfect subject for the modern American artist –a utilitarian cathedral, whose majestic form emerged spontaneously from its mechanical function. In a period obsessed with its belatedness, Crane simply refused to accept that the modern world was diminished or disenchanted, and his poetry, at its best, uses language strangely and vitally enough to vindicate its claim to ecstasy. This is the promise that survives the legend of Crane’s life and death, and even the achievements and the flaws of his work. His jubilant optimism, so at variance with the circumstances of his own life, also would estrange him from fin-de-siècle America.

Just as the cult of technique sought to achieve cultural power on the coattails of science, so as Lisa M. Steinman argues “it was not only the style and creativity but the public acceptance of technology that Williams wanted to claim for poetry” (1987: 87). As Steinman observes, William Carlos Williams’s “defense of America as the birthplace of modernism rests on his awareness that America was distinctly modern because of its technology and industrial know-how” (1987: 82). In America’s technological advance Williams sees an epistemology of empirical observation, “paying naked attention first to the thing itself”, that is a lesson for the arts. “Yet”, he complains, “we are timid in believing that in the arts discovery and invention will take the same course. And there is no reason why they should unless our writers have the inventive intelligence of our engineers and cobblers” (Williams 1969: 35; see a discussion of this passage in Steinman 1987: 82–83).

In Williams’s 1923 poem “New England” all these themes intersect. The poem shows a futurist enchantment with the power of engineering, the integrity of materials, modern construction methods, and the idea of engineering as a replacement for the mystical impulse. Skyscraper construction is itself constructed as a masculine enterprise. And finally, the poem through self-reflectivity transfers this sublimity and masculinity over to the act of writing poems.

NEW ENGLAND

is a condition –
of bedrooms whose electricity

is brickish or made into
T beams –They dangle them

on wire cables to the tops
of Woolworth buildings

five and ten cents worth –
There they have bolted them

into place at masculine risk –
Or a boy with a rose under

the lintel of his cap
standing to have his picture

taken on the butt of a girder
with the city a mile down –

captured, lonely cock atop
iron girders wears rose petal

smile – a thought of Indians
on chestnut branches

to end “walking on the air” (Williams 1986: 249)

Williams doesn't give us here a static finished building; but rather a self-reflexive look onto the work in progress. The short lines in “New England” make it echo the skyscraper's verticality, and its narrow stanzas mirror the riveted steel girders which form the skeleton of the building's structure. The poem takes us one step back in the architectural art, allowing us to see the workers, the construction materials, revealing the skeleton that will structure our perceptions when the completed building is covered with a skin of masonry and glass. The poem itself is an act of construction, a building constructed out of word-objects. Reader and author are co-creators of a construct that is an act of will traversing the empty sky. An “electricity” of the sublime imagination runs through the building materials, the bricks and T beams, as a kind of eternal Platonic essence manifested in temporary forms.

I would like to build upon the classical idea of the sublime, to suggest a notion of the modernist sublime epitomized in poems such as *The Bridge*, and “New England” among others. In order to do that, we find ourselves inevitably tracing our way back to a historical discourse, to eighteenth-century thinkers such as Edmund Burke and Immanuel Kant who theorized sublimity in its ‘classic’ form, or to nineteenth-century artists such as painters like Caspar David Friedrich or Joseph M.W. Turner, with whom the aesthetic of the sublime is closely associated.

In his *Critique of Judgment* (1790), Kant investigates the sublime, stating “We call that sublime which is absolutely great” (§ 25). He distinguishes between the “remarkable differences” of the Beautiful and the Sublime, noting that beauty “is connected with the form of the object”, having “boundaries”, while the sublime “is to be found in a formless object”, represented by a “boundlessness” (§ 23). He considers both the beautiful and the sublime as “indefinite” concepts, but where beauty relates to the “Understanding”, sublime is a concept belonging to “Reason”, and “shows a faculty of the mind surpassing every standard of Sense” (§ 25).

For William Blake, there was none of the Kantian or Romantic sense of an “unrepresentable” (unrepresentability of that boundless dimension), or of the failure of representation. Two crucial aspects, the infinite and the divine are there to be directly intuited precisely by a form of visionary experience which will reveal it directly in its naked truth, a sort of ‘revelatory sublime’. It is crucial to note that the relationship between the subject and the experience of the sublime is mediated by vision, not with the sense of sight but rather with the Blakean notion of ‘visionary vision’. In *Songs of Innocence and Experience*, William Blake distinguished among four different stages of vision, only three of them are vision in the sense of “seeing” beyond material reality. (2001a: 721–23).

Finally, it is also crucial to understand the importance of the link between the sublime, vision and what we may call the ecstatic moment (a moment of bliss when the subject is overwhelmed by an overflow of sensation). The ecstatic refers to a state outside of the body. Historically, ecstasy has been associated with spiritual and mystic states. Bataille conceives of ecstasy as a “‘yawning gap’ between the one and the other” (1988: 59)— a dissolving of the boundaries between traditional subject-object relationships. Rather than attaching this idea to a specific state or act, I would like to suggest we use this term as an active concept describing a means of production. Furthering Bataille's notion, Jean-Luc Nancy points out “one could not properly say that the singular being is the subject of ecstasy, for ecstasy has no ‘subject’ – but one must say that ecstasy happens to the singular being”. This concept of ecstasy as a state outside one's self yields potential for new forms of experience (1991: 7).

The ecstatic moment is predicated on being there, being present, being an event. For Crane, poetry is concerned with the organization of the sensible and that organization is to a great extent a mirror of the social; but, rather than being a one-to-one reflection of the social, the poem can act as a prophetic force for the future due to its inherently ambiguous material and anti-material nature.

As Hart Crane and William Blake pointed out, we find ourselves at a higher understanding only when we reach the point of excess (“The road of excess leads to the palace of wisdom”, Blake 2001b: 35), and only once we as viewers (as analysts) become aware of the natural balance of ecstasy and terror (facing the modern metropolis or the incommensurability of the ocean in the case of Crane) does that initial resistance towards the negative transform back into awe, as a reaction to the sublime, at this point what we are calling the “modernist sublime”.

Along the same line, Williams writes in “Beauty and Truth,” the artist discovers the impalpable essence behind the universe as expressed in specific forms and since “That truth can only be expressed in form” begins to “labor with materials” so that “through the discovery of a more and more nearly complete expressive form ... it is possible for man to approach nearer and nearer to perfection” (Williams 1974: 167–68). Thus the act of engineering magnificent new poetic forms is an ongoing effort to construct new and modern divinities on the earth approaching perfection.

In my tentative approach, and as a conclusion, I would argue that the modernist poet experiences the sublime mediated by a quality of vision, or a state of heightened awareness produced by a sense of ceaseless motion and displacement, the fragmentation of subjectivity, the inadequacy of language to give an account of human existence, the new urban landscape (that supplants nature), the side-effects of industrialization, technology and the devastation of the war, the scientific, medical and social discourses of surveillance and control, and the commodification of whole areas of experience with the rapid expansion of capitalism, colonialism, and world trade.

In Crane’s poetics, his ability to visualize “fantasy forms” from actual forms, to create an image from a reality, to project the form of Brooklyn Bridge into “an arc synoptic of all tides below” (2006, 32), is the product of the “ecstatic moment”. In “New England,” Williams similarly suggests that as we descend the lines like chestnut branches or steel girders we simultaneously ascend into the heights of the poem and end up “walking on the air” (1986: 249) in the final line. On a Jacob’s ladder of words the poet scales the heights, bordering ecstasy, climbing up to storm the blank heaven of the unwritten page. Can perfection be attained? The path is open as writing itself.

Writing thus constitutes a rethinking of what kind of an “ekstasis”(fr. Ancient Greek *ἐκστασις* (*ek-stasis*), “to be or stand outside oneself”) or “transport” the sublime may have been (or may still be). The ecstasy of the sublime, and the experience of being in transit and crossing the boundary, is that of poets and artists, always negotiating the way in which one is always already “outside of one’s own self...”. This fundamental discussion will take us further into researching states of intense emotional rapture, of the trancelike experience of the spiritual, and even to an original notion of Dionysian ecstasy which connects the poet with others (and radical Otherness) in this world.

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War and its Zeitgeist: Spender, the Elegy, and Poetry in Transition

Esther Sánchez-Pardo¹
Universidad Complutense de Madrid
Esanchez_pardo@filol.ucm.es

Abstract

British poetry of the 1930s and 1940s exhibits a very different relationship to history than the poetry of its predecessors, making its way through a course that has been ravaged by war, devastation and trauma. This paper discusses a selection of poems from Stephen Spender's *Ruins and Visions* (1942), as products of the *Zeitgeist* of their times in order to reflect upon crucial transformations in poetic forms –especially the elegy– and concerns in the interwar period, a time open to the violent and chaotic experiences that a turbulent history was producing.

Keywords: War poetry, trench poets, Stephen Spender, 1930s generation, elegy.

Poetry-writing allowed the first generation of the Great War poet-soldiers a space to explore those aspects of their experience which were too painful for them to acknowledge and still keep fighting. Thus we can see how the artistic productions of the trench poets—including those poems which are expressly anti-war—actually served to keep the soldiers invested in the fighting and in their position as soldiers against the unbearable conditions of modern warfare by allowing them to refigure the complex emotions of war in productive ways (rather than in self-destructive ones). At the same time, by bringing up the emotional intensity of war, the poetry also led them to question the meaning of war. Thus, the poetry always functioned in more than one way, and in ways which were not always reconcilable. The poets' questioning of the war led to some of the most searing indictments of war ever written.

In this paper, we will look into the poetry of Stephen Spender (1909–1995), who in our view is one of the poets who acts as some sort of transitional figure between the first generation of the war poets and the poets of the 1930s and 1940s. Spender retains a strong commitment to the lyrical voice and we can trace his poetic evolution in his elegies. Whereas the poets of the late 1930s and 1940s responded against the political engagement of the previous generation, and further rejected strict adherence to the social and literary tenets of their predecessors, they used a variety of themes and motifs coincident with those of the previous generation to convey a belief that European civilization was destined to collapse.

Artistic sublimation is frequently discussed in terms of the transformation of drives and urges. Clearly in the context of writings about war, the sublimation of drives should be considered a subsidiary form of sublimation, since the field of battle already forces one to encounter very direct expressions of aggressive impulses. However, sublimation also entails the transformation and representation of highly cathected experiences,² often ones that are disavowed because they are extremely painful. Thus artistic sublimation becomes one means

¹ This research was supported by MICINN (FFI2009–13454).

² In psychoanalytic terms, a *cathexis* is an unconscious investment in or attachment to an object.

for confronting trauma by opening up a transitional space in which the writer can articulate experiences that are too traumatic to face in other contexts. According to Winnicott,³ a transitional space is only a potential space” because it does not occupy a precise ontological location; it is not part of the subject’s inner reality, but neither would it be considered part of external reality. It is a zone which the subject imaginatively creates through encounters with a “transitional object” or, more generally, through “transitional phenomena”.⁴ Such spaces have a potentially transformative power because their appeal to the senses resonates on both objective and deeply personal levels. In his work *Playing and Reality*, Winnicott suggests that literature, and indeed all aspects of our “cultural experience”,⁵ should be understood as transitional phenomena which help the subject to mediate his relationship to external reality.⁶ In *The Shadow of the Object*, Christopher Bollas articulates these ideas more fully in his psychoanalysis of “aesthetic moments”: “the aesthetic space allows for a creative enactment of the search for this transformational object relation, and we might say that certain cultural objects afford memories of ego experiences that are profoundly radical moments.... [I]n the arts we have a location for such occasional recollections: intense memories of the process of self-transformation” (29). In other words, the aesthetic space of literature occupies a potentially transformational space for the subject reading it. Hence, according to Bollas, the reading subject opens himself up to a possibly transformative experience; reading has the potential to change us. I would add that this is also true for the subject writing it. For the soldiers of the Great War, poetry writing helped them to reconstruct themselves in accordance with their new identity as soldiers. The potential space of poetry’ also allowed them a forum where they could confront those aspects of their war experience which had to be shutdown in order to continue fighting, although there was some danger attached to such moments of revelation. While writing could sometimes be a means to discharge emotions like fear and anxiety and rework them as poetry’, the poet could not always control the intensity of those emotions once he allowed them to appear in the writing. If we understand writing poetry to be one means of creating a transitional space, then we can see how sublimation plays an important role in the construction of the soldiers’ identity. Klaus Theweleit also provides a useful model for examining the relationship between the soldiers’ poetry and their fighting. In *Male Fantasies*, Theweleit explores the violent fantasies which infect fascist rhetoric in order to show how the German soldiers desire was powerfully reshaped by the Great War.

Wars have lasting psychological effects upon the men who fight them; the process of transforming men into warriors cannot necessarily be reversed after they are no longer needed to fight. As Barbara Ehrenreich explains in the foreword to *Male Fantasies*, “it is not only

³ For Winnicott’s discussion of transitional spaces, see *Playing and Reality*.

⁴ According to Winnicott, transitional objects and transitional phenomena precede “true” object-relations, because, in the infant’s perceptions, they are not completely differentiated from him (or her). Instead, they are those objects or activities through- which the infant first comes to recognize differences between himself and the world. Through such interactions, the infant is able to imaginatively create, and thus exert some control over, his relationship to the external world. See “Transitional Objects and Transitional Phenomena” in *Playing and Reality*, pp. 1–25.

⁵ As examples of forms of “cultural experience”, Winnicott lists such diverse activities as “listening to a Beethoven symphony”, “making a pilgrimage to a picture gallery”, “Reading Troilus and Cressida”, “playing tennis”, “playing with toys” and playing pop music. The activities fall roughly into two categories: games and art. See *Playing and Reality*, p. 105.

⁶ See “The Location of Cultural Experience” and “The Place Where We Live” in *Playing and Reality*, pp. 95–110. For a discussion of how Winnicott’s notion of the transitional space impacts upon literature, see Gabriele Schwab, “The Transitional Space of Literature” in *Subjects without Selves*, pp. 22–48.

that men make wars, but that wars make men" (xvi). The leaders of the German *Freikorps* that Theweleit discusses were drawn from the officers and leaders of the German army after their defeat in the First World War. Given that we are discussing the same war, it is not surprising that we find similar psychological mechanisms—as well as distinct forms of resistance to those mechanisms—operating in the writing of the trench poets. After all, the war took its emotional toll on both sides. Theweleit carefully dissects the pathways whereby libidinal drives are transferred from sexual objectives and redirected into violently destructive impulses. In doing so, he argues persuasively that sexual and violent libidinal drives should not be seen as strictly opposed, for they often work by reinforcing each other. Significantly for our argument, Theweleit turns to fictional and autobiographical accounts in order to uncover how fantasy operates in the construction of the male soldier. This move confirms the important role which literature plays in reshaping the soldier's desire. His argument thus depends upon the power of sublimation to simultaneously channel aggressive drives into artistic production and to rechannel other drives into more aggressive ones.

The work of the trench poets alternately tries to make sense of the experience of modern war by associating it with a long-standing poetic tradition—chiefly the lyric and pastoral elegy—and it shows the inability of poetry to account for the shattering experience of modern warfare within a traditional framework.

The trench poets' refusal to treat death in war as heroic, or even to offer a traditional memorial to the war dead, led directly to William Butler Yeats's well known rejection of their writing. Yeats's rejection of the war poets indicates both the depth of the resistance to the trench poets and the degree of force that was required to repulse their challenge to traditional conceptions of war poetry. At issue in the modernist debate surrounding the trench poets and Yeats's exclusion of them from *The Oxford Book of Modern Verse* is the question of what is required for poetry to be considered tragic. From Yeats onward, critiques of the trench poets have centered on the issue of poetic form, arguing that the trench poets failed to represent the Great War adequately because their writing did not move beyond the lyric form, which was unable to contain or express the full experience of war. This strictly formal critique contains and masks a thematic criticism which, we believe, is at the heart of the debate. Although Martin Gray claims that the lyric form is antipolitical and anti-ideological,⁷ it was precisely the ideology of the lyric that Yeats rejected. In the literary criticism of the first half of the century, lyric poetry is aligned with a romantic ideology that places the concerns of the individual over the social body. It is therefore considered unsuitable for representing war because to view war properly one must be able to see that the interests of the nation not only rise above the individual, but that they can in turn elevate the individual who sacrifices himself for such a cause. The precedence given to the personal suffering of the soldiers by the trench poets was seen as a direct effect of the lyric form.⁸ In effect, Yeats's argument that the lyric is an inappropriate form for war poetry faulted the trench poets for failing to ensure that their writing helped to reinscribe the values that support war. Yeats's criticism of the trench poets deliberately conflated formal and thematic issues; he argued that their theme of passive suffering is not proper to poetry because passive suffering is not tragic. But the Aristotelian notion of tragedy does not finally rest upon an active form of suffering—a heroic self-sacrifice—nor is classical drama without similar examples of passive suffering.⁹ Rather the

⁷ See "Lyrics of the First World War: Some Comments" in *British Poetry, 1900-50*, pp. 48-64.

⁸ See Johnston, *English Poetry of the First World War*, p. 7.

⁹ One of the things at stake in this debate is the definition of passive versus active suffering. For Yeats, the distinction between active and passive would be that the active participant openly invites his fate upon him, sacrificing himself to a higher good, such as Oedipus blinding himself and allowing the curse to fall upon his own head in Sophocles's *Oedipus Rex*. The passive sufferer, then, is sacrificed

emphasis in classical drama is upon the representation of suffering itself, and the cathartic response it evokes in the audience. Nor is the cathartic effect of tragedy necessarily linked to a corresponding didactic function, although such a link is implied by critics who argue that the trench poets failed to convey the tragedy of the war because their writing emphasized the suffering of the soldier over the heroism of death in war. Instead of the traditional iconography of war, the trench poets sought to convey the emotional and sensory impact of the war. Hence their emphasis on particular details: the bodies, the landscape, the thin line of sky visible from the trench. Then there was the horror of the trenches themselves.

No poetic description of the Apocalypse could compare with the war itself, which seemed the physical embodiment of every scene of annihilation. The trench poets were clearly interested in arousing a similar emotional experience through their writing; feelings of pity, in particular, are associated with their poetry by both the poets and their critics. Nor is pity the only emotional response elicited by the poetry; it is also closely related to the fear which Aristotle argues tragic poetry evokes: disgust, anger, pride, and compassion. Thus the poetry fulfills the cathartic function of tragedy -it arouses and forces the reader to confront feelings of pity and horror. The term catharsis is usually understood to mean the “purgation” of strong emotions through their expression. Certainly a great deal of the war poetry fits this definition.

Far from being an unsuitable form for representing the experience of war, the lyrical elegy, insofar as it serves to commemorate and memorialize a loss, seems an entirely appropriate form to turn to in order to represent the tragic loss of life in war. The elegy traditionally deals with themes of loss and death, mourning and consolation. Thus it makes sense to find that in elegiac war poetry more emphasis is placed upon coming to terms with one’s pain and suffering than upon the heroic actions of the soldiers.

In Stephen Spender’s elegies a transitional space of significant transformative potential is opened up and fuelled by a desire to remember and commemorate the losses of so many lives. Spender’s “To Poets and Airmen”, included in the second section “Ironies of War” of his volume *Ruins and Visions* (1942) presents us with the poet in his public persona. Spender grieves for the men he has known dying as airmen in defence of their country. “To Poets and Airmen” is a prime example of the poet’s autobiographical reflections, being a powerful elegy on the iniquity of bombing innocent civilians and the dangers faced by a city’s defenders and rescuers. The poem is dedicated “To Michael Jones in his life, and now in his memory” (32). Spender explains this dedication in his autobiography *World within a World*:

Michael Jones [was] killed in an accident while training with me during one of the worst nights of the Blitz (...) If I tried to commemorate some of these men in poems, it was exactly because poetry was what I had in common with them and it was this that they came to me for. It is right to say that the service they required of my generation was that we should create (293)

John Sutherland, Spender’s biographer, has remarked, “Jones was one of the ‘few’ – young warriors with Hermes’ ‘Iron wings tied’ t their Greek heads’ (one of the many lines lost in the poem’s rewritings)” (293). Spender’s personal tribute to his friend and fellow poet addressed a generation of courageous young men who require “a bullet’s eye of courage/ to fly through this age” (32), and in the perilous battle of Britain. In Spender’s admonition to remember, and then to forget, this elegy commemorates those men who served as soldiers but were first and foremost poets.

by another and lacks the power to determine his own fate. For examples of passive suffering in Greek tragedy see Sophocles’ *Oedipus at Clonus* and Euripides’ *The Bacchae* and *Iphegenia in Aulis*.

And yet, before you throw away your childhood,
With the lambs pasturing in flaxen hair,
To plunge into this iron war,
Remember for a flash the wild good
Drunkenness where
You abandoned future care,

And then forget. Become what
Things require. The expletive word.
The all-night-long screeching metal bird.
And all of time shut down in one shot
Of night, by a gun uttered.

In this elegy, Spender sees war as inevitable until peace can be regained and mourns the deceased pilots. He uses resources in myth (the above mentioned allusion to Hermes, the Greek messenger of the gods and guide to the underworld) and innovative imagery -f-ex. In relation to the military, technology and the machines for war –which contribute in important ways to his compelling rhetoric and depurated style.

As John Sutherland reports in Spender's biography, the poet's last published poem was also an elegy. Published in the *London Magazine* in July, 1995 and entitled "Timothy Corsellis," this poem is devoted to a young Battle of Britain pilot whom he had met through the journal *Horizon*. Corsellis had complained on being switched from fighters to bombers on the grounds that he wished to fight against destruction, not to destroy. Like Michael Jones, he died in a flying accident, and Spender recalled in his diaries that he had spent a day with the young airman. Corsellis had addressed a poem to Spender that came out in an anthology of war poetry, and since then Spender had in mind "a poem in which I endeavoured to thank Corsellis" (Sutherland 561):

No gift this Christmas, Timothy Corsellis,
-Transport, Transatlantic, pilot-
Could equal this, your poem that reached me
Here, but with news that you were dead –
Shot down or lost mid-ocean...drowned...

Once again, Spender comes full circle to his memories of the war and to the elegy, in an effort to come to terms with his experience of pain and loss. In this potential space of transformation, the elegy plays a leading role: formally and aesthetically fit to accommodate highly cathected experiences, the elegy operates in the transference between poet and reader, in an attempt to compensate for loss, it does have a cathartic effect that goes hand in hand with the turbulent world of the first decades of the 20th century.

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Reading Traces in Alice Thompson's *The Falconer*

Sonia Villegas López
University of Huelva
sonia.villegas@dfing.uhu.es

Abstract

Alice Thompson's fourth *novella*, *The Falconer*, enacts the relationship between the historical and the fictional by focusing on the critical notion of the "trace". This concept has been recently assessed in the light of Paul Ricoeur's and Jacques Derrida's writings, among other critics. This paper proposes a comprehensive interpretation of traces in the three senses that contemporary metaphysics dictates, namely, the typographic, iconographic and engrammatological, and contends that the Scottish writer uses the motif of the trace to give full substance to a past that is mostly grounded on unsaid or non-written evidence, a version of truth that has been hidden or erased for political reasons and that is restored to full presence in the end. Presentness is, thus, in *The Falconer* an act of gender and national vindication.

Keywords: Trace, Scottish fiction, detective fiction, Paul Ricoeur, Jacques Derrida, presentness.

Published in 2008, *The Falconer* is the fourth *novella* of the Scottish writer Alice Thompson. As in her former works, namely *Justine*, *Pandora's Box* and *Pharos*, and, we could also argue, her latest fiction to date *The Existential Detective*, Thompson combines her taste for myth with the popular form of the Scottish mystery. In most of her texts, she constructs an intricate plot around the figure of the detective, a role played either by a professional private investigator, like Venus in *Pandora's Box* or William Blake in *The Existential Detective*, or an amateur one, as Iris Tennant in *The Falconer*. Thompson also plays with the power that mythical women distil, usually functioning in pairs or opposites, like the Justine-Juliette construction in *Justine*, Venus-Pandora in her second novel, or the characters of Daphne and Iris in *The Falconer*. A traumatic event or violent and unexplained death usually overhangs and contributes to the rarefied and Gothic atmosphere of her stories: the case of the abductor abducted in *Justine*, the bloody murder of Pandora in *Pandora's Box*, the ghostly Lucia in *Pharos*, the loss of Emily, Will's daughter, in *The Existential Detective*, or Daphne Tennant's suicide in *The Falconer*. Following the example of other remarkable women writers in the Scottish tradition preceding her, Thompson aims at reconciling the realist and the symbolic (Stirling 2008: 116-7), particularly in relation to gender appraisals, an exercise in which *The Falconer* is a case in point. This *novella* best enacts the relationship between the historical and the fictional by focusing on the notion of the "trace". This concept has been highly influential in critical theory, and recently read in the light of Paul Ricoeur's and Jacques Derrida's writings. This paper proposes a comprehensive interpretation of traces in the three senses that contemporary metaphysics dictates, namely, the typographic, iconographic and engrammatological. My contention is that Thompson uses the motif of the trace to give full substance to a past that is mostly grounded on unsaid or non-written evidence, a version of truth that has been hidden or erased for political reasons and that is restored to full presence in the end. Presentness is, thus, in *The Falconer* an act of gender and national vindication.

Traces are initially the material clues that Iris Tennant collects to solve the mystery of her sister's untimely death. The sensuous and charming Daphne is said to have committed

suicide for no obvious reasons while working as secretary for Lord Melfort, a Scottish MP during the interwar years. Since her arrival to Glen Almain, where she has planned to occupy her sister's place under a false name, Iris is overwhelmed by sumptuous nature and its inhabitants: the stiff Margaret Melfort and her two sons, the gifted Edward, and the traumatized Louis, a Great War veteran; Hector, the gardener; Margaret's sister, Agnes, who never abandons her room; the mysterious falconer who once appeared in the state and remained there; and the distant Xavier Melfort, among others. History is set against the background of the novel. Glen Almain stands as the physical reminiscence of the old feudal system, playing a significant part in the Jacobite risings of the 18th century in which the Melforts sided with the English cause. At present, the castle is also the setting of Melfort's conversations and dealings with agents of the Nazi regime like Heinrich Berger, housing his plans for appeasement between England and Germany. Iris will try to connect the loose evidences of her sister's life at the castle, and will discover her flirting with both Edward and Louis, the falconer's unrequited passion for her, and little by little her relationship with Berger. In the process, Iris will fall captive of the oppressing environment of Glen Almain and its people, following Daphne's footsteps in falling in love with Edward and fascinating Louis, and being possessed by the haunting presence of the glen's beast to whom everyone makes responsible for Daphne's death.

Interpreting Derrida's work on the trace in *Of Grammatology*, David Krell explains its pervasive function in critical theory and culture. Traces can be of three kinds:

Typographic: persons, objects, and events make their mark on the mind, impressing their characteristic signs as presences which—if all goes well—will remain on call for *recall* at will. Iconographic: because these persons, objects, and events are now absent, hence “are” “not,” their presence in and to the mind must be accounted by means of a certain likeness. Engrammatological: because likeness or verisimilitude itself announces a fatal incommensurability or difference, a gap in both time and space between the (present) image and its (absent) original, the icon is from the outset translated into a medium that effaces itself and promises to close all the gaps—the medium of inscribed letters, letters of the phonetic alphabet. (1990: 165)

Traces are reproduced and “recalled” at demand in these three senses in *The Falconer*. Daphne's existence can be traced typographically as her memory remains everywhere in the castle and in the lives of the people who met her. Her trace is also iconographic, since Edward sculpts her statue representing her as the mythical heroine turned into a laurel tree, trying to escape from her captor Apollo, and turned physically into stone by the hand of the artist. Finally, Daphne's absence at present can be engrammatologically traced, her presence enacted by different physical means: dresses, a finger, and a suicide note—the medium of inscribed letters to which Krell referred—that Iris finds in Daphne's former room and in Edward's Cabinet of Curiosities, respectively.

Paul Ricoeur follows Marc Bloch when he claimed that “[h]istory ... aspires to be a science of traces” (2004: 13). As Derrida, Ricoeur distinguishes as well among the three kinds of traces that he associates to the iconic, the graphic and the corporeal, cerebral or cortical imprint. It is the last one that might be of use now for our analysis. According to the critic, corporeal memory is “affected with varying degrees of temporal distantiation”, and similarly is invoked in association to memory places, that is, in relation to how we move from one place to another, and most importantly how we relate to the place we inhabit (2004: 41). This is done both at individual and collective levels, so that places are finally charged with personal and historical significance. We could infer, therefore, that memory places might work as corporeal traces, as Ricoeur implies:

These memory places function for the most part after the manner of reminders, offering in turn a support for failing memory, a struggle in the war against forgetting, even the silent plea of dead memory. These places “remain” as inscriptions, monuments, potentially documents, whereas memories transmitted only along the oral path fly away as do the words themselves. (2004: 41)

Glen Almain and the Melforts’ castle play this complex role for Thompson’s characters. Place keeps Daphne’s memory alive more powerfully than other corporeal reminders, that might even be manipulated and become misleading. Glen Almain is a monument to memory from beginning to end, as mentioned above. A further exploration of the means by which Daphne’s absence manifests physically at present and gives the clue to solve her mystery and the characters’ conflicts will follow.

Iris’s purpose in the opening pages of the novel is to build her sister’s memory out of substantial traces. Therefore, her first move is to find clues of Daphne’s life at Glen Almain and to collect the fragmented memories that its inhabitants might have of her. This process is described in material terms, like the reading of a map (Thompson 2008: 25) or erecting a castle—“She would build a castle of her sister’s last few days. It would be made of stone, as real as the castle that lay at the end of the avenue lined with the vertebrae of silver-boned breeches” (2008: 34)—. The references to stones and images of petrification recur significantly in the story, emphasizing the solidity of corporeal and memory places. They live nearby the petrified forest that looks “life skeletal monuments to the dead; testament to lost life” (2008: 46); Iris feels petrified when entering Louis’s dusty room; and the falconer’s love for Daphne also “turned his body to stone” (2008: 126).

A substantial part of Iris’s investigation takes place in Louis’s room, holding the Cabinet of Curiosities. His collection mingles natural and artificial objects that, like museum holdings, are rationally labelled. What is most interesting, though, is Louis’s conscious manipulation of memorabilia, as he turns common objects into marvellous pieces. In so doing, he gives full entity and presence to originals that were never such, as he does with a yellowish tooth which was said to belong to the beast of the glen, or to Daphne’s suicide note written by Lord Melfort. The deceptive note is set side by side to a finger bone labelled as “*Daphne’s finger, left behind by the beast of Glen Almain*” (2008: 73). When Iris discovers that Daphne’s note has been forged, her finger becomes by extension a fake piece of evidence. Louis enacts what Krell refers to as the “articulation ‘before’ substance, tracings without wax” (1990: 180), or in Derrida’s words, the revelation of an absolute past which is not possible to reconstruct, “the relation to a past, to an always-already-there that no reactivation of the origin would be able to master fully and reawaken to presence” (*Of Grammatology*, in Krell 1990: 181). Remembering bears an intrinsic relation to forgetting, as Petar Ramadanovic notes, and it is usually myth that activates memory:

Having unveiled the secret of all secrets that the origin is covered by forgetting, the myth does not reveal what is forgotten nor what forgetting is, but rather reinstates and reinforces a certain logic of the origin before which there is nothing and with this origin, the myth makes it impossible to remember the forgotten. (2001: 12)

It could be argued that this is partly Thompson’s purpose in revisiting myth in her novel: to suggest a familiar origin for a story, Daphne’s, for which the mythical referent works as a mnemonic tool.

Dreams and other manifestations of the preconscious also provide information about how typographic traces work in the novel. Freud’s essay *Beyond the Pleasure Principle* (1921) offers the clues to interpret the behaviour of Louis, Iris and Margaret in *The Falconer*. In keeping with the causes and effects of traumatic neurosis, Freud subscribes the pathology

to the realm of the preconscious, the small area of the unconscious that can be hold (Freud 1921: 19). For him, as Anne Whitehead points out, “memory became an effect of the impact of the outside world on the unconscious and the preconscious”, and “trauma resulted from a breach in the protective field of consciousness” (2007: 187). Louis suffers from shell shock, a trauma that is channelled through his compulsion to collect objects, and that has left indelible traces on his mind, as examples of his interior monologues reveal:

The War had taught Louis fear and it now motivated him. He had learnt well. And no matter what he did, fear accompanied him, leaping about his body like a mischievous elf. (...) Louis sometimes thought it was so obvious he was fearful, it was disturbing how few people noticed. He was always amazed by what people didn't notice. As if there was a parallel universe in which the things only he noticed, existed. (Thompson 2008: 44; original italics)

Iris's trauma for her sister's death often manifests through trance-like states and recurrent dreams in which Daphne often appears and talks to her. Revealing dreams include one in which she sees herself as the glen's beast, running through the forest, “her mouth full of the taste of blood, weighed down by her new animal nature and the full moon” (2008: 55), or another in which her sister is crossing the field of the Scottish island of Gruinard, previously associated to Melfort's business with Berger, littered with soldiers' corpses (2008: 65). In both cases, the dream functions as the preconscious manifestation of the trace, and even, to use Ramadanovic's terms, as “something that lingers close to memory: a memory of the future” (2001: 32). Finally, trauma also explains Margaret Melfort's behaviour to a great extent. Cases in point are her stern determination to preserve her family name and her estate at all costs in the face of historical change and evolution, and her obsession to collect pictures of dead children (Thompson 2008: 25), which speaks of her own trauma at having lost her grandchild, Daphne's and Edward's unborn baby (2008: 110).

The past is iconographically represented by different means. Edward's statues preside the path to the castle and, in imitation to other characters in Thompson's former fiction, are meant not so much to represent but to capture women's essence and beauty, as in the sculptures of the two sisters. On the other hand, Iris tries to hide at first her physical likeness to Daphne, though everyone would notice their many similarities at a given time. Nonetheless, she will exploit that likeness to precipitate events by wearing her sister's dress at the final party. Curiously enough, the trace replaces the original, most probably as it never was, and the party ends for Iris when Edward rips her dress off, what leaves her wondering: “*Is this what he had done to Daphne? Was what had happened to her sister now happening to her?*” (Thompson 2008: 103; original italics). Precisely, this reflection sets the engrammatological reading of the trace in motion, as it announces the gap between the “original” and absent Daphne and her image at present, Iris, and promises the closing of this gap by the effacement of the icon. Iris's changing course in the novel will offer a second chance to Daphne's story: Daphne's pregnancy will not reach full term due to her death but Iris, also pregnant by Edward, manages to abandon Glen Almain with the purpose of denouncing Melfort's betrayal to the British authorities, thus fulfilling the mythical task that her name bore with it: “Iris, the rainbow. The messenger of the gods” (2008: 130), as Edward had remarked.

Alice Thompson rejects conventional realism in this novel, embracing instead a hybridity of genres that includes myth, gothic, fantasy and the detective story, in evident dialogue with other remarkable Scottish precedents. She blends and superimposes, as Monica Germana aptly suggests, supernatural and psychological elements in a peculiar way: “The Scottish supernatural does not belong in a transcendent other world, but challenges the stable boundaries of seen and unseen, real and imagined, same and other” (2010: 2). The exploration of that otherness, that difference, represented by the trace, proves to be useful to deconstruct

identity parameters, namely (the Scottish) nation, gender and belonging. Identity must necessarily be taken as a fluid notion, reproduced variously in the novel: the fluidity of Glen Almain's natural environment—the merging of water and sky—, the thin line between dream-like and waking states—Iris dreams of her sister and communes with fairies—, or the tricky difference between the discourses on peace and war, allies and enemies, prevailing in Britain during the interwar years. The reading of traces—understood as the remnants, or else, as the present substitute for the absent past—remains likewise an activity “on the verge”, or a “hollow”, in Merleau-Ponty's words, a phenomenon in the making, never completely fulfilled, both made and unmade (2002: 210).

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Linguistics

A look at the ephemeral concessive subordinator *howbeit*¹

Cristina Blanco García
Universidad de Santiago de Compostela
cristina.blanco3@rai.usc.es

Abstract

The inventory of adverbial subordinators has undergone considerable changes over time and it is still far from being stable in the present day. Middle English was a period of great innovation, as roughly 75% of the adverbial subordinators recorded at this stage had no predecessors or were not used in this function in Old English. The next stage, Early Modern English, is considered to be a period of changes and instability. As a matter of fact, a high percentage of adverbial links from that stage did not survive beyond the period and those that were added to the inventory at the time lasted shortly. Hence the label ‘ephemeral subordinators’. Among adverbial connectives, concessive subordinators underwent a steady increase from Old English to Present Day English showing also a strong tendency for renewal. It was in Early Modern English when a large number of concessive connectives were introduced, though only half of them entered the next period. This paper pays attention to one of these so called ephemeral adverbial subordinators, namely *howbeit*, in the Middle and Early Modern English periods as represented in *The Helsinki Corpus of English Texts*.

Keywords: *howbeit*, adverbial subordinator, concessive, ephemeral, Early Modern English, *The Helsinki Corpus*.

1. Introduction

The aim of the present piece of research is to offer a preliminary approach to the study of *howbeit*, an ephemeral concessive subordinator, in the Middle and Early Modern English periods as represented in *The Helsinki Corpus of English Texts*. Given that most ephemeral adverbial subordinators are, according to Kortmann (1997: 335), innovations of the Early Modern English period, the emphasis will be on the behaviour of the selected subordinator in this stage of the history of the language, as it is considered to be a period of changes and instability. In fact, a high percentage of adverbial subordinators from that stage did not survive beyond the period and those that were added to the inventory at the time lasted shortly. Hence the label ‘ephemeral subordinator’.

Although Kortmann (1997) has shown the major tendencies in the history of adverbial subordinators in English, there is not any specific study devoted to ephemeral subordinators in the history of English as such. As regards concessive connectives, there are some general

¹ I gratefully acknowledge the following institutions for financial support: Spanish Ministry for Economy and Competitiveness (grants BES-2012-057555 and FFI2011-26693-C02-01), European Regional Development Fund and Autonomous Government of Galicia (Directorate General for Scientific and Technological Promotion, grant CN2012/012). I also wish to thank two anonymous reviewers for their very helpful comments on an earlier version of this paper and to the audience at the 36th AEDEAN Conference (Málaga, November 2012), especially Dr Cristina Suárez for her extremely valuable suggestions.

studies such as König (1985, 1991, 1994) and two studies on the history of another concessive subordinator, namely *albeit* (Sorva 2006, 2007). The main reason for choosing *howbeit* for the present study is that it faithfully represents the notion of ephemeral subordinator within the concessive domain.

2. Concessive subordinators in the history of English

Subordination has increased over the course of the history of English, especially since Early Modern English (hereafter eModE). Internal and external factors contributed to the expansion of the use of subordination from this period onwards.

As shown by Kortmann (1997: 333), concessive subordinators have been constantly increasing in the course of history. See Table 1 below:

OE	ME	eModE	PDE
<i>þeah (þe)</i>	<i>theigh, though (that)</i>	<i>though (that)</i>	<i>though</i>
<i>sam...sam</i>	<i>although (that)</i>	<i>although</i>	<i>although</i>
<i>swa...swa</i>	<i>(g)if (that)</i>	<i>if (that)</i>	<i>if</i>
	<i>suppose</i>	<i>suppose (that)</i>	<i>for all (that)</i>
	<i>notwithstanding</i>	<i>notwithstanding (that)</i>	<i>as</i>
	<i>al [inverted w.o.]</i>	<i>for all (that)</i>	<i>except (that)</i>
		<i>gra(u)nted that</i>	<i>granted that</i>
		<i>albeit (that)</i>	<i>albeit</i>
		<i>an(d) (if)</i>	<i>whereas</i>
		<i>how(so/some)ever</i>	<i>while</i>
		<i>howbeit (that)</i>	<i>when</i>
			<i>whilst</i>

Table 1: Concessive subordinators in the history of English (adapted from Kortmann 1997: 333)

As the table shows, in Old English there were scarce concessive subordinators: *þeah (þe)*, *sam...sam* and *swa...swa*. However, in the Middle English period their number doubled and it continued to increase in eModE up to eleven different forms. Furthermore, it was at this period when a larger number of concessive subordinators were introduced, six in all: *for all (that)*, *gra(u)nted that*, *albeit (that)*, *an(d) (if)*, *how(so/some)ever* and *howbeit (that)*; however, only half of them entered the next period: *for all (that)*, *granted that* and *albeit (that)*, although the latter is considered to have a restricted use in Present-Day English, for which reason some English grammars do not consider it. This is the case, for example, of the grammars by Quirk et al. (1985: 1098-1100) or Biber et al. (1999: 843-844). As regards Present-Day English, Kortmann recognizes ten concessive subordinators; nevertheless, it must be noted that he includes four subordinators that are not primarily concessive, namely *when*, *whereas*, *while* and *whilst*. Besides, it is particularly remarkable that only one subordinator, namely Present-Day *though*, is present in the four periods of the English language and its counterpart *although* is the second subordinator that lasted the most, from Middle English to Present-Day.

The inventory of concessive subordinators provided by Kortmann (1997: 33), however, is not exhaustive. Thus, for example, Visser (1963-1973, II: 903-911) adds to the above list twelve concessive subordinators: *all if* (occasionally in Middle English), *even* (it stresses the

concessive notion in Modern English), *set* (mostly in the Scottish dialect), *though all* and *Deah all* (only in Old English and Middle English), *all but though* and *all but if* (not frequent but more common in late Middle English), *how so* and *how well* (common in late Middle English and eModE), *as though* and *as that* (common in Middle English and in Modern English), and *in such manner* (*wyse*)... *that* (common in Old English, Middle English and eModE).

It seems therefore that English has continually increased the list of adverbial subordinators which can express concession. Furthermore, the inventory of concessive subordinators exhibits a strong tendency not only for expansion, but also for renewal, since there are some subordinators whose history was ephemeral, as they did not last long, in some cases no more than a century. *Howbeit* is a prototype subordinator of the aforesaid tendency.

3. *Howbeit* as a case in point

According to the OED (s.v. *howbeit*, adv. and conj.), *howbeit* was initially an analytic sequence of three words: *how be it*, with past tense *how were it*, which could be both an adverb and a conjunction. As an adverb it meant ‘however it may be; be that as it may; nevertheless; however’ (s.v. *howbeit* adv. A), as shown in (1).

- (1) ***How-beit*** *in the meane time, the English Aduenturers did winne much ground.* (J. Davies Discov. Causes Ireland 2; OED s.v. *howbeit* adv.)

Furthermore, the conjunction, which had the meaning ‘though, although’ (s.v. *howbeit* conj. B), was originally followed by *that* which, according to the OED, was the actual conjunctive element. Example (2) provides the first occurrence of the conjunctive use of *howbeit* given in the OED, dating back to 1398.

- (2) ***How be it that*** *this dyuyne essence maye not be perfyghtly knowen yet there is no any mortall persone but that he woll confesse ther is a god.* (J. Trevisa tr. Bartholomew de Glanville *De Proprietatibus Rerum*; OED s.v. *howbeit* conj.)

The last occurrence of the conjunction *howbeit* in the OED is dated 1634; see example (3) below:

- (3) *I would fain have access and presence to The King even **howbeit** I should break up iron doors.* (S. Rutherford Lett.; OED s.v. *howbeit* conj.)

Kortmann (1997: 333) considers *howbeit* as a characteristic concessive subordinator of the eModE period, both with and without the subordinating marker *that*. He also states that this subordinator is no longer used in Present-Day English. In fact, *howbeit* is not listed as part of the inventory of concessive subordinators in any of the standard grammars of Present-Day English (Quirk et al. 1985; Biber et al. 1999 and Huddleston and Pullum et al. 2002). Similarly, Visser (1963-1973, II: 902) does not count *howbeit* as a concessive subordinator in his *Historical Syntax of the English Language*, which may give us an idea of the scarce representation that this conjunction might have had in the history of English.

The Helsinki Corpus of English Texts (hereafter HC) yields a total of forty-three occurrences of *howbeit* in its different spellings. The list of forms includes *howbeit* and its unverbated variants *howebeit*, *howebeyt*, *howbeyt*, as well as four non-fused spellings: *how be it*, *how it were*, *how beit* and *how be hit*, and those variant forms in which the elements are separated by hyphens: *howe-be-it*, *how-beit*, *how-beit*. However, twenty-two of the

occurrences were excluded from the analysis, since in them *howbeit* functions as an adverb rather than as a concessive subordinator. Illustrative examples of the adverbial use of *howbeit* in the HC are given in (4) and (5) below.

- (4) ***Howbeeit***, *it happeneth so sommetymes, that the pricke on whiche you would make the perpendicular or plum line, is so nere the eand of your line, that you can not extende and is so nere the eand of your line, that you can not extende any notable length from it to thone end of the line, and if so be it then that you maie not drawe your line lenger fró that end, then doth this conclusion require a newe ayde, for the last deuise will not serue.* (HC, 1500-1570, Record, Robert *The Path-Way to knowledg, containing the first principles of geometrie*, 1551)
- (5) ***Howbeit***, *hee said also, that his skill was such, that if a man were wounded at (^Yorke^), bring him the weapon that hurt the Patient, and he would cure hi (^forsooth^) by onely dressing of the weapon, and though he neuer see the Patient.* (HC, 1570-1640, Clowes, William *Treatise for the Artificial Cure of Struma*, 16)

Table 2 below shows the distribution of the twenty-one occurrences of the subordinator *howbeit* in the Middle English and eModE sections of the HC. Normalized frequencies for a text length of 100,000 words are also provided.

Sub-period	N° of words	Tokens	Normalized frequency
M1 (1150-1250)	113,010	0	0
M2 (1250-1350)	97,480	0	0
M3 (1350-1420)	184,230	0	0
M4 (1420-1500)	213,850	5	2.34
E1 (1500-1570)	190,160	12	6.31
E2 (1570-1640)	189,800	4	2.11
E3 (1640-1710)	171,040	0	0
TOTAL	1,159,570	21	10.76

Table 2: The subordinator *howbeit* in the ME and eModE sub-periods of the HC.

The evolution of *howbeit* as a concessive subordinator in the HC material is shown in Figure 1 below.

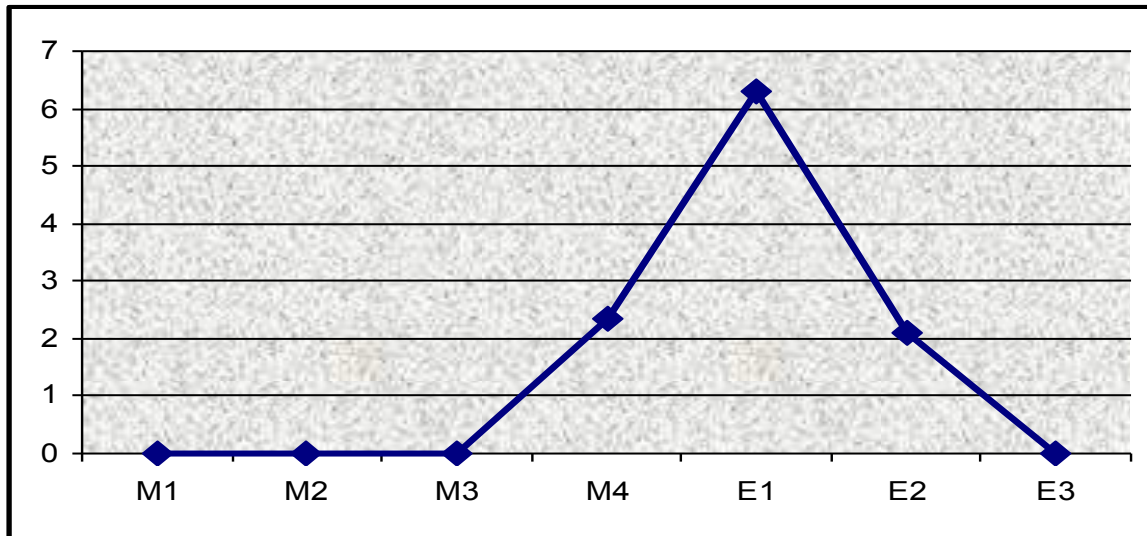


Figure 1: Historical development of *howbeit* in the HC.

As Figure 1 shows, the history of *howbeit* seems to have been a rather short one: it first occurred in the last sub-period of ME (1420-1500) and it disappeared by the early 17th century, after a peak in E1 (1500-1570). Illustrative examples from M4, E1 and E2 are given in (6), (7) and (8) below respectively.

- (6) *Wyth this so cam Tybert the catte wyth an Irous moed and sprang in emonge them and sayde My lord the kyng I here hier that reygnart is sore complayned on and hier is none but that he hath ynowh to doo to clere hym self that courtoys hier complayneth of that is passyd many yeres goon **how be it that** I complayne not that pudying was myne.* (HC, 1420-1500, Caxton, William *The History of Reynard the Fox*)
- (7) *And this to try he furder said, he was ful loth **howbeit** he was content with small adoe, to bring me where to see it.* (HC, 1500-1570, Stevenson, William *Gammer Gvrtons Nedle*, 2)
- (8) *Do the rulars knowe in dede, that this is very Christ? **Howbeit** wee know this man whence he is: but when Christ commeth, no man knoweth whence he is.* (HC, 1570-1640, *The New Testament. The Holy Bible. An exact reprint in Roman type, page for page of the Authorized Version published in the year 1611*, chap. VII)

Although Kortmann (1997: 333) does not include *howbeit* in the list of concessive subordinators for the Middle English period, occasional instances are attested in the last subperiod of the HC. However, it must be noted that the five examples from M4 show the subordinator in its non-fused form, and Kortmann (1997: 333) does not consider the early stage of *howbeit* when it was an analytic conjunctival phrase. Furthermore, *howbeit* can still be characterized as typically eModE, if we compare the normalized frequencies for Middle English (2.34) and eModE (8.42).

In addition, it is worth mentioning that in the 16th century the marker of subordination *that* was relatively common after conjunctions to indicate in a clear way that what preceded was a subordinator (Rissanen 1999: 303). Nevertheless, the data from the HC indicate that the subordinating marker *that* was not frequent with the subordinator *howbeit*, as there is only one instance of this combination in the material (cf. example (6) above). Notice that this example

shows the non-fused form of the subordinator and it dates from M4 (1420- 1500), coinciding with one of the first occurrences in the corpus.

Besides, the HC data also reveal a tendency for the concessive subordinate clauses introduced by *howbeit* to be placed in initial position in the sentence. A total of fifteen concessive subordinate clauses introduced by this subordinator, representing 71.43% of the total, are placed before their corresponding main clause. Interestingly, there is a close correspondence between the non-fused form of this subordinator and their position in the clause as eleven out of the fifteen concessive subordinate clauses placed before their corresponding main clause are introduced by the non-fused form of *howbeit*, representing the 72.72% of the total. An illustrative example of this tendency is given in (9). The other possible position is final (cf. (10)), which accounts for 28.57% of the cases.

- (9) ***How be it*** *this texte after the letter is understonde of Crystys cote without seme, yet conveyently it may be understonde of every mannys lyfe or soule.* (HC, 1420- 1500, *In Die Innocencium, Sermo Pro Episcopo Puerorum*)
- (10) *This conclusion serueth for makynge of quadrates and squires, beside many other commodities, **howbeit** it maye bee don more readylye by this conclusion that foloweth nexte.* (HC, 1500-1570, Record, Robert *The Path-Way to knowledg, containing the first principles of geometrie*, 15)

Finally, it is worth mentioning that in the HC material the subordinator *howbeit* is widely distributed among authors and text types. The author who uses it more frequently is William Tyndale, with four occurrences, all of them in the same writing, the translation of *The New Testament* (see (8) above). Example (11), in turn, shows *howbeit* used by a woman, Elizabeth Stonor, in an informal text type, a private letter.

- (11) ***How be hit*** *the barge is comyn with þe said stuff as þis nyght at vij of clocke: and Syr, soo hit will be the morne or I can recyvyd hit* (HC 1420-1500 Stonor, Elizabeth *Letters by Elizabeth Stonor to William Stonor*, 18)

4. Conclusions and suggestions for further research

The main conclusions that can be drawn from this piece of research are the following:

- Judging from the evidence of the HC, *howbeit* is a prototypical ephemeral concessive adverbial subordinator, as it is attested only from M4 to E2, with a normalized frequency of 10.76 per 100,000 words. Moreover, there are no traces of this concessive subordinator in any of the standard grammars of Present-Day English.
- The tendency pointed out by Risannen (1999: 303) that the marker of subordination *that* is relatively common in combination with adverbial subordinators especially in the 16th century cannot be corroborated by *howbeit*, as the corpus yields only one instance of *howbeit that* from the early 15th century.
- Subordinate clauses introduced by *howbeit* tend to be placed sentence-initially in the HC material.
- The subordinator under analysis is widely distributed among different authors and text types. However, there have been found four occurrences in William Tyndale's works, all of them in the same writing.

Many questions have been left unresolved in this preliminary approach to ephemeral concessive subordinators, among them the study of other ephemeral concessive markers, such as *and (if)*, *notwithstanding*, *how(so/some)ever*, in order to obtain a more comprehensive picture of ephemeral concessive subordinators in the history of English. Furthermore, it would be interesting to study the behaviour and development of the prototypical concessive subordinators *although* and *though* in order to compare them with these low-frequency concessive connectives. Besides, these ephemeral concessive subordinators should definitely be studied in a larger corpus than the one used for the present investigation as well as in a corpus covering from the early 18th century onwards to dismiss the possibility of a revival of any of these so-called ephemeral adverbial subordinators.

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A Preliminary Study of Sexist Language in Matthew Weiner's *Mad Men* through the Female Characters of Betty Draper, Joan Holloway and Peggy Olson

Tamara Bouso
Universidad de Santiago de Compostela
tamara.bouso@rai.usc.es

Abstract

This paper examines instances of sexist language in relation to three female protagonists in Matthew Weiner's television drama *Mad Men*: Betty Draper, Joan Holloway and Peggy Olson. It argues that the sexist practices depicted in this TV series, both domestically and at the advertising agency itself, have a strong effect on the configuration of the identity of these three female characters: 'the Jackie', 'the Marilyn' and 'the Career Woman'. Since *Mad Men* is set in the 1960s, the paper also devotes some thought to how sexist titles of address, such as *Mrs* and *Miss*, have been affected by language reforms and consequent shifts in language use, and how the series is perceived in this respect by its contemporary audience.

Keywords: *Mad Men*, sexist language, language reforms, gender identity, male's speech style, women's language in the workplace.

1. Introduction

Mad Men is an American TV drama set in the 1960s.¹ It takes place in an advertising agency located on Manhattan's MADison Avenue (New York). The Sixties was a period which can be characterized by features such as systemic sexism (Carveth 2011: 226), including the model of a traditional American family unit formed by "a working dad, a mainly stay-at-home mom, and one or more young children living in the suburbs" (Edgerton 2011: xxiv), and can also be seen as a "culture defined by words and images" (Riesman et al. 1950: 25) which emphasized the sexist values of American society. *Mad Men* captures well these essential elements of the decade and thus becomes an accurate portrait of the American reality of the time.

The following is a discussion of the sexist language present in the show relating to the female characters of Betty Draper, Joan Holloway and Peggy Olson. Firstly, several instances of sexist language from the show are cited in order to illustrate the powerful effect that this has on the configuration of the identity of these characters. Secondly, some thought is given to how sexist titles of address, such as *Mrs* and *Miss*, have been affected by language reform. Finally, the paper deals briefly with how *Mad Men* is perceived nowadays by modern viewers.

¹ For generous financial support, I am grateful to the Spanish Ministry of Education (FPU grant 2012/01669), the European Regional Development Fund and the Autonomous Government of Galicia (Directorate General for Scientific and Technological Promotion, grant CN2012/012). Thanks are also due to the conference participants for helpful discussion, and to Teresa Fanego and Belén Méndez Naya for useful suggestions on an earlier version.

The labels ‘the Jackie’, ‘the Marilyn’ and ‘the Career Woman’, coined by Krouse, will be used throughout, since these three female prototypes can be easily understood as applicable to the characters of Betty Draper, Joan Holloway and Peggy Olson, respectively (Krouse 2011; McDonald 2011, among others).

Prior to this discussion, the issue of what is understood by *sexism* in the literature should be explored. Mary Talbot (2010) points out that the term itself was not coined until the end of the 1960s, although earlier expressions criticizing male sexist attitudes towards women, such as *male chauvinism*, existed. In 1985, Kramarae and Treichler published *A Feminist Dictionary* in which the word *sexism* is defined as “behaviour, policy, language, or other action of men or women which expresses the ... view that women are inferior” (1985: 411); two years later the social psychologist Nancy Henley classified sexist language forms into three types: a) language that ignores women, b) language that depreciates women, and c) language that defines women narrowly. In what follows, instances of these three forms of sexist language, as reflected in the discourse surrounding Mrs Draper, Joan Holloway and Peggy Olson, will be examined in relation to the configuration of the identity of these three characters.

2. Mrs Draper: ‘the Jackie’

The character Mrs Draper in *Mad Men* is usually associated with the public persona of Jacqueline Kennedy. Mrs Draper is Don Draper’s wife, and due to her restricted role as a housewife she suffers from what has been called “the nineteenth female disorder” (White 2011: 149), commonly known as *hysteria*.

In the very name of this character we find the perfect example of ‘language that ignores women’. Mrs Draper’s original name is Elizabeth Hofstadt, and her housewife-friends and even her husband most often call her Betty, Betts or Birdy. However, to other characters in the series, as well as to viewers, she is generally known as *Mrs Draper*, a mother, a trophy wife and a tool to assist Don in his successful career as an advertising man. The restricted role of Mrs Draper is clearly represented in the episodes ‘The Benefactor’ (2: 3) and ‘The Color Blue’ (3: 10; see passage below), in which Don asks Betty to be “shiny and bright” in order to “charm” his clients:

(DON DRAPER) Listen. How do you feel about Lutèce Monday night?
 (MRS DRAPER) Lutèce? Pleased, I guess.
 D: And you get to meet Jimmy Barrett.
 M: Why?
 D: Business. Hunt Schilling from Utz Potato Chips and wives.
 M: Is this one where I talk or I don’t talk?
 D: You need to *charm* him. I need you to be *shiny and bright*. I need a better half.
 (3: 10; emphasis mine)

It is also worth noting that one of the features that draws parallels between Betty Draper and Jackie Kennedy is the former’s divorce from Don Draper. As with Jacqueline, who was first known as Jackie Kennedy and subsequently as Jackie Onassis, Betty, on divorcing Don Draper, becomes Betty Francis. Both women thus become Mrs Someone Else on successive occasions, women defined in relation to the men they marry, without whom they seem to be nothing.

3. Joan Holloway: ‘the Marilyn’

The next character is Joan Holloway, often defined by literary critics as 'the Marilyn'. Following the Second World War, women in the United States became more economically independent and as a consequence of this they were less likely to accept discrimination and sexist language (Mills 2008: 19). Nevertheless, the self-supporting character of Joan Holloway is a clear exception here. She is unconcerned by male sexist language, and instances of 'language that depreciates women' can constantly be found not only in the discourse of male characters when addressing her, but, more significantly, in her own discourse throughout the five seasons of the show aired thus far. Her use of such language is partly a matter of her being "the stereotypical hyper-sexualized secretary" (Rogers 2011: 156) from the 1960s who "uses her sexuality to get ahead" (Berila 2007: 162). This can be seen in the following excerpt, from the pilot episode of the series, where Joan tells Peggy Olson how to dress in order to please the men at the agency:

Now try not to be overwhelmed by all this technology [referring to an electric typewriter]. It looks *complicated*, but the *men* who designed it made it *simple enough* for a *woman* to use. And listen, don't take this the wrong way, but *a girl like you, with those darling little ankles, I'd find a way to make them sing. Also, men love scarves* (1: 1; emphasis mine).

Attention should also be paid here to the use of the adjectives *complicated* and *simple* to refer to men and women respectively, thus conveying the general assumption that women are in possession of inferior intelligence to men.

4. Peggy Olson: 'the Career Woman'

Last but not least is the character of Peggy Olson. She is the intelligent, quiet girl who wants to be successful in the big city (Rogers 2011: 156), hence the common association of Peggy with 'the Career Woman'. In the advertising agency a dividing line can be drawn between the roles played by women and those roles played by men, and this is openly manifested in the way the characters address each other. Female secretaries address male executives by their title and surname (Mr Draper, Mr Sterling, etc.) whereas male executives address female secretaries only by their first name, and in some cases by reference to their appearance. Indeed, this is the case with Joan Holloway, who is frequently addressed by male executives as *Ginger* or *Red*. These two ways of addressing female secretaries, by first name or physical appearance, are flagrant examples of 'language that defines women narrowly'.

Despite these asymmetrical yet somehow expected forms of address at the agency, it is surprising how Peggy Olson ignores them when, on her very first day at work, she says, "Thank you, *Miss Holloway* you are really wonderful for looking out for me this way" ('Smoke Gets in Your Eyes' 1: 1; emphasis mine). Confronted with this title of address, Joan Holloway corrects Peggy: "It's *Joan*", she says, to let Peggy know how female secretaries should be addressed. Also significant in this respect is the moment when Don Draper, having decided to promote Peggy Olson, says, "*Miss Olson*, you are now a junior copywriter" ('The Wheel' 1: 13; emphasis mine); this form of address marks the beginning of a new Peggy, no longer a secretary but a member of the collective formed by male executives.

4.1 Peggy Olson and the 'unnamed' sexual harassment from the 1960s

Before providing some instances of sexual harassment as depicted in the series, it should be noted that the phrase *sexual harassment* did not come to light until the year 1973 and its coining helped to bring about a new understanding of gender relations at work (Farley 1978: 14). As the lawyer and writer Lin Farley explained in 1978, "[t]he phrase *sexual harassment*

is the first verbal description of women's feelings about this behavior and it unstintingly conveys a negative perception of male aggression in the workplace" (1978: 14). Furthermore, in the United States the word *harassment* encompasses not only aggression of a sexual nature but also offensive remarks about men and women in general ('U.S. Equal Employment Opportunity Commission').

As Haralovich (2011) has pointed out, there are many instances of Peggy ignoring situations of harassment in *Mad Men* (167). The earliest of these takes place on her first day at work, when the male executive Pete Campbell asks her, "Where are you from? *Are you Amish or something?* Well you're in the city, now. It wouldn't be a sin for us to see your legs. *And if you pull your belt in a little bit, you might look like a woman*" (1: 1; emphasis mine). Following this comment Peggy tries to hide her embarrassment by avoiding Pete Campbell. Although in general Peggy ignores sexist comments, there are also some occasions on which she makes use of metaphors to express her anger towards the sexual harassment she constantly suffers at the agency, as seen when she says, "Honestly, why is it that every time a man takes you out to lunch around here, you are..., you are the dessert?" ('Ladies Room' 1: 2).

A more clear and interesting example of harassment in the series takes place in a 'brainstorming' session at the agency when all the secretaries are asked to test a new range of lipsticks ('Babylon' 1: 6). At the end of the testing session, the secretaries having tried all the lipsticks and cleaned their lips with tissues, Peggy ingeniously calls the bin filled with lipstick-marked tissues "a basket of kisses". Then she adds: "I don't think anyone wants to be one of a hundred colors in a box", criticizing the great variety of shades of lipstick. These spontaneous expressions draw the attention of the leader of the male executives, Freddy Rumsen, who likens Peggy's creativity to "a dog playing the piano" ('Babylon' 1: 6); the sexist expression *It's like a dog playing the piano* is itself a reference to Samuel Johnson's comment about seeing women in the pulpit: "A woman's preaching is like a dog's walking on his hind legs. It is not done well; but you are surprised to find it done at all" (Boswell 2008: 235; cited in McDonald 2011: 130). Similarly, Rumsen's uttering his sexist comment on Peggy's observations serves to underline the astonishment of the ad men at a woman's ability to have ingenious and innovative ideas.

4.2 Peggy's development: "stop dressing like a little girl" and adopt male's speech style

As discussed by Ainsworth and Hardy (2004), in the configuration of one's identity, context and our relationships with other people both play crucial roles for our self-definition and meaning (237). In the case of Peggy Olson, of special interest in her development are the female characters Bobbie Barrett and Joan Holloway. The former is an experienced and successful female manager who tells Peggy to "be a woman" and to treat her male boss as an "equal":

You have to start living the life of the person you want to be... you're never going to get that corner office until you start treating Don as an *equal*. And, no one will tell you this you can't be a man, so don't even try. *Be a woman*. It's powerful business when done correctly ('The New Girl' 2: 5; emphasis mine).

The latter, Joan Holloway, tells Peggy that if she wants to be taken seriously she needs to "stop dressing like a little girl" and "learn to speak the language of the creative staff" ('Maidenform' 2: 6).

As the series unfolds, Peggy indeed learns how to combine these attitudes, becoming more feminine in the way she dresses and more aggressive in the way she speaks. However, although Peggy's discourse becomes more aggressive, in the perception of the men at the

agency her aggressive speech sounds “cute” no matter what. This is reflected in ‘The Mountain King’ (2: 12) when Peggy goes to the male executive Roger Sterling and requests her own office. In this scene, excerpted below, we should bear in mind both Sterling’s sexist use of the term of affection “Honey” to diminish the importance of Peggy’s request from the outset, and also his use of “Ginger” to address one of the secretaries working at the agency:

(ROGER STERLING) What do you want?

(PEGGY OLSON) I need to speak with you.

R: *Honey*, I have a 6: 30 dinner reservation, and unless you want to pull me there in a rickshaw, I have to get going.

P: Well, I am a copywriter.

R: Why, did I call you something else?

P: No. I don’t know if you’re aware but I brought in the Popsicle account today. On my own.

R: Hey, *Ginger*, did you hear about this? I gotta go.

P: Wait. I need my own office. It’s hard to do business and be credible when I’m sharing with a Xerox machine. Freddie Rumsen’s office has been vacant for some time. I think I should have it.

R: It’s yours.

P: Really?

R: You young women are very *aggressive*.

P: I didn’t mean to be impolite.

R: No, *it’s cute*. There are thirty men out there who didn’t have the balls to ask me.

(2: 12; emphasis mine)

5. Conclusion

Peggy Olson and Joan Holloway are both “familiar female characters that relate to women today” (Rogers 2011: 156). However, they exhibit contrasting attitudes towards the sexism of the period. Joan Holloway uses both her own sexuality and language that depreciates women to get ahead, whereas Peggy Olson shows anger and abhorrence at the sexist attitudes of the male executives, yet achieves her professional goals through hard work and the adoption of male’s assertive speech style. Many studies have shown that a masculine style of speech and behaviour are associated with leadership (Kent and Moss 1994), thus it seems understandable that Peggy Olson felt the best way to have a voice in the workplace and fulfill her career aspirations was by adopting this form of typical male behaviour.

Regarding the extent to which overt sexist language has changed in corporate America, Hellinder and Bussmann (2001) pointed out that since the 1980s there have been a series of language reforms aimed at achieving gender-fair terminology and changing unequal gender relations (19). Some of these reforms were achieved thanks to the work of feminist writers who compiled lists of sexist words in dictionaries and called for institutions and people to avoid sexism in language. *Inter alia*, they criticized the use of husband’s name for married women and the use of the sexist titles of address *Mrs* and *Miss*, encouraging instead the use of the neutral form *Ms*. As Sara Mills (2008) explains, since there was not equivalent distinction between married and unmarried men, *Ms* was introduced in the English language in the 1970s “to give women the option of choosing to represent themselves as something other than married or unmarried” (64). It is worth mentioning that in the United States, the use of the neutral form *Ms* in professional contexts has achieved a great deal of success whereas in Britain “this is treated with some suspicion, as a title used only by divorced women, feminists, lesbians, ‘manhaters’ and women who are living with men without being married to them” (Mills 2008: 64; for similar comments see Sunderland 2006; Talbot 2010).

Finally, it is noteworthy that despite overt and indirect forms of sexism of *Mad Men*, the series has been extremely successful, having won many awards (fifteen Emmys and four Golden Globes, among many others) and is currently heading for its sixth season. But what is it that makes *Mad Men* so attractive to viewers? Some critics talk about nostalgia for the ‘bad old days’ (‘Establishing *Mad Men*’ 2008; Krouse 2011). However, those ‘bad old days’ seem to me very much alive in an America where the Equal Rights Amendment has not yet been passed. Thus, the sad reality is one of a continuing inequality in the payment of men and women, as well as a serious underrepresentation of women in positions of power in corporate America, including Madison Avenue.

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Immigration Metaphors in the British Right-wing Online Press. A Corpus-driven Study

Eliecer Crespo-Fernández
University of Castilla-La Mancha
Eliecer.Crespo@uclm.es

Abstract

Taking Conceptual Metaphor Theory and Critical Metaphor Analysis as theoretical paradigms, it is the goal of this paper to analyse the metaphorical language used to represent immigration and the figure of the immigrant in a sample of news items excerpted from the leading online newspaper *The Daily Telegraph*, which is taken as a representative example of right-wing press in UK. The results obtained provide evidence for the fact that immigrants are conceptually represented in too much negative light in the British press consulted. Indeed, conceptual metaphors like IMMIGRATION IS A NATURAL DISASTER, THE NATION IS A CONTAINER and IMMIGRATION IS A DISEASE betray a series of ideological codes and values that tend to reproduce and perpetuate prejudiced attitudes against immigrants, who are conceptually represented a potential threat to the social stability of the host country and as a burden on taxpayers.

Keywords: immigration, conceptual metaphor, critical metaphor analysis, dysphemism, right-wing press, persuasive language.

1. Introduction

Immigration has become an emotionally charged social and political issue, a matter of vital importance for public opinion. In a time of economic crisis like the present, in traditional recipient countries like United Kingdom attitudes towards immigrants have hardened. The association between immigration, unemployment and poverty makes immigrants easy targets for every sort of intolerance and for considering them as a burden on society because they increase unemployment rates and threaten the welfare system. In this regard, it is not surprising that immigration has become one of the most passionately contested issues in the media. Among the mass media, the press is generally regarded as the most reliable source of information, the one with the greatest capacity to propagate ideologies and social conceptions in the daily production of news and commentary.

In this regard, it seems necessary to gain an insight into the verbal elements used by the press in the representation of immigration. More precisely, the goal of this paper is to explore the metaphorical language used by journalists in order to characterize immigrants. To this end, taking Conceptual Metaphor Theory and Critical Metaphor Analysis as theoretical paradigms I will analyse the metaphors used to represent immigrants in a sample of conservative press excerpted from the online newspaper *The Daily Telegraph*.

There is a fruitful line of cognitive research regarding the rhetoric potential of metaphorical language to deal with social issues like immigration along the lines of Conceptual Metaphor Theory (O' Brien 2003; Semino 2008; Gabrielatos and Baker 2008; Cunningham-Parmeter 2011). Of particular interest is the analysis of the role of metaphor in political communication on immigration carried out by Charteris-Black (2006). Despite these

studies, the analysis that I will carry out here would appear to be justified, since the metaphorical language employed by a right-wing newspaper like *The Daily Telegraph* should reflect a particular position towards immigration, especially in a time of economic crisis like the present.

This paper is structured as follows. After briefly considering the corpus data, methods and theoretical paradigms on which this study relies, I will analyse the immigration conceptual metaphors encountered in the corpus. The results and conclusions will bring this study to an end.

2. Corpus data, methods and theoretical frameworks

The corpus samples 44 news items excerpted from the online newspaper *The Daily Telegraph* published over a three-month period, from January to March 2012. The choice for this newspaper was not at random: it is regarded as a *serious newspaper* (i.e. focused on serious journalism dealing with current political affairs and events); and it is a representative example of a right-wing leading newspaper in UK.

The choice for the conservative press was not at random either: I decided that it is interesting to study how the controversial issue of immigration was dealt with in a centre-right newspaper which is supposed to hold critical views on immigration.

As for the methods employed, I searched the newspaper for news items related to immigration. Once selected, I identified the metaphorical items and saw what conceptual metaphors underlie them. Then, I saw what emotions and feelings the metaphors try to evoke.

Given that metaphor is vital to persuasion and verbal abuse, I will rely on the frames of Conceptual Metaphor Theory, as defined initially by Lakoff and Johnson (1980), and Charteris-Black's Critical Metaphor Analysis (2004) to gain an insight into immigration-related figurative language. It is not my purpose here to analyse in depth the well known model of Conceptual Metaphor Theory. Suffice it to say that this approach claims that metaphor is a device with the capacity to structure our conceptual system, providing, at the same time, a particular understanding of the world and a way to make sense of our experience. From this standpoint, metaphor is defined as "a cross-domain mapping in the conceptual system" (Lakoff 1993: 203), that is, a mapping or set of conceptual correspondences from a source domain (i.e., the realm of the physical or more concrete reality) to a target domain (i.e., the concept we want to delimit and reify). Through this correspondence between the linguistic content of metaphors and what they describe, metaphors stand as a means of creating, organizing and understanding reality.

Charteris-Black's Critical Metaphor Analysis involves three main steps: identification, interpretation and explanation of metaphors (2004: 35–41). Following Lakoff and Johnson's cognitive approach to metaphor, Charteris-Black analyses the pragmatic nature of metaphors in order to identify the intentions and ideologies underlying the use of metaphors in discourse. This analysis reveals the way certain ideological codes and values are transmitted and how social control is exerted through figurative language. In this way, this approach contributes to raise critical awareness on how metaphors are used to persuade and, in some cases, manipulate the audience.

3. Data analysis

Metaphor plays a crucial role in the immigration-related dysphemism¹ that abounds in the corpus. One of the metaphorical terms used offensively is *wave*:

- (1) Labour left our immigration system in a complete mess Other countries erected temporary barriers to immediate migration. Britain did not – and saw a *wave*² of people come here to find work. (19 January)

Wave is included in the conceptual metaphor IMMIGRATION IS A NATURAL DISASTER. The metaphorical patterns drawing from the source domain of natural phenomena base their dysphemistic capacity on the association between the target domain (here immigration) and a dangerous and wild nature as source domain, which leads to the consideration of immigration as something irrational and chaotic, as a threat which should be avoided at all costs for the sake of the survival of the host societies. More precisely, *wave* is related to the image of an excessive flow of water, which makes readers believe that immigration will devastate the host societies as it is – the same as uncontrolled water – an irrational and dangerous natural phenomenon.

Though the metaphorical use of water is generally conventional in talking about immigration issues (cf. Semino 2008: 89), water terms like *wave* or *tide* do contribute to building an image of immigration as a serious problem not only for the economy of the country but also for the security of its citizens. From this viewpoint, terms like these can be considered as “alarm words” (Van Dijk 2005: 117-18). Alarm words, whether metaphorical or not, constitute an effective means of persuading the readership into considering immigration system a disaster insofar as it is seen as something chaotic, dangerous to the citizens and a burden on the economy of the host countries.

Pressure is another metaphorical item used to target the issue of immigration. This term provides evidence for the existence of the underlying metaphor THE NATION IS A CONTAINER, whereby Britain is conceptualized metaphorically as a container which is made up of three parts, namely, an exterior, an interior and a boundary (i.e. the political borders). In Chilton’s words, the country is conceptualized “through the basic inside-outside structure of the cognitive schema container” (2004: 124). The movement of people across borders that immigration supposes, as Charteris-Black (2006: 576) argues, tends to weaken this container because it leads to social change and loss of control and security. In fact, a massive arrival of immigrants implies a pressure from the interior of the container which may eventually perforate its boundary. Consider the following quotation:

- (2) This is expected to increase *pressure* on immigration judges amid growing concerns over how criminals are exploiting human rights laws. (11 February)

The term *pressure* leads to the symbolic representation of immigration as an uncontrollable body of water which threatens social cohesion and security, as an invasion from an external agent which human beings cannot control.

The word *inflow* has the same conceptual basis. As happens with *pressure*, it conceptualizes immigrants as a fluid that can perforate the boundary of the container that represents Britain at a conceptual level:

¹ Following Allan and Burridge (2006: 31), I understand by dysphemism “a word or phrase with connotations that are offensive either about the denotatum and/or to people addressed or overhearing the utterance”.

² Hereafter the terms and expressions I want to highlight in the quotations proposed as examples will appear in italics.

- (3) While the *inflow* of students will be restricted, the Government will also focus on ensuring they leave at the end of their visas. (11 February)

In the three quotations above the metaphor brings focus to the water destructive qualities, associating immigrants to an uncontrollable body of water. In this metaphor the filter of metaphorical conceptualization through which immigration is presented provides the reader with a partial understanding of the concept, masking or revealing particular aspects of the topic being dealt with (Lakoff and Johnson 1980: 10). In the examples above, the fact that water slowly drains and leaves fertile soil is ignored, while its destructive qualities are highlighted (O'Brien 2003).³ This process makes conceptual metaphors readily accessible for dysphemistic reference and provides significant information concerning the way in which the topic of immigration is actually transmitted and understood.

Another dysphemistic conceptualization is IMMIGRATION IS A DISEASE or, as O'Brien (2003: 38) puts it, IMMIGRANTS AS DISEASED ORGANISM. Here the nature of the source domain makes it evident that immigration is seen in a very negative light. In fact, as Knowless and Moon (2006: 161) point out, "we conceptualize malice and resentment in terms of poison and destruction (poisonous, venomous, toxic, ...". Take the following headline:

- (4) Multiculturalism has left Britain with a *toxic* legacy. (12 February)

The idea transmitted here through the adjective *toxic* is that immigrants are evil by nature and their presence is likely to have an evil influence on the host society. The dysphemistic basis lies on the implicit association between immigrants and an infectious disease, which leads to considering them as potentially life threatening. The notion behind the disease metaphor is that, as Cunningham-Parmeter (2011: 1568) argues, immigrants are believed to contaminate the social body just as infectious diseases threaten our health. Besides, this metaphor implicitly reinforces the idea that immigrants are spreading dangerous diseases typical of less developed countries. Therefore, immigrants pose a serious threat to locals staying nearby and make them be afraid that immigrants will carry infectious disease into their families. As O'Brien claims, "stigmatized environments serve to make the metaphorical real, and thus solidify the use of disease metaphors as an apt means of portraying the group in question" (2003: 38). Fear plays here a crucial role in the rejection of immigrants, as they are feared as carriers of diseases against which we have no antidote.

The last dysphemistic device is the conceptual metonymy⁴ THE EFFECTS OF IMMIGRATION STAND FOR IMMIGRATION. Consider this quotation:

- (5) Ministers asked the committee to recommend an increase in the current threshold ... which would prevent the entry of *those who could be considered a burden on taxpayers*. (24 March)

³ The same applies to the conceptual metaphor IMMIGRANTS ARE ILLEGAL ALIENS. This metaphor, as Cunningham-Parmeter (2011: 1556) claims, highlights the criminal characteristics of some immigrants, while ignoring the obvious fact that most immigrants are legal residents in the United States.

⁴ Metonymy coexists and interacts with metaphor in the conceptualization of abstract concepts like immigration. Indeed, a considerable number of metaphors have a metonymic basis, as I have recently demonstrated in a corpus of death-related figurative language (Crespo-Fernández 2011).

The periphrasis highlighted in italics explicitly focuses on the negative economic effects of immigration. Its dysphemistic basis lies on the fact that immigrants are singled out as economic threats and therefore dehumanized (cf. Crespo-Fernández 2010: 284), which makes the reader rejects them.

4. Results and conclusions

What emerges from the analysis carried out is that metaphor constitutes a potent source for portraying immigrants negatively in the British online press. In the corpus metaphor plays a crucial role in verbal abuse and tends to provoke, whether consciously or not, discriminatory attitudes towards immigrants, who are viewed as a potential threat to social order as well as a burden on the economy of the country. Significantly enough, there is a total absence of positive metaphors for immigrants, a finding which is common across research on the discursive representation of immigration.

The analysis reveals the existence of two main areas of dysphemistic metaphors to portray immigrants: metaphors of natural disaster and container metaphors. Though less relevant in quantitative terms, figurative language also characterizes immigrants as disease carriers and as a burden on taxpayers. These conceptualizations provide a springboard for attacking immigration through defending the idea of a “pure” British nation and contribute to give legitimacy to the conception of immigration as a threat in right-wing political communication.

It must be noted that in the conceptual representation of immigration fear plays a crucial role. Immigrants are feared as a threat to the economy of the country in time of economic crisis and as carriers of diseases against which we have no antidote. It seems evident that fear is a very useful tool for persuading the reader on the negative effects of immigration. Needless to say, those who are afraid are more sensitive and likely to be convinced.

In sum, the study carried out reveals that immigrants are conceptually represented in too much negative light in the British conservative online press. In fact, immigration-related figurative language betrays a series of ideological codes that tend to reproduce and perpetuate prejudiced attitudes against immigrants, who are conceptually represented as targets of public outrage through metaphors that both reflect and reinforce the anti-immigration right-wing discourse.

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Better late than never: The belated translations of Robertson Davies' trilogies into Spanish

Mercedes Díaz Dueñas
Universidad de Granada
mdiazd@ugr.es

Abstract

The great majority of the fictional works written by one of Canada's most outstanding literary figures, Robertson's Davies, had to wait for almost half a century to be translated into Spanish. This paper looks into the possible causes that might explain why most of Robertson Davies' fiction had to wait until the 21st century to be translated into Spanish. First of all, it will examine, in the context of the reception of Canadian literature in Spain, how Davies' celebrated trilogies, published originally from 1951 to 1988, appeared translated into Spanish from 2006 to 2011. Then, it will provide a general outline of the peculiarities of the author's work, focusing particularly on the figure of Robertson Davies as a follower and supporter of a certain European tradition. Finally, it will attempt to show how these factors may have contributed to Davies' initial lack of success in Spain.

Keywords: Robertson Davies, translation into Spanish, trilogies.

1. Introduction

The vastest part of the fictional works written by one of Canada's most outstanding literary figures, Robertson Davies, had to wait for almost half a century to be translated into Spanish. The fact that in the year 2012 the translation of his narrative work has finally been completed can only be regarded as a happy event for the Spanish reading public. However, the delay to accomplish this task is certainly surprising and worth closer examination. The Canadian scholar Luise von Flotow starts her volume *Translating Canada* with the assertion that "translation is one of the most important vehicles of cultural transfer and at the same time one of the least studied" (2007: 1).

This paper attempts to contribute precisely to the study of this aspect of translation—as a fundamental vehicle of cultural transfer—with the case study of Robertson Davies' translations into Spanish. It looks into the possible causes that might explain why most of Robertson Davies' fiction was not translated into Spanish until the beginning of the 21st century. First of all, it will examine, in the context of the reception of Canadian literature in Spain, how Davies' celebrated trilogies (*The Salterton Trilogy*, *The Deptford Trilogy* and *the Cornish Trilogy*), published originally from 1951 to 1988, appeared translated into Spanish from 2006 to 2011. Then, it will provide a general outline of the peculiarities of the author's work, focusing particularly on the figure of Robertson Davies as a follower and supporter of what we may call the European tradition, as opposed to taking an American or postcolonial stance. Finally, it will attempt to show how these factors may have contributed to what may be regarded as Davies' initial lack of success in Spain.

2. General outline of Canadian fiction in Spanish

In the last decades Canadian fiction written in English has gradually gained popularity and recognition worldwide and also in Spain. In fact, the presence of Canadian literature in Spain has increased significantly in the past decade. Authors such as Margaret Atwood or Leonard Cohen have greatly contributed to this acknowledgement. In 2008 and 2011 respectively they were awarded the *Premio Príncipe de Asturias* for Letters, one of Spain's most important literary awards. Along with Margaret Atwood, Alice Munro and Robertson Davies have also enjoyed a very positive reception among readers and critics alike. In 2005, Alice Munro obtained the *Premio Reino de Redonda* (Kingdom of Redonda Award) created by Javier Marías in 2001, and in 2006, Robertson Davies received the *Premi Llibreter de narrativa* (Llibreter Award for narrative). These are only some representative examples of how some cultural institutions have begun to acknowledge the literary achievements of Canadian authors, and, consequently, turned them into cultural capital to put it in Pierre Bourdieu's terms¹.

Indeed, Canada's authorities are well aware of this fact, which they themselves have promoted throughout the years². For example, the Government of Canada's website hosts a webpage entitled "Canada – Spain relations", which offers the following information:

Canada and Spain maintain excellent cultural relations. Spain shows great interest in Canada's innovative art and culture, as well as the country's social and cultural diversity. Canadian literature is well-known in Spain and it is highly appreciated by its readers, as manifested by the Prince of Asturias Prize for literature, granted to Margaret Atwood in 2008, and the publication of numerous other authors in Spanish and Catalan, such as Alice Munro and Robertson Davies.³

However, as Pilar Somacarrera rightly notes, "the transfer of English-Canadian writing into the Spanish literary system has been a slow process and can only be traced back to approximately forty years ago, coinciding with the period of Canadian cultural nationalism." (325) Nonetheless, a more decisive factor needs to be taken into account. In Spain publishing houses, unlike Canadian ones, do not receive government subsidies. Hence, they depend exclusively on their sales and base their selection of works to be published on the expected revenues, i.e. on the marketable aspect. Once these aspects are acknowledged, casting a quick look at the dates of translation of the works of some of the most relevant authors may be extremely informative.

Author	Original title	Year	Title translation in	Year	Year	Translator	Publishing house
Leonard Cohen	<i>The Spice-Box of Earth</i>	1961	<i>La caja de especias de la tierra</i>	1979	18	Manzano Lizandra, Alberto	Alberto Corazón

¹ Bourdieu considers that "[t]he social world is accumulated history, and if it is not to be reduced to a discontinuous series of instantaneous mechanical equilibria between agents who are treated as interchangeable particles, one must reintroduce into it the notion of capital and with it, accumulation and its effects." (1986: 241)

² Flotow and Nischik observe that "the construction of Canadian culture became paramount only in the second half of the twentieth century, the notion of strategically exporting this culture is comparatively recent." They inform us that "[t]he idea of implementing culture as part of foreign policy in Canada can be traced to the mid-1990s and a foreign affairs review that made 'the projection of Canadian values and culture' one of the three pillars of the new policy." (2007: 3)

³ http://www.canadainternational.gc.ca/spain-espagne/bilateral_relations_bilaterales/canada-spain-espagne.aspx?lang=eng&view=d, accessed 16 April 2012.

Margaret Atwood	<i>The Handmaid's Tale</i>	1985	<i>El cuento de la criada</i>	1987	2	Elsa Mateo	Editorial Seix Barral
Michael Ondaatje	<i>In the Skin of a Lion</i>	1987	<i>En la piel de un león</i>	1989	2	Manuel Sáenz de Heredia	Tusquets
Margaret Atwood	<i>Bluebird's Egg</i>	1983	<i>El huevo de Barba Azul</i>	1990	7	Eduardo García Murillo	Mr Ediciones
Margaret Atwood	<i>Cat's Eye</i>	1988	<i>Ojo de gato</i>	1990	12	Jorge Luis Mustieles	Ediciones B
Alice Munro	<i>The Moons of Jupiter. Stories</i>	1985	<i>Las lunas de Júpiter</i>	1990	5	Esperanza Pérez	Versal
Alice Munro	<i>The Progress of Love</i>	1986	<i>El progreso del amor</i>	1991	5	Flora Casas	Debate
Margaret Atwood	<i>The Journals of Susanna Moodie</i>	1970	<i>Los diarios de Susanna Moodie</i>	1991	21	Álvaro García & Lidia Taillefer	Pre-Textos
Mordecai Richler	<i>Solomon Gursky Was Here</i>	1989	<i>Solomon Gursky estuvo aquí</i>	1992	3	José Manuel Flórez	Ediciones Destino
Margaret Atwood	<i>Surfacing</i>	1972	<i>Resurgir</i>	1994	22	Ana Poljak	Muchnik
Michael Ondaatje	<i>The English Patient</i>	1992	<i>El paciente inglés</i>	1995	3	Carlos Manzano	Plaza & Janés
Robertson Davies	<i>Murder and Walking Spirits</i>	1991	<i>Asesinato y animas en pena</i>	1996	5	José Luis Fernández Villanueva	Ediciones Destino
Robertson Davies	<i>The Cunning Man</i>	1994	<i>Un hombre astuto</i>	1996	2	José Luis Fernández Villanueva	Ediciones Destino
Michael Ondaatje	<i>Running in the Family</i>	1982	<i>Cosas de familia</i>	1998	16	Isabel Ferrer Marrades	Ediciones Destino

Table 1

3. Robertson Davies' works in Spanish translation

As can be derived from the table above, the translations of the works by Robertson Davies, who was born in 1913 and passed away in 1995, began one year after his death⁴. He wrote eleven novels altogether, published from 1951 to 1994. The first nine novels were assembled in his three celebrated trilogies (*The Salterton Trilogy*, *The Deptford Trilogy* and *the Cornish Trilogy*), and his last two novels could have become, according to Skelton Grant, part of "his

⁴ Barbara Korte analyzes the situation of Davies' translations in Germany and states that "prior to the late 1970s, West German awareness of Canadian literature was also limited. Translated authors included [...] and more "high-brow" writers such as Ethel Wilson, Robertson Davies (most of his novels, however, did not appear in German before the 1980s), Mordecai Richler, Margaret Laurence [...] (von Flotow and Nischik, 2007: 36). Therefore, there was also a certain delay in the translation into German of Davies' works, but it was considerably less important than in the Spanish case.

Canadian trilogy, for the two completed books explore the roots of contemporary Canada” (1997: 279).

As we can see in table 1, precisely the last two novels that he published were the first ones to be translated into Spanish. They were published by Ediciones Destino, which had already undertaken the translation of other Canadian authors, such as Douglas Coupland. *Un Hombre astuto* (*The Cunning Man*) was published in Spain only two years after its release in Canada and it took *Murther and Walking Spirits* five years to reach the Spanish market. After these publications, Ediciones Destino abandoned the translation of any further novels by Robertson Davies. Ten years later a different publishing house decided to resume this task. This phenomenon is not unique to this particular author. Yet, the amount of time it has taken to accomplish the publication of his novels is remarkable. On the other hand, it has to be noted that with the forthcoming last volume of his Salterton trilogy in 2012, all of Davies' novels will have been translated into Spanish. It is also noteworthy that this undertaking has been accomplished by one of the smaller Spanish publishers, Libros del Asteroide, whose aim is to recover fundamental works of 20th century, which are not available in Spanish⁵. For more detailed information see table 2.

Original title	Year	Title in translation	Year	Publishing House	Years later
<i>The Salterton Trilogy</i>					
<i>Tempest Tost</i>	1951	<i>A merced de la tempestad</i>	2011	Libros del Asteroide	60
<i>Leaven of Malice</i>	1954	<i>Levadura de malicia</i>	2011	Libros del Asteroide	57
<i>A Mixture of Frailties</i>	1958	Forthcoming	2012	Libros del Asteroide	54
<i>The Deptford Trilogy</i>		<i>Trilogía de Deptford</i>	2007, 2009	Libros del Asteroide	
<i>Fifth Business</i>	1970	<i>El quinto en discordia</i>	2006	Libros del Asteroide	36
<i>The Manticore</i>	1972	<i>Manticora</i>	2006	Libros del Asteroide	34
<i>World of Wonders</i>	1975	<i>El mundo de los prodigios</i>	2007	Libros del Asteroide	32
<i>The Cornish Trilogy</i>					
<i>The Rebel Angels</i>	1981	<i>Ángeles rebeldes</i>	2008	Libros del Asteroide	27
<i>What's Bread in the Bone</i>	1985	<i>Lo que arraiga en el hueso</i>	2008	Libros del Asteroide	23
<i>The Lyre of Orpheus</i>	1988	<i>La lira de Orfeo</i>	2008	Libros del Asteroide	20

⁵This objective was explained by Luis Solana, editor of Libros del Asteroide, in an article of the literary section of the Spanish newspaper ABC, which appeared on the occasion of the 2006 Premi Llibreter to the translation of *Fifth Business*. There he also claimed that this novel was the best Canadian novel of the 20th century.

http://www.abc.es/hemeroteca/historico-23-11-2006/abc/Catalunya/el-quinto-en-discordia-de-robertson-davies-premio-llibreter_153109893268.html# (accessed 18 December 2011)

<i>Murder and Walking Spirits</i>	1991	<i>Asesinato y ánimas en pena</i>	1996	Ediciones Destino	5
<i>The Cunning Man</i>	1994	<i>Un hombre astuto</i>	1996	Ediciones Destino	2

Table 2

4. Reasons for the belated translations

I would like to propose a number of reasons why it has taken these novels so long to find their way into the Spanish cultural system. First of all, I would like to take into consideration the fact that Robertson Davies wrote three trilogies. I assume that for an editor it can be a difficult decision to attempt the translation of one separate novel taken from a trilogy. On the other hand, approaching the project of translating a whole trilogy without having reasonable expectations that the enterprise will be profitable is also risky. Therefore, it is not surprising that his last novels, which are not really part of a trilogy, were translated and released first in Spain. However, it may not be a coincidence that by the mid-90s Canadian fiction was already known and appreciated in Spain.

Secondly, Davies' works, particularly his first trilogy (the one that has been published last), satirizes a very specific Canadian reality, which publishers may have understood to be too distant from the Spanish reading public's interests. The sales figures in the coming years may prove this assumption to be true or false.

Thirdly, his second trilogy drew very heavily on Jungian psychology to build the characters and plots. Although in Canada *The Manticore* won the Governor General's Award (the most prestigious Canadian literary award), Spanish publishers may have considered that such a strong psychological component would not be too popular with a wide readership.

Furthermore, we may not forget that Robertson Davies was male, white, and privileged. These characteristics do not seem to be particularly appealing to a cultural system that welcomed works by authors such as a defiant poet and songwriter like Leonard Cohen; by Margaret Atwood, who is known to advocate for many causes from feminism to environmentalism; by Alice Munro, with her individual literary voice; or by Michael Ondaatje, representative of Canadian multiculturalism and quite popular since the film adaptation of his novel *The English Patient*. Besides, the popularity of these very same authors in other European countries, such as the UK or Germany may also have influenced the decisions made by publishing houses in Spain. The sales figures achieved by these authors in the rest of Europe can also be regarded as a relevant factor. Other factors, such as the inherent difficulties posed by the text itself to the translation process, certainly need to be ruled out, since Davies' text do not deviate in any form from standard language or conventions of the narrative genre.

Perhaps most importantly, Robertson Davies was regarded as an advocate of the European cultural tradition. Canadian critics underscored for example that "Davies is unique in the exaggerated deference he pays to almost all aspects of European culture." (MacLulich, 1988: 142). In this he could be placed in a tradition best represented by Henry James, who appreciated European culture, education and manners much above American ones. However, certain qualifications have also been made, for example by Keith when he wrote: "In his earlier days Davies was sometimes criticized for his English emphasis, and it is certainly true that he owes more to British than to American literary models. But his satire in the Salterton trilogy is directed against the pseudo-English Ontario of that time." (1985: 149).

5. Final remarks

To conclude, I would like to contend that the Spanish literary system was seeking a type of literary production to be imported from a country such as Canada that would be less canonical and Eurocentred. Davies' novels seem to have failed to offer the type of texts demanded at a time when the Spanish literary system was opening to the rest of the world. The initial failure of Robertson Davies' (and of most Canadian authors for that matter) to enter the Spanish cultural system seems to have been only temporary. Publishing houses are compensating the lack of attention they devoted to Canadian Literature in the past with a great number of publications in recent years. Likewise, literary critics and academics are issuing mostly very favourable reviews and conscientious studies about a great diversity of Canadian authors and their works. Therefore, the initial failure discussed in this paper has finally turned into a story of success that will probably continue in the coming years.

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Towards a definitive taxonomy for the classification of verbs used without an object in Contemporary English: Liu's (2008) model subject to examination

Tania de Dios
Universidade de Santiago de Compostela
tania.dedios@rai.usc.es

Abstract

The identification of the label *intransitive* with the idea 'verb without an object' has been a cornerstone in grammatical description over time. However, behind the apparent simplicity of such association lies an important lack of accuracy in the treatment of a type of verb, the objectless verb, which should be studied in a more detailed way. Of the different models for the classification of English verbs used without an object that have been posited, Dilin Liu's (2008) seems to constitute the most coherent and accurate one. In the present paper I seek to prove the empirical adequacy of this proposal by means of a corpus-based study which may serve to corroborate the validity of the most problematic verbal categories proposed by Liu (2008), namely *transitive-converted intransitive verbs of activity* and *object-deleting verbs*.

Keywords: (in)transitivity, direct object, object-deleting verbs, transitive-converted intransitive verbs of activity, taxonomy.

1. Introduction

The idea of *intransitivity* as the absence of direct object has pervaded grammatical descriptions of all sorts over history. As a matter of fact, such traditional association has become a key element for the study of clausal structure in most linguistic systems, which evidently proves the value of the category from a purely descriptive point of view. Nevertheless, with the adoption of a more conceptual stance, the classical view of *intransitivity* would definitely lose strength. Indeed, it is arguable that it is precisely this long-established identification of the label *intransitive* with the simple idea 'verb without object' that has prevented us from actually apprehending the heterogeneity that exists among the different kinds of English objectless verbs. The necessity of overcoming this theoretical limitation has already been discussed in de Dios (2011), which offers a review of the few existing taxonomies for the classification of the English verb used without an object, namely Quirk et al. (1985), Biber et al. (1999), Huddleston and Pullum et al. (2002), and Liu (2008).

· For generous financial support, I am grateful to the following institutions: the Spanish Ministry of Education (grant AP2010-4222), the European Regional Development Fund, Spanish Ministry for Economy and Competitiveness (grant FFI2011-26693-C02-01), and the Autonomous Government of Galicia (Directorate General for Scientific and Technological Promotion, grants (CN2011/011 and CN 2012/012)).

The findings of this study revealed the superiority of Liu's (2008) four-category model for the classification of English objectless verbs due, mainly, to the introduction of the interesting, brand-new distinction between *transitive-converted intransitive verbs of activity* (e.g. *She is **reading***) and *object-deleting verbs* (e.g. *Each time we met she invited me, and each time I **declined***). Indeed, while the nature of the verbs encompassed under the labels *pure intransitive verbs* (e.g. *She **arrived***) and *ergative-intransitive verbs* (e.g. *The window **broke***) had already been quite neatly defined at the time Liu published his work, the differential traits of *transitive-converted intransitive verbs of activity* and *object-deleting verbs* were only properly addressed with the coming to light of Liu's article.

The all-embracing nature of Liu's (2008) taxonomy, along with its high degree of accuracy in the categorization of the distinct types of English objectless verbs are precisely the qualities that point at the suitability of adopting it as the standard model of reference for the study of such kind of verbal items. Nevertheless, there exist still some ways in which this proposal can be refined, among them the possibility of confirming Liu's mainly theoretical assumptions by carrying out a comprehensive study of how each class of verb actually behaves in the English language. As a matter of fact, although Liu sometimes resorts to the presentation of real data extracted from the *British National Corpus* to illustrate some of his points and occasionally provides some interesting frequencies of occurrence, the need for a more systematic and careful empirical test of his model is still sensed. Such want is even more pressing in the cases of two of the classes advocated by Liu, namely *transitive-converted intransitive verbs of activity* and *object-deleting verbs*, which are, as I have already pointed out, the ones for which the attainment of an accurate description has been more problematic.

2. Aims of the study

The purpose of the present investigation is to corroborate the empirical adequacy of Liu's controversial categories, (i) *transitive-converted intransitive verbs of activity* and (ii) *object-deleting verbs*, by means of the elaboration of a corpus-based study. Such survey will be designed with the intention of obtaining empirically-derived arguments that would support the hypothetical defining traits that Liu (2008) postulates for the verb classes object of inquiry. The features we will subject to examination are summarized in Table 1.

<i>Transitive-converted intransitive verbs of activity</i>	<i>Object deleting verbs</i>
E.g. <i>Emily is reading vs. Emily is reading a book</i>	E.g. <i>Each time we met she invited me, and each time I declined</i>
<ul style="list-style-type: none"> • When used without an O, the focus of meaning shifts from the O to the verb • There is no specific deleted O • These verbs can function this way without a discourse or situational context 	<ul style="list-style-type: none"> • There is no meaning shift when the verb is used without an O • There is a specific O deleted • These verbs cannot be used this way without a clear discourse or situational context that allows the recovery of the deleted object

Table 1: Summary of the main traits of transitive-converted intransitive verbs of activity and object-deleting verb

3. Methodology

For the elaboration of this study, I performed a search of a prototypical member of the categories transitive-converted intransitive verbs of activity (*eat*) and object-deleting verbs (*notice*) in the Freiburg-Lancaster-Oslo/Bergen Corpus of British English (henceforth FLOB) and the Freiburg-Brown Corpus of American English (FROWN from now on). These searches yielded in the FLOB a total of 133 tokens of *eat* and 120 instances of *notice*. In turn, the figures for FROWN were 142 examples of *eat* and 103 occurrences of *notice*. Nevertheless, these overall figures do not tally with the exact number of instances analyzed for the present study, as among the aforementioned tokens there were many which should not be considered for the current analysis.

The categories which I have disregarded include: (i) nominal uses, as in (1); (ii) adjectival uses, as shown in (2); (iii) passive constructions (cf. (3) below); (iv) verbs appearing in combination with other words to form a new word, as in (4); (v) idioms, as shown in example (5); (vi) phrasal verbs, as in example (6); (vii) examples of metalanguage (cf. example (7)); (viii) metaphorical uses of the verbs, as shown in (8); and (ix) causative uses such as that illustrated in (9).

- (1) The relapse was due, the report said, to his “irregular eating in recent time”. (FLOB A01180-182)
- (2) Bozo was an Old English sheepdog —but don’t imagine something like the famous paint dog [...]; rather a rangy, moth-eaten, greyhound-thin bundle of neuroses covered in sparsely-tufted grey and white fur. (FLOB F36 191-195)
- (3) Didn’t she realize a stranger in any of the dinky little would be noticed? (FROWN L11 206-208)
- (4) I am no longer fooled by the kids eat-fly-stay free advertisements, either. (FROWN C17 184-186)
- (5) “Whiskers,” she said, “you are eating us of house and home”. (FROWN R08 85-87)
- (6) I cultivated enormous hand handwriting to eat up more space on the page, making it all seem weightier. (FROWN G01 133-135)
- (7) Verse 9 seems to extent the punishment to both people and priest yet the word *eat* in v. 10 looks as though it is picking up the feed of v.8. (FLOB D03 157-161)
- (8) There is a grim appropriateness in this silly, effete person being forced to eat the earthiness that his ultracivilized persona implicitly denies. (FROWN F01 113-116)
- (9) “I kept saying it wasn’t worrying me but it was eating a big hole in my guts”. (FLOB A23 112-114)

After having manually pruned the instances, the remaining examples of *eat* and *notice* in the corpora add up to a total of 86 instances for *eat* in the FLOB and 113 tokens for the same verb in the FROWN; in turn, 81 occurrences of the verb *notice* were identified in the FLOB and 71 in the FROWN. The individualized examination of the remaining instances will allow me to discern if the main traits of Liu’s (2008) newly-established verb classes are actually corroborated by real instances of language in use, and thus to substantiate the suitability of adopting Liu’s (2008) taxonomy as the default model for the study of English objectless verbs. The results derived from this analytic work are discussed below.

4. Discussion of the findings

4.1 Presence or absence of discourse or situational context

As we are dealing with examples taken from corpora, and consequently extracted from bigger pieces of texts, the presence of an immediate linguistic context is guaranteed in all instances, which makes any comment on this point superfluous.

4.2 Shift of meaning from the object to the verb itself

The results of the corpus searches seem to demonstrate that, as Liu (2008) had postulated, *transitive-converted intransitive verbs of activity*, as represented by *eat*, tend to exhibit a shift in meaning, i.e. a shift in the focus from the object to the verb, when used with no object. One of the findings suggesting that this is indeed the case is the fact that, in a significant proportion of the objectless instances analyzed (35 tokens; 42.6%), the verb *eat* is followed by various kinds of expressions through which circumstantial information is added. To my mind, the abundance of constructions of this sort might well be an indication of the existence of a special focus on the activity expressed by the verb, inasmuch as the purpose of the aforementioned elements is that of contextualizing a particular action, which will thus be conceived as the main focus. Such hypothesis gains even more strength if we consider that only in 32 cases in which the verb *eat* is used with an object (26.4%) circumstantial elements are present. This appears to be especially true of those constructions in which an adjunct of manner is used. Illustrative examples of this kind are (10) and (11):

- (10) They **ate silently**. She seemed to be deep in thought, and he didn't want to intrude.
(FROWN N08 112-114)
- (11) "You should try **eating slower**, Hans". (FLOB L05 217-218)

A second factor that can contribute to consider that this kind of verbs without an object favour an activity reading is that, on some occasions, they are employed in constructions in which the capability for somebody to perform the action in question is assessed. The existence of instances of this kind, as well as the implications they may have for the categorization of the English verbs with no object, had already been noticed by Liu (2008: 301). The type is attested only once in the corpora:

- (12) Days and nights when I **could scarcely eat or sleep** for fear of what was happening.
(FLOB N26 67-69)

Liu's (2008) ideas concerning the impossibility of arguing for an activity reading in the case of *object-deleting verbs* also seem to prove true. Thus, the analysis of the data for the verb *notice* provides us with an expected overwhelming majority of instances in which an activity reading does not appear to be possible, as happens in example (13):

- (13) His apologies were totally unnecessary, Caroline **noticed**, as Sally would have forgiven him anything. (FLOB P29 137-140)

As a matter of fact, only one potential counterexample to this common trend is attested in the corpora:

- (14) Much work in the investigations, on my view, is precisely devoted to getting us to **notice**, to see that there is a place at the start of philosophizing, where this imposition happens. (FROWN J53 161-164)

However, this case can be considered as an interesting exception to an otherwise completely stable behaviour, and as a proof that, as Liu himself states, “quite a few verbs may function across categories, depending on their use in context” (Liu 2008: 310).

4.3 Existence or non-existence of a recoverable object in the context

In relation to the existence or non-existence of a recoverable object in the neighbouring context, the corpus data also appear to corroborate Liu’s (2008) considerations. Thus, in the case of the verb *eat*, in constructions lacking an object, there is a majority of instances where no element susceptible of being a potential object seems to be available in the context (54 instances; 65.8%). Example (15) is representative of these cases:

- (15) She was weary from her haste the previous day, and she knew she must **eat** to maintain her strength. (FROWN E05 155-157)

However, in some particular cases the verb *eat* is used in contexts in which it would be possible to argue that a potential object can be traced back (28 examples; 34.1%). This is the case of instances such as (16)-(18):

- (16) Privately, the brethren agree never to mention, not to notice or taste **the food** as they **eat**. (FROWN G14 111-113)
 (17) “And let’s get some of **that food over there**, girl. It’s free and **I haven’t eaten**”. (FROWN K13 184-186)
 (18) Don sliced **the pizza** while Reagan got two bottles of beer out of the refrigerator, and they sat down to **eat**. (FLOB P07 165-167)

A preliminary look at these examples might lead us to consider that, in them, the verb *eat* is used to refer to a particular object which has been previously introduced in the discourse, i.e. *the food* in (16); *that food over there* in (17); and *the pizza* in (18). Nevertheless, this group of instances is by no means homogeneous. Thus, while in example (16) the verb actually seems to refer to the noun phrase in bold type, examples (17) and (18) are quite different. In (17), the clause *I haven’t eaten* is not used to denote the fact that the speaker had not consumed *that food over there*, but rather to make it clear that he or she had not ingested any kind of food at all. In (18), in turn, the verb *eat* does refer to the pizza which has just been mentioned; however, in my view, the activity of eating expressed by it might not exclusively include this type of food, but also some other elements that constitute the meal in question. Taking all this into account, it would be possible to assert that, whereas examples such as (16) could be considered as particular exceptions in which the verb *eat* is used as an *object-deleting verb*,¹ examples like (17) and (18) should still be defined as cases of *transitive-converted intransitive verbs of activity*.

Contrary to what happens with the behaviour of the verb *eat*, the study of the objectless instances of *notice* in relation to the presence or absence of a recoverable object has produced very few remarkable results. As expected, in almost all the occasions, a specific object is

¹ The marginality of examples of this type is confirmed by their very low rate of occurrence in the corpora (6 tokens, 21.4% of the total of instances of the verb *eat* for which a potential object can be traced back), as opposed to that of the uses illustrated by examples (19) and (20) (22 cases, 78.5%).

retrievable from the previous linguistic context, the only exception to this pattern being example (14) in section 4.2 above. Furthermore, it is worth mentioning that, of all the cases where the element which would function as an object is already available in the linguistic environment, only three exhibit a coreferential pronominal object. Examples of these are:

- (19) What is so interesting about **these dark, six-legged insects**? After all, you hardly notice **them**. (FLOB F36 107-109)
- (20) For often it will be at the doorway that he will have to notice **alarming things** if he is to notice **them** in time. (FROWN J25 135-138)

The scarcity of instances of this kind suggests that, when available, speakers tend to opt for object unelaboration, leaving the inclusion of overtly expressed objects for those cases in which contextual factors do not favour this omission. Such behaviour seems to be the most straightforward and natural one, given the principle of economy whereby all languages, without exception, are governed.

5. Closing Remarks

The data retrieved from the FLOB and the FROWN appear to corroborate that the model proposed by Liu (2008) for the classification of the most problematical types of English verbs used without an object —i.e. *transitive-converted intransitive verbs of activity* and *object-deleting verbs*— is essentially valid. Nevertheless, the analysis of English objectless verbs could be further refined by (i) expanding the number of verbs under revision, (ii) resorting to additional corpora, and (iii) extending the analysis to the complete set of categories distinguished by Liu (2008). Such improvements must, however, be left for future research.

Sources

FLOB = *Freiburg-Lancaster-Oslo/Bergen Corpus of British English*. In: *ICAME collection of English language corpora*, (CD-Room), 2nd edition (1999), comp. Knut Hofland, Anne Lindebjerg, Jørn Thunestvedt. The HIT Centre, University of Bergen, Norway.
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FROWN = *Freiburg-Brown Corpus of American English*. In: *ICAME collection of English language corpora*, (CD-Room), 2nd edition (1999), comp. Knut Hofland, Anne Lindebjerg, Jørn Thunestvedt. The HIT Centre, University of Bergen, Norway.
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Some Notes on London, Wellcome Library, MS 5262¹

Laura Esteban-Segura
Universidad de Murcia
lesteban@um.es

Abstract

This paper focuses on London, Wellcome Library, MS 5262, a one-volume codex from the early fifteenth century which holds a medical recipe collection. The main aim is to analyse the book as a material object for the transmission of knowledge and information, providing insights not only into mediaeval medical practice, but also into socio-historical aspects of the period in which the manuscript was written and used. For this end, palaeographical and codicological elements, as well as contents, will be taken into consideration.

Keywords: Wellcome 5262, Middle English, medical recipes, medicine, religion

1. Introduction

The manuscript Wellcome 5262 (henceforth *W5262*) is housed in London's Wellcome Library, one of the most important resources worldwide for the study of medical history, possessing a large collection of manuscripts, books, archives, films and pictures on the topic from the earliest periods to the present day.² *W5262* holds a medical recipe collection in one volume and represents a fine exemplar of a remedybook. This type of medical writing has been traditionally considered popular as opposed to academic medicine. Remedybooks were "made up mostly of treatment for ailments—or, more accurately, for symptoms—by minor surgical procedures, non-theoretical phlebotomy, cupping, dietary, prayers, charms, ritual action, and, of course, "prescriptions"." (Voigts and McVaugh 1984: 21).

However, recipes were not restricted to remedybooks. As Taavitsainen (2001: 95) has pointed out, "recipes in learned treatises are embedded into longer texts as integral parts" and therefore they can be found in specialised medical treatises. An example of a text belonging to the learned tradition and displaying a good number of recipes is the *Middle English Gilbertus Anglicus*, of which two witnesses have been edited to date: London, Wellcome Library, MS 537 (Getz 1991) and Glasgow, University Library, MS Hunter 509 (Esteban-Segura 2012a).

With regard to other remedybooks, *A Fifteenth-Century Leechbook* (London, Medical Society, MS 136), edited by Dawson (1934), and the *Liber de diversis medicinis* (Lincoln, Cathedral Library, MS A.5.2.), edited by Ogden (1938), are among the most well-known.

W5262 is a unique manuscript fully deserving to be studied as it can throw light not only on the medical lore of the Middle Ages, but also on socio-historical aspects of Tudor England. Features which will be discussed in the following sections evince the particularities of the history behind this book. Work on *W5262* is well under way since the text has already been transcribed and morphologically tagged as part of several research projects involving the

¹ The present research has been funded by the Autonomous Government of Andalusia (grant number P07-HUM-02609) and the Spanish Ministry of Science and Innovation (grant number FF12011-26492). These grants are hereby gratefully acknowledged.

² <http://library.wellcome.ac.uk/>.

electronic editing of Middle and Modern English scientific, and particularly medical, prose and the compilation of a diachronic corpus of scientific English. The edition of the text is currently being prepared.

2. Date and contents of the manuscript

The codex dates from the fifteenth century and was probably written in the first quarter of the century³ in a bordering area between the counties of Herefordshire and Worcestershire (Esteban-Segura 2012b). An enumerated account of its contents is supplied next:

1. Coloured illustrations (ff. 1r–3r), which have been partially obliterated. They represent St Anthony by an oak tree, with a pig and a deer below his feet (f. 1r); St James, who seems to be cutting down a tree with his hand, barefoot and flanked by two rabbits which are on the ground (f. 1v); St John the Baptist with an oak tree and rabbits on the ground (f. 2v); and a bishop between two candles (f. 3r). The figures of the saints and bishop have been deliberately effaced.
2. List of contents (ff. 3v–7v), recording 133 recipes found on folios 8r–53v. Following the end of the list on folio 7v, there is a coloured drawing of a swaddled baby in a cradle. The list is not accurate as some recipes do not appear later in the text. It is interesting to note that the missing recipes include two dealing with childbirth (“*Medicine for womman þat traueleþ*” and “*Medicine to deliuere womman of ded childe*”),⁴ which can be an indication of the intended user(s) of the manuscript for whom the initial planning might have been adapted.
3. Recipes (ff. 8r–61v).
4. Prayer to St Kenelm, patron saint of Winchcombe Abbey (f. 61v). This is in Latin and has been added in a fifteenth-century Anglicana script.

The manuscript consists predominantly of recipes in English (ff. 8r–61v) for affections, injuries and ailments dealing with human complaints. There are some fragments in Latin and practical recipes not necessarily relating to medical issues such as those concerning the preparation of drinks (e.g. turning wine into vinegar), reading in the dark, catching fowls, etc. The number of recipes listed in the table of contents (133) does not imply that this amount is to be found later in the text; on occasions, the same recipe is valid for two different conditions, thus serving various purposes (e.g. “Who so haþ euel *in* his wombe” and “*and* ȝif his wombe beo sor *and* hard”). Furthermore, several recipes may be provided for just one condition, for example, “ffor þe cancre *in* womman brest”, for which four different recipes are supplied. Also, as mentioned before, there are recipes which are included in the list or table of contents but not in the text.

The arrangement purports to follow the mediaeval *de capite ad pedem* structure, from head to foot, presenting first those remedies for affections in the head and then moving downwards. However, the grouping is sometimes quite arbitrary and closely-related remedies may appear separated; those for the eyes, for instance, can be found scattered throughout the

³ According to the database description found in the “Archives and Manuscripts catalogue” of the Wellcome Library, available online at <http://archives.wellcome.ac.uk>, which has, in turn, been taken from Palmer (1999).

⁴ All the fragments cited from *W5262* have been transcribed and adapted by the author of the paper.

book, occurring at the beginning and at the end. Most recipes are therapeutic,⁵ that is, they discuss a remedy for a specific disorder:

- (1) “**Who so hap ache undur his fet for trauel:** Nȳm comȳn *and* bete hit. *And* mēge hit wiþ oȳle *and* smere þȳ fet undur. *And* do a colle lef þer-on *and* bȳnde hit þerto.” (f. 25v)

Prognostic (example 2), which predict the likely outcome of a disease, and cosmetic (example 3) recipes are also found:

- (2) “**Medicine to knowe wheþer a seke man schal lȳue oþer dye:** Nȳm verueȳne *and* bere hit in þȳn hond. *And* come to þe seke man *and* saȳ to hȳm þus: “How is hit wiþ þe?”. *And* ȝif he annsweruþ *and* saȳþ wel, he schal lȳue. *And* ȝif he seȳþ euel or suche a þȳnge, he schal deȳe.” (f. 49r)
- (3) “**To make þi uisege wel i-colored:** Nȳm þe marȳ of þe bonus of a swȳnes foot. *And* temper it wiþ warm watur *and* anoynt þi uisege.” (ff. 47v–48r)

The ingredients for remedies are in the main herbal, although animal preparations (including *Dreckapotheke*) may be contained in the suggested cures as well. Take for instance:

- (4) “Medicine for þe cancre *in wommanus brestus*: Nȳm **schepes dȳnge**. Al hot leȳ hit to wommanus brestus.” (f. 47r)

As is usual in manuscripts of the period and type, the magical and divine elements are present with incantations and charms, and the reliance on God’s aid or grace to heal the patient. They are interrelated and this can be seen in the following fragment:

- (5) “A Medicine forto stanche blod: Furste þou moste ȳ-wete þe mannes nome *and* þen go to **churche** *and* seȳ þȳs **charme**. *And* loke þou saȳ hit not for no best bote for mon oþer womon *and* seȳ þis **charme** [...]: Whanne **oure lord divin crist** was doun on þe croȳs þanne com longes...” (f. 38r/v)

The passages in which this type of information appears have been crossed out, a noteworthy action which may be linked to the obliteration of the saints’ images at the beginning of the manuscript.

Indications to employ repulsive substances, together with the occurrence of charms, explain why remedybooks were considered to form part of the tradition of folk and popular medicine, lacking on many occasions a scientific basis.

3. Foliation

The leaves have been numbered twice, both in Arabic figures, at the top right-hand corner of folios recto. The first foliation, done with ink, starts on the second leaf of the table of

⁵ Hunt (1990: 16–17) has classified the different types of recipes into therapeutic, prognostic, diagnostic, cosmetic, dietetic and eclectic.

contents; it is numbered “2”. It is therefore to be assumed that the manuscript was originally intended simply as a book of recipes and the coloured drawings were added later. With this numeration, the table of contents starts on folio 1v; folio 1r was possibly left for the cover. The inclusion of the two folios with the drawings at the beginning of the manuscript was likely to have been done in a subsequent stage (the folio recto initially intended for the cover was also used for a drawing). In all probability, when the manuscript was bound, a second foliation in pencil —next to the first one, although on most occasions upper and more to the right— was added (folio 2 is renumbered “4” and so on). Between these competing foliations, the second one has been followed for the reference to folios in this paper, as it comprises the whole manuscript.⁶

4. Script and decoration

W5262 was written using the calligraphic script known as Textura, the one generally employed in mediaeval times for formal and expensive books. The handwriting, neat and careful, does not deteriorate with the progression of the text, keeping its legibility from the first to the last folio, although the passing of time has caused the ink to fade in a number of them. This carefulness implies that the process of writing was slow and meticulous. The section headings in red and the rubricated initial letters, which function as textual markers to help the reader find information, also prove the careful and painstaking making of the book. The manuscript has catchwords, the usual method to indicate continuity and facilitate the ordering of quires. What is not so usual is the fact that these catchwords are illustrated.

5. Provenance

There are several sixteenth-century inscriptions which give clues about the history of the book. The first of these appears on folio 12r and refers to a man named Henry Dyngley (“H. henri : dyngley”). Dyngley, who was from Charlton, Worcester, belonged to a family of devout Catholics and rural farmers working as doctors. He married Mary Neville, one of the daughters of Knight Sir Edward Neville, a nobleman who held certain important roles within the court of Henry VIII and who descended from Edward II and Queen Isabel of England (14th century).⁷ In fact, reference to the Queen is made on folio 54r:

“Þÿs <to-fore i-write> was sent from alle þe leches and alle þe ficÿciens of mount pelereȝ <and of salarn> to **dame Jsabel þe quene of engelonde** at þe preÿer of þe kÿnge of fraunce, here broþer *and* who-so beo wel war here-of and use hit wel hÿm nedeþ no leche craft more.”

Two other ownership marks, found on folios 34r and 60r, contain the name “Andrewe Wylkyson”, who was a surgeon: “Andrewe wylkynsons bouk” (f. 34r) and “perteyne vnto Andrewe Wylkynson I Surgeon” (f. 60r). There is yet another inscription from the late eighteenth century on folio 39r, which reads “LIVERPOOL I May I 1782” (f. 39r). The manuscript was later acquired by Sir Norman Moore (1847–1922), whose grandson sold it at

⁶ For clarity’s sake, the later foliation has also been selected for the transcription, morphological tagging and edition.

⁷ <http://blog.wellcomelibrary/2010/02/quick-fixes-saints-and-symbolism-a-rare-surviving-devotional-recipe-manuscript-from-the-early-15th-century-item-of-the-month-february-2010/> (Last accessed 20 February, 2013).

Sotheby's on 25 June 1985, lot 71. The Wellcome Library purchased it with the aid of the V & A Purchase Grant Fund (accession number 345475).

6. Sources

There is not direct reference in the text to the works from which the recipes are drawn out. English mediaeval written medicine drew upon compilations of mainly Greek, Latin and Arabic authors. In the case of *W5262*, it is quite complicated to identify passages or establish sources, a difficulty which "is increased by the changes that the originals underwent in the course of their transmission through time and space" (Dawson 1934: 11). Some of the recipes are the same, irrespective of spelling, as those comprised in London, Medical Society, MS 136 (see Dawson 1934).

7. Concluding remarks

W5262 stands out for several reasons. The marks of ownership appearing on several folios which show that the manuscript belonged to at least two medical practitioners, together with the functional value of remedybooks, give first-hand evidence of its serving a practical purpose. However, the audience of this type of books did not have to be necessarily expert: the fact that they were written in the vernacular with a clear and easy prose and that theoretical content was left out widened the scope of readers to include lay people, who could use the books for self-medication. Despite its utilitarian nature, *W5262* is highly remarkable in that it is exclusive and elaborated, containing coloured drawings, rubricated initials and a formal script. Proof of its extravagance are catchwords, which are illustrated. Moreover, the book bears witness to the close relation between medicine and religion in the Middle Ages both in contents and illustrations. Paradoxically, the manuscript is partially effaced and this occurs precisely in those fragments and images dealing with religion or religious matters. This can be attributed to the ravages caused by Henry VIII's Reformation, a period in which a considerable amount of religious material was destroyed. *W5262* survived total destruction probably because of its valuable medical content.⁸

Given the particularities and uniqueness of the manuscript, it is no surprise that it was chosen "item of the month" in February 2010 at the Wellcome Library as "a rare surviving devotional recipe manuscript" combining "folk remedies with religious iconography and a royal heritage to boot".⁹ Further study on the manuscript is necessary to assess its value and will be carried out in the future, including more detailed research on provenance and textual transmission, among other topics.

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⁸ <http://blog.wellcomelibrary.org/2010/02/quick-fixes-saints-and-symbolism-a-rare-surviving-devotional-recipe-manuscript-from-the-early-15th-century-item-of-the-month-february-2010/> (Last accessed 20 February, 2013).

⁹ <http://blog.wellcomelibrary.org/2010/02/quick-fixes-saints-and-symbolism-a-rare-surviving-devotional-recipe-manuscript-from-the-early-15th-century-item-of-the-month-february-2010/> (Last accessed 20 February, 2013).

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Eighteenth-Century Female English Grammar Writers: Their Role as Agents in Transitivity Structures¹

Dolores Fernández Martínez
Universidad de Las Palmas de Gran Canaria
dfernandez@dfm.ulpgc.es

Abstract

In the eighteenth century the need for the codification of the English language led to the proliferation of English grammars. In a men-dominated context of grammar production women also made their contribution, adding “much to our knowledge of the changing face of female education in England at the end of the eighteenth century” (Cajka 2008: 220). The purpose of this paper is to carry out a discourse analysis on the prefaces of some English grammars written for schools by female English grammar-writers. The grammars analysed in this work have been drawn from ECEG, a new online data source for the study of eighteenth-century grammars compiled by Rodríguez-Gil & Yáñez-Bouza (2010). By using Halliday’s (2004) transitivity structures as a tool for analysis we will study how female authors imposed their authority on the prefaces and how they encouraged the prospective buyers or readers to value their work and use it.

Keywords: critical discourse analysis, eighteenth century, English grammars, female English grammar-writers, Halliday.

1. Introduction

The eighteenth century was a crucial period in the process of codification of the English language and in the history of English grammar writing. Growing interest in vernaculars and in the proper use of the language among the upper classes led to a significant increase in the output of grammars (Tieken-Boon van Ostade 2008a). The endeavour to dominate the market led to a gradual increase in grammatical productivity, especially during the second half of the century (Tieken-Boon van Ostade 2008c). In order to make their grammars appealing to prospective readers, grammarians turned the prefaces to their works into highly strategic introductory material. In their enterprise to produce norms of linguistic correctness, grammarians shared a commitment to the discursive practices (Watts 2008: 45). However, while research in the English grammatical tradition has thrived in recent years (e.g. Tieken-Boon van Ostade 2008b; Hickey 2010), prefaces remain an area hitherto rather unexplored.

This paper aims to carry out a critical discourse analysis (see, in particular, Fairclough 1995, 2001) on the prefaces of some English grammars written for schools by female English grammar-writers. The prefaces analysed in this work have been selected from *The Eighteenth-Century English Grammars Database* (ECEG), a new database of eighteenth-century grammars and grammar-writers, compiled by Rodríguez-Gil & Yáñez-Bouza (2010), which

¹ This article is part of the research project FFI2011-25683 funded by the Spanish Ministry of Economy and Competition (Ministerio de Economía y Competitividad), State Secretariat for Research, Development and Innovation.

provides scholars with a resource for interdisciplinary studies on the eighteenth century. The corpus under analysis has been retrieved by selecting the following parameters: (i) *female* for gender, (ii) *England* for place of birth of the author, (iii) *English grammar* for type of work, and (iv) *institutional* for target audience. Thus, the grammars resulting from the search are as follows:

Fisher, Ann (1750)
Devis, Ellin (1775)
Gardiner, Jane (1799)
Mercy, Blanch (1799)²

In a men-dominated context of grammar production women also made their voices be heard. They “were explicitly concerned with instilling into their pupils the appropriate types and amounts of academic, moral and social knowledge; in other words, they all sought to teach girls to be proper young women” (Cajka 2008: 192). Women also exhibited an upbeat tone and high level of authority in the presentation of their work, which merits closer attention from a critical discourse analysis point of view. Critical discourse analysis studies discourse as an instrument of power and control (Fairclough 1995, 2001). Despite relying on a variety of grammatical approaches, critical discourse analysis has traditionally preferred Halliday’s (2004) *Introduction to Functional Grammar* as the most suitable tool for analysis (Fairclough 1995, 2001). The purpose of this paper is to examine the role of eighteenth-century female grammarians in transitivity structures. Halliday’s (2004: 168-305) transitivity structures support the function of the clause as representation by presenting reality in terms of the three components of participants, processes and circumstances. Transitivity patterns provide a valuable tool for the study of relationships of control between individuals and hence for the analysis of the traits of authority shown by the writers through their prefaces. By examining the role of female authors in transitivity structures this paper will describe how they imposed their authority on the prefaces, and how they encouraged the prospective buyers or readers to value their work and use it.

2. Data analysis

The role of each participant may be contemplated from a double perspective that refers both to his presentation as a focus of structure and as a focus of action, being both complementary in the appraisal of the individual (Chiapello & Fairclough 2002: 193). The analysis of the four prefaces will be organised around the main identification systems (Martin 1992) employed to refer to the authors, namely the third and first person singular in active structures, and the elided third person singular in passive structures. Martin’s system of identification assesses the significance of individuals as a focus of structure in terms of the referential chains they produce: “The more central the participant . . . the more likely it is to provide a referent for a phoric item. . .” (Martin 1992: 107).

Devis (1775) uses the third person singular to refer to herself explicitly as *the Author* with material verbs which describe the process involved in the elaboration of the grammar and the difficulties met in that process, which in some way predisposes the reader to appreciate her work: *To obviate the Difficulties the Author herself has met with, she has drawn up this English Accidence. . .* (Devis 1775: preface vi). *The Author* is also the subject

² Since volume II deals with the specific instructions given by the author to the instructress, references in this work are only to volume I.

of intensive attributive relational structures which indicate her confident position when assessing the deficiencies of past grammars, which increases the value of her grammar in the present: *The Author is, however, convinced from Observation, that most of the Grammars, which have hitherto appeared, are neither too abstruse, and much above the Comprehension of Children.* . . (Devis 1775: preface v-vi). The third person also appears as behavior of psychological verbs indicating the author's self-satisfaction with her work: *the Perspicuity and Simplicity of which, she flatters herself, may render it of Use, particularly in Schools* (Devis 1775: preface vi). Accordingly, the structures formed with the third person have a strategic purpose which tries to predispose the reader to accept the grammar.

Most of the female authors under analysis prefer the first person singular in order to represent themselves as subjects in transitivity structures, although with similar purposes to the ones specified through the third person. Fisher (1750) employs material verbs to describe the method of construction of her grammar. By mentioning the *necessary principles* followed, the author conveys the idea of quality work: *How far I have followed these necessary Principles.* . . (Fisher 1750: preface [A2]). Sometimes, the author uses material actions to confer authority to the reader as a judge of her work. Although she pretends not to interfere in the judgement of the reader, the dynamic of persuasion created by the network of transitivity structures in the text says the opposite, and the judgement of the reader turns into a guided judgement: *Thus wholly relying on the Merit of the Work, I refer it entirely to the impartial Judgment of the Publick* (Fisher 1750: preface ii).

The author shows a humble attitude through material verbs with abstract meaning. By means of them she rejects both highlighting the merits of her work and discrediting the work of others. However, that attitude is contradicted by the display of transitivity structures which emphasize the skilful process of development of the grammar and which in some way predispose the reader to use it: *For I shall not run into that ungenerous, tho' common Fashion, of raising the Reputation of my own Book, at the Expence of my Brethren of the Subject, or start Objections to others for my own Advantage.* . . (Fisher 1750: preface [A2]). For the same reason, the relational attributive structure *ought I to be content* illustrates some fake modesty: *by so much ought I to be content with the least Share of Publick Thanks, and the greatest of its Blame, if this Grammar, as she last, be not equal, or preferable, to the best yet publish'd* (Fisher 1750: preface [A2-ii]). The author is described as being satisfied with the least share of public thanks and inclined to accept any blame from the reader for her work.

Verbal structures allow the writer to establish a direct connection with the reader, even expressing explicitly a modest position (*humbly*) which is also repeated through the relational structure *unwilling to rob him*: *I am obliged to an ingenious Friend for the following LETTER, which I humbly recommend, and shall communicate it in his own Words; unwilling to rob him of any Applause that it may be thought to deserve* (Fisher 1750: preface ii). Direct structures of approach assist the overall strategic purpose of the text to persuade the reader to use the grammar. These structures function as approaching strategies which facilitate the control of the reader: *As the knowledge of the English Language is universally esteemed a branch of polite education, I shall not detain the Reader by enlarging on the subject, but immediately proceed to give a succinct account of this small Performance.* . . (Gardiner 1799: preface [A2]); *I recommend . . . I talk.* . . (Mercy 1799: preface [A2]).

With a mixture of material and mental verbs the writer emphasises her effort to produce a work of quality. Additionally, she presents herself as an expert and guide in the learning process of the English language: *This initiatory book may properly be termed an extract or rather a select compendium of the most approved English Grammars; from which I have endeavoured to select what experience has taught are to be most useful, to attain a thorough knowledge of the English Language* (Gardiner 1799: preface [A2]); *to prevent young people from learning by rote.* . . (Mercy 1799: preface [A2]). Effort, combined with a risky

undertaking, increases the value of her grammar: *It will necessary to inform the Reader, that, with a view to render these Rudiments still more useful, I have ventured to differ from the Grammarians I have consulted.* . . (Gardiner 1799: preface [A2]).

In order to confer authority to her statements the writer uses relational intensive structures which present herself as a witness of past linguistic deficiencies: *I have frequently been witness to children's.* . . (Mercy 1799: preface [A2]). These structures prepare the path for the ones in which the author provides techniques for linguistic improvement: *to remedy the evil.* . . (Mercy 1799: preface [A2]); *THE method I have pursued will obviate this difficulty, and both assist and prepare the Learner to attain with ease what is now gained with so much labour* (Gardiner 1799: preface iv). And the use of mental cognitive verbs shows a reflexive attitude supporting and providing excellence and reliability to the guiding role of the writer: *I thought proper to begin with it* (Mercy 1799: preface [A2]).

The main linguistic device used in the four prefaces under study is the passive structure composed of material actions with the elided third person as agent referring to the author: *For this Purpose are added some Sentences, Maxims, and Reflections, taken from different Authors* (Devis 1775: preface viii); *A BOOK of this kind, when the Method is clear; the Plan well laid, and duly executed, needs no other Recommendation than its own general and extensive Use* (Fisher 1750: preface [A2]); *a particular regard has been paid to such arrangement, connection, and brevity, as might give a clear and easy conception of them.* . . (Gardiner 1799: preface iv); *The Accidence are written . . . tenses of the verb has been adopted* (Mercy 1799: preface [A2]). By means of them the authors emphasise the idea of skilful work in the development of the grammar presented, which predisposes the reader to buy and use it. They focus on the method of construction of the grammar as a guarantee of its merits. Additionally, those material actions are supported by a feeling of self-satisfaction and conviction that also justifies their concern with success, which is once again submitted to the judgement of the reader: *how far I have succeeded . . . which is humbly submitted to the judgment of the candid Reader* (Gardiner 1799: preface iv).

3. Final remarks

The analysis of the prefaces to eighteenth-century female English grammars has illustrated how the authors impose their authority and encourage strategically the intended readers to value the process of construction of the grammar and its acceptance. In the four prefaces analysed it can be noted how linguistic structures which manifest implicit control alternate with some other explicit affective positions of closeness and interruption of power. But the authors also construct a role for themselves as textual mediators for the potential readers. Their convincing arguments to support the convenience of their grammars rest on a systematic codification of transitivity structures. The author meddles in the text as a centre of reflection controlling the truthfulness of the message and anticipating the success of her work. Ultimately, the application of a critical discourse analysis perspective has shown how the prefaces to these English grammars turned into highly persuasive instruments used by the authors to justify the need for that specific grammar.

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On the pronunciation of L2 English word-final consonant clusters in monomorphemic vs. inflected words

Francisco Gallardo del Puerto and Kenneth Friedman
University of Cantabria
francisco.gallardo@unican.es, kenneth.friedman@unican.es

Abstract

It is claimed that Spanish speakers have great difficulty in producing the English *-ed* morpheme because it frequently involves final consonant sequences which are non-existent in Spanish. This exploratory study attempts to ascertain whether word-final consonant clusters are acquired differently in inflected words (*passed*) vs. monomorphemic words (*past*) by Spanish learners of English, as well as examining whether learners' proficiency (beginner vs. intermediate) plays a role in such acquisition. Results from a sentence-reading/imitation exercise indicate that learners acquire clusters in monomorphemic words more successfully than those in inflected words, as they produce the former with greater frequency and accuracy, suggesting that phonology and morphology do indeed interact in interlanguages. Differences are particularly evident in the case of beginners, which may be interpreted as evidence for divergent learning rates for morphology and phonology. Additionally, intermediate learners clearly outperform beginners confirming that native language transfer effects are greater in the first stages of acquisition.

Keywords: English pronunciation, consonant clusters, phonology-morphology interface

1. Introduction

The influence of the first language (L1) in second language (L2) phonological acquisition has been acknowledged (Ellis, 1994) since Lado's (1957) formulation of the *Contrastive Analysis Hypothesis (CAH)*, which states that it is the L1 that predicts L2 acquisition. In more specific terms, the CAH proposes that learning is facilitated where L1 and L2 structures are the same (positive transfer), whereas it is impeded where they are different (negative transfer).

As Eckman (2004) points out, one area of difficulty in L2 acquisition seems to be *syllable structure*. It is widely acknowledged, for instance, that learners of English whose mother tongues do not possess consonant clusters in word-final positions have trouble with this particular aspect of English pronunciation (Eckman, 1987, 1991). Several studies (Goad et al. 2003; Hansen, 2004; Osburne, 1996; Sato, 1984) confirm that these learners tend to display cluster reduction as a result of L1 influence.

However, as suggested by some speech acquisition models, NL interference seems to diminish with increasing L2 exposure. Major's (1986, 1994) *Ontogeny Model*, for instance, claims that transfer errors decrease over time as learners progress in their acquisition. Eckman (2004: 527) reports that several longitudinal studies verify that syllable structure is one of the speech domains that constitute "a clear indication of L2 learners' progress" since learners seem to be able to modify their IL syllable types in the direction of target-like forms. Studies such as those by Hansen (2001) and Abrahamsson (2003) confirm that L2 learners' acquisition of simple and complex codas develops over time, but this evolution does not seem to be chronologically linear, as suggested by the Ontogeny Model, but U-shaped. In other

words, learners' errors are frequent initially, decrease in the early stages, and then increase subsequently, probably due to the lower attention learners pay to form as speech fluency progressively increases.

Another factor which may play a role in the acquisition of English final consonant clusters is *morphology*. Spanish learners' difficulty with this particular aspect of English pronunciation (Eckman, 1987, 1991; Gallardo del Puerto, 2005) might go hand in hand with morphological inaccuracy, since the overt realization of certain English morphemes very often involves the creation of final consonant sequences at the phonetic level (*look/looked*). Empirical evidence suggests that Spanish learners of EFL have great difficulty in producing the *-ed* morpheme (Benson & García Mayo, 2008; Brutten et al. 1986; Gallardo del Puerto, 2005; García Mayo & Villarreal Olaizola, 2011; Villarreal Olaizola & García Mayo, 2009). As for the interaction between morphology and phonology, Campos (2009) found that consonant reduction is significantly more evident in complex coda words inflected for past *-ed* than in monomorphemic words, though omitted forms were more frequent in highly than in lowly demanding tasks (a translation task vs. a cloze test/oral sentence completion). However, other researchers have reported that some end-of-state learners are able to master the morpho-phonological acquisition of *-ed* (Goad and White, 2004, 2006).

This pilot study attempts to explore whether word-final consonant clusters are acquired differently in monomorphemic words vs. inflected words (*past/passed*). Additionally, we will consider whether consonant cluster production is dependent upon learners' proficiency level (beginner vs. intermediate).

2. Methodology

Participants were students (aged 19-25) enrolled in *English Language and the Teaching of English*, a compulsory subject in the 2nd year of the degree in Primary Education at the University of Cantabria. They were divided into two groups according to their general proficiency level in English (5 beginner vs. 8 intermediate learners). Proficiency levels were determined by the course instructor, a native English speaker and the second author of this paper, based on short interviews and class contact.

The instrument used was a 31 sentence reading/imitation exercise (24 containing targeted clusters and 7 distracters). The sentences contained various English word-final binary consonant clusters (*/ft, kt, ld, nd, pt, st/*), and for each cluster, two inflected and two monomorphemic words were chosen (for */st/*, *missed/list* and *passed/fast*). Learners were individually recorded in a lab. They not only heard the sentences as uttered by a native English speaker but were also given a printed copy of them. Providing only written input might have led to reading pronunciation effects, whereas providing only auditory input might have made the task a mere imitation exercise and contributed to problems in learners' understanding of the sentences.

Learners' productions were assessed on the basis of cluster *frequency* and *quality* by the instructor, an English native speaker. Frequency refers to whether students produced the cluster (1 point) or reduced it (0 points). Learner utterances were analyzed for sound deletions (either sound 1 or sound 2), or sound additions that broke the cluster, namely vowel epenthesis (e.g.: *passed* [*pasid*]). The quality assessment consisted of a holistic evaluation of the pronunciation accuracy with which the consonant sounds of the clusters were pronounced by learners. Quality values were assessed on a 4-point scale; 0 points were given when the cluster had been reduced, and values ranging from 1 to 3 were assigned according to the quality of the cluster when the two consonant sounds were produced.

Mean scores and standard deviations were calculated for (i) inflected vs. root forms, and for (ii) beginner vs. intermediate learners. Inferential statistical analyses were subsequently

carried out in order to identify any statistically significant differences ($p<.01$; $p<.05$) as well as relevant tendencies ($p<.09$) in the comparisons.

3. Results

Table 1 presents the global results of the comparison between inflected and root forms. As can be observed, inflected forms always obtained worse scores than root forms in the two assessments. In addition, differences were statistically significant in all cases.

	INFLECTED		ROOT		T-test	
	Mean	S.D.	Mean	S.D.	t	Sig.
Frequency (max=12)	6.21	3.45	7.64	2.27	-2.420	.031*
Quality (max=36)	14.57	9.73	19.64	7.39	-3.153	.008**

Table 1: Inflected vs. root: global results (all learners)

Table 2 displays the comparison between inflected and root forms for beginners and intermediates separately. Again, inflected form mean scores were lower than those of root forms in all cases. These differences turned out to be significant when beginners were analysed, whereas intermediate learner comparisons triggered no statistical differences

		INFLECTED		ROOT		T-test	
		Mean	S.D.	Mean	S.D.	t	Sig.
Beginner	Frequency (max=12)	3.60	1.95	6.60	2.07	-6.708	.003**
	Quality (max=36)	7.00	4.18	14.20	6.30	-4.350	.012*
Intermediate	Frequency (max=12)	7.25	3.24	7.75	1.91	-0.592	.573
	Quality (max=36)	18.12	9.89	21.12	4.61	-1.247	.252

Table 2: Inflected vs. root: results in beginner and intermediate learners

Table 3 offers the global results of the comparison between beginner and intermediate learners. As can be observed, intermediate learners achieved better results than beginners in the two assessments. However, statistical analyses indicated that these differences were statistically larger for pronunciation quality than for cluster frequency.

	BEGINNER		INTERMEDIATE		T-test	
	Mean	S.D.	Mean	S.D.	t	Sig.
Frequency (max=24)	10.20	3.90	15.00	4.75	-1.888	.086#
Quality (max=72)	21.20	10.03	39.25	13.85	-2.513	.029*

Table 3: Beginner vs. intermediate: global results (all forms)

As shown in table 4, intermediate learners also performed better than beginners when inflected and root forms were analysed separately. However, the effect of proficiency level was statistically significant in the two assessments of inflected forms, whereas root forms turned out to reach statistical significance only in the quality assessment.

		BEGINNER		INTERMEDIATE		T-test	
		Mean	S.D.	Mean	S.D.	t	Sig.
Inflected	Frequency (max=12)	3.60	1.95	7.25	3.24	-2.255	.046*
	Quality (max=36)	7.00	4.18	18.12	9.89	-2.356	.038*
Root	Frequency (max=12)	6.60	2.07	7.75	1.91	-1.024	.328
	Quality (max=36)	14.20	6.30	21.12	4.61	-2.297	.042*

Table 4: Beginner vs. intermediate: results in inflected and root forms

All in all, we verified that both morphology and language proficiency exert an influence. It is worth mentioning, though, that highly significant differences were only found relating to the morphological factor. Consequently, the effect of morphology was found to be greater than the effect of proficiency.

4. Discussion

The aim of this preliminary study was to explore whether word-final consonant clusters are acquired differently in monomorphemic words than in inflected words. Our findings suggest that this is indeed the case. As for the effect of proficiency level, this variable appears to be an important contributing factor as well.

Consistent with previous studies, L1 transfer effects seem to be apparent in the production data collected. As seen in previous studies (Eckman, 1987, 1991, 2004; Hansen, 2004; Osburne, 1996, Sato, 1984), L2 syllable structure proved difficult for our learners. More specifically, word-final consonant clusters, practically non-existent in Spanish but common elements in English, present pronunciation challenges for Spanish learners of English. This finding confirms the existence of negative transfer effects predicted by the Contrastive Analysis Hypothesis (Lado, 1957). The clusters examined in this study involved the English stops employed in the regular past morpheme. Results also confirm those of previous research (Benson & García Mayo, 2008; Gallardo del Puerto, 2005; García Mayo & Villarreal Olaizola, 2011; Villarreal Olaizola & García Mayo, 2009) about the difficulties Spanish learners have with the pronunciation of the English regular past tense.

The most revealing aspect of our results, and the main contribution of this paper, relates to the role of morphology. Our results are in line with those of recent research (Campos, 2009) indicating that learners acquire clusters in inflected words less successfully than those in monomorphemic words, and that they produce the latter with far greater frequency and accuracy. This adds further support to the view that phonology and morphology do indeed interact in interlanguages. Clearly, the morphological component is exerting an effect on learner production. A possible explanation for this may simply relate to processing complexity. Phonological knowledge perhaps is easier to apply with lexical elements than with morphological ones due to additional processing required by the tense phrase. In Addition, when beginner and intermediate learners were analysed separately, the impact of morphology was only found to be statistically significant for the less experienced students, an outcome which may be interpreted as evidence for divergent learning rates for morphology and phonology. The improved performance of intermediate learners with regard to inflected forms would support the processing complexity explanation, as intermediate learners'

additional experience enables them to more effectively process and manage the various language levels, namely phonology and morphology.

If we focus more specifically on language proficiency level, our findings confirm Major's (1986, 1994) Ontogeny Model in that transfer errors decreased with higher learner level. In fact, intermediate learners performed statistically better than beginners on word final consonant cluster production in all measures except the root form frequency assessment. This is interesting as it supports the strong effect of morphology; beginners are able to approach phonological competence of intermediate learners but only when we limit the view to lexical elements.

To confirm the role of morphology on English consonant cluster pronunciation, more robust research is required. It would be necessary to perform studies involving more subjects as well as more language proficiency levels. Noticeably lacking from our sample are groups of more advanced learners, which would allow us to analyse later stage acquisition, as in Goad and White (2004, 2006). Such groups would provide further insight into L1 transfer development, especially in terms of the Ontogeny Model proposal (Major, 1986, 1994) and variants such as the U-shaped learning curve proposed in various studies (Hansen, 2001; Abrahamsson, 2003). Further research should also involve more pronunciation raters. Additionally, data triangulation is necessary, as task-based effects have been reported in the literature (Campos, 2009). We should ask learners to perform other types of tasks involving both controlled (word imitation, word reading, etc.) and free (interview, storytelling, etc.) speech data production. Our final recommendation is to widen the range of cluster types. A good choice would be to include those that end in the alveolar fricatives /s/ and /z/ of the English plural/3rd person/possessive marker, as the voiceless variant /s/ is one of the few word-final consonants in Spanish (e.g.: 'más camas').

As for pedagogical implications, needless to say, syllable structure and, more particularly, final consonant cluster production and regular past morphology are areas which require more attention in the EFL classroom. Recent studies in FL learning contexts where the exposure to the FL is very limited show that form-focused instructional techniques promoting learners' awareness of pronunciation are related to greater degrees of learning (Benson & García Mayo, 2008). Therefore, we make a call for increased emphasis in the classroom on the phonological and morphological aspects of English analysed in this study.

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A Corpus-Based Comparison of Manual and Automatic Retrieval of Predicate Ellipsis in Late Modern English

Evelyn Gandón-Chapela
University of Vigo
evelyn.gandon@uvigo.es

Abstract

Although a number of theoretical studies have described the properties of VP Ellipsis, only some recent empirical accounts have presented methods and algorithms in order to retrieve examples of VP Ellipsis from corpus data. This paper contains a corpus-based analysis of Predicate Ellipsis in Late Modern English (LModE). ‘Predicate Ellipsis’ refers to those cases in which a VP, a PP, a DP or an AP is elided after one of these licensors: modal verbs, auxiliaries *be*, *have* and *do*, infinitival marker *to* and negator *not*. I have manually analysed 12.24 percent of the raw text files from the LModE period of the Penn Corpora of Historical English. The examples found have been compared with an automatic search of the parsed files by using CorpusSearch. The precision achieved by this programme has been 0.86, whereas its recall has been 0.76.

Keywords: Predicate Ellipsis, Penn Corpora of Historical English, Late Modern English, CorpusSearch, Manual-Automatic Retrieval Comparison.

1. Introduction

In this paper, I will first introduce the concept of ellipsis, its main characteristics and restrictions, to then go on to describe one of the elliptical constructions that has received an extensive treatment in the literature, i.e. VP Ellipsis (although I will be using the term Predicate Ellipsis to refer to a more general phenomenon), which will be the focus of this study. In section 4, I will offer a general description of the Penn Corpora of Historical English, whose texts have been the data source of this paper. In section 5, I will present CorpusSearch 2, the programme used in order to automatically retrieve the VPE examples, providing an illustration of the specific functions that were used for the purpose of this study. In section 6, I will explain the methodology used. Section 7, on the other hand, will deal with the data analysis. Finally, section 8 will contain the results obtained and the conclusions drawn.

2. The syntactic phenomenon of ellipsis

The term *ellipsis* (from Greek ἔλλειψις, *élleipsis*, “omission”) makes reference to those cases in which expected, or in other words, subcategorised syntactic elements are missing in certain constructions, creating a mismatch between meaning (the intended message) and sound (what is in fact uttered). This means that ellipsis is an instance of indirect mapping between meaning and form. As Aelbrecht (2010: 1) puts it, “when one utters an elliptical sentence, its interpretation is richer than what is actually pronounced”. For example, in the following sentence, one can witness that although one part of the sentence has been left unpronounced, its meaning can still be understood and retrieved from the context:

(1) He says he won't help me, but I know he will ~~help me~~.¹

As can be observed in (1), which is an example of VP Ellipsis (VPE henceforth), the elided VPE in the second conjunct can be retrieved from the first one, which serves as the antecedent. To quote Merchant's words, one can state that (2012: 1) "in ellipsis, there is meaning without form".

It must also be noted that elided elements need to comply with two requirements for ellipsis to go through: they need to be both recoverable from the context in which they take place, as well as licensed by their syntactic environment (Aelbrecht 2010; van Craenenbroeck and Merchant 2011). The former requirement, i.e. the recoverability condition, refers to the fact that elided elements need to have a salient linguistic antecedent. Thus, if one were presented only with the second conjunct of example (1) above, that is, if it were uttered out of the blue, it would by no means be recoverable from the context, thus violating the recoverability condition:

(2) *I know he will.

On the other hand, the licensing condition requires the elided material to take place only in certain syntactic environments, even if that material could be easily recoverable from the context it takes place in (cf. Zagona 1982; Lobeck 1995; Johnson 2001; Merchant 2001; Aelbrecht 2010). Van Craenenbroeck and Merchant (2011: 1) exemplify this requirement with the following example:

(3) * John read the long book and I read the short [NP *e*].²

Example (3) constitutes a case of ungrammatical NP Ellipsis, since this type of ellipsis is not licensed in this context even though it would be perfectly recoverable from its antecedent.

The licensing condition will be particularly important for the object of the present study, given that I will pay attention to the licensors of PE in LModE, which will permit to establish a comparison between the results of a manual analysis of the licensors of PE and an automatic one by means of CorpusSearch. Therefore, after this very brief and general introduction to the phenomenon of ellipsis and its main characteristics, I will devote the following section to the description of the elliptical construction of my study, i.e. Predicate Ellipsis.

3. Predicate Ellipsis (PE)

Following van Craenenbroeck and Merchant (2011: 2), I will make use of the term Predicate Ellipsis to refer to "a type of ellipsis in which the main predicate of the clause is missing—often together with one or more of its internal arguments—but in which the inflectional domain and the canonical subject position are outside the scope of the ellipsis and hence remain unaffected". VP Ellipsis and Predicate Phrase Ellipsis are just two subtypes that fall under this rubric and which will be the object of this study. The former subtype is one of the most studied and has received much attention in the literature (cf. Hardt 1993; Lobeck 1995; Johnson 2001; Merchant 2007; Aelbrecht 2010; van Craenenbroeck and Merchant 2011). Its

¹ Strikethrough words represent elided material.

² *e* stands for "ellipsis site" in van Craenenbroeck and Merchant's study.

main characteristics, as Carlson (2002: 11) states, are that VPE can appear in a wide variety of contexts “with either the antecedent or the elided clause embedded, and between separate sentences”. This is evinced in the following examples:

(4) Karen told me that her children like jogging at night and I know that John does like jogging at night too.

In (4) above the antecedent of the VPE construction is embedded within a matrix clause, but that does not prevent the second conjunct from having a valid licenser for the omission of the VP.

In addition, Carlson (2002: 11) points out that VPE can also appear “with many connectives, including *and* and *because*, and between separate sentences”. The following would represent instances of VPE:

(6) A: I think you’re right to find out more before you decide.

B: I know I am ~~right to find out~~.

(7) A: Can you hear that noise?

B: Yes, I think I can ~~hear that noise~~. What is it?

(8) A: Did you ring Jeff?

B: No I didn’t ~~ring~~. Sorry, I forgot.

(Modified from Carter 2006: 129)

These examples show that VPE can have its antecedent in a previous sentence and not only within a sentence itself. They also illustrate that the licensors for VPE can be the auxiliary verb *to be* (6), modal verbs like *can* (7) or the auxiliary *do* (8) in the past form.

In fact, in Present Day English (PDE henceforth), the whole list of licensors for VPE would be the following: auxiliaries *be*, *have* and *do*; modal verbs *can*, *could*, *will*, *would*, *shall*, *should*, *must*, *may*, *might*; the infinitival marker *to* and the negator *not*.

The second subtype of Predicate Ellipsis is called Predicate Phrase Ellipsis (cf. van Craenenbroeck and Merchant 2011) and involves the ellipsis of APs, PPs, or DPs after the auxiliary verb *to be*, as in the following examples:

(9) John is a doctor and Anne is [~~a doctor~~]_{DP} too.

(10) Paul is handsome but one cannot ignore that Peter is [~~handsome~~]_{AP} too.

(11) Bill’s son is on the beach, although he shouldn’t be [~~on the beach~~]_{PP} because he’s allergic to the sun.

In the following section, I will describe the main characteristics of the Penn Corpora of Historical English, the corpus that has been used for the purpose of this study.

4. The Penn Corpora of Historical English

The Penn Corpora of Historical English is composed of a collection of running texts and text samples of British English prose from different historical periods which range from the Middle English period up to the First World War.³ This collection of texts is divided into three different periods:

³ For more information on the corpora, please visit <http://www.ling.upenn.edu/hist-corpora/>.

- Penn-Helsinki Parsed Corpus of Middle English, 2nd ed. (PPCME2)
- Penn-Helsinki Parsed Corpus of Early Modern English (PPCEME)
- Penn Parsed Corpus of Modern British English (PPCMBE)

The texts are available in three different forms: simple text, part-of-speech tagged text and syntactically annotated text. Crucially for the present study, the syntactic annotation (parsing) of this corpus offers the possibility of searching for words or word sequences, as well as for syntactic structure. This means that syntactic constructions which follow a general pattern can be easily retrieved automatically.

5. CorpusSearch 2

CorpusSearch 2 is a Java program that helps carrying out research in corpus linguistics. It offers the possibility of searching corpora as well as building an annotated corpus. It can be used under any Java-supported operating system such as Linux, Macintosh, Unix or Windows. CorpusSearch allows implementing the following activities automatically:

- Find and count lexical and syntactic configurations of any complexity.
- Correct systematic errors.
- Code the linguistic features of corpus sentences for later statistical analysis. (CorpusSearch Home, May 2012)

This programme takes a text file as input (query files ending in *.q*) and returns another output text file (ending in *.out*).

5.1 The query language:

5.1.1 AND, OR, NOT

AND, OR and NOT (the latter represented by the symbol *!*) are employed as in basic formal logic. The same applies to the use of parentheses. Here is an example:

Query: ((VB* iDoms *) AND (VB* hasSister !NP)) OR (MD* hasSister HV*)

5.1.2 HasSister

This function looks for strings of elements that have the same mother, that is, the element searched for can either precede or follow another element. “*x* hasSister *y*” will return examples in which *x* either precedes or follows *y* as long as they have the same mother.

5.1.3 Precedes or IPrecedes

This function searches for a string that either precedes *x* (Precedes) or that immediately precedes *x* (IPrecedes) in “*x* Precedes (or IPrecedes) *y*”.

5.1.4 Doms or iDoms

“*X* Doms (or iDoms) *y*” will look for an element *y* that is contained within any subtree dominated by *x*. iDoms will look for *y* contained in the same tree or subtree as *x*.

5.1.5 Wild card *

The character * is a wild card which stands for any string of symbols. Imagine that you would like to look for any (IP) (e.g. IP-MAT, IP-IMP, etc), then you can just write *IP**. However, some labels may contain this character, as it happens with cases of VPE, where the elided VP is marked as follows: (*VB**). If one wants to escape the asterisk, that is, to look for the literal *, this is the way to do it: *. For instance: the string (*VB* iDoms **) would look for any verb (wild card use) that immediately dominates the asterisk (escape use).

5.1.6 Ignore_words

Here is the list of the characters that CorpusSearch ignores by default:

COMMENT|CODE|ID|LB|"\"|,|E_S|.|/|RMV:*|0**

If one wished to ignore any more words or characters, those elements would just need to be added to this list and the query file. The reverse also works, so if one removes one of these elements from the ignore list, the programme will retrieve examples that contain them.

6. Methodology

The first step taken in order to obtain the examples of PE was to carry out a manual analysis of 12 raw texts out of 102 files (12.24 percent, which comprises 112,347 words analysed out of 948,895 words), all belonging to different genres and periods of time of the PPCMBE from the Penn Corpora of Historical English (for other corpora studies on VPE cf. Hardt and Rambow 2001; Nielsen 2003; Bos and Spenader 2011). All of the examples of PE obtained were stored in a database and sorted by ID number (the one provided in the Penn Corpora), licensor of the PE examples and genre. Then the patterns of PE were examined in order to draw some generalizations. The general patterns found showed that auxiliaries *be*, *have* and *do* were licensors of VPE which had already been tagged in the parsed texts in the vast majority of cases. Here is one example illustrating the syntactic analysis of the sentence *He did*:

(12) (IP-SUB (NP-OB1 *T*-1)
 (NP-SBJ (PRO he))
 (DOD did)
 (VB *))))
 (. .))

As can be seen, the tag *VB** indicates that the verb has been elided. Simply searching for the tag *VB* indicating that it immediately dominates (*iDoms*) the * (thus escaping the wild card use) symbol returns a fair amount of VPE instances.

Modal verbs, on the other hand, also followed a pattern: I designed my script in such a way that it would return examples of modal verbs that were not followed by any kind of verb, with the exception of auxiliaries *have* and *be*, which could be present in some examples of VPE, like the following:

(13) He didn't want to go to school, but he should have ~~gone to school~~.

The following was the script used for one of the query files:

```

node: *
query:
  ((VB* iDoms \*))
AND (VB* hasSister !NP-OB*|IP-INF*))
OR ((VB* iDoms \*))
AND (VB* hasSister NP-OB1)
AND (NP-OB1 iDoms \*T\**))
OR (HV* iDoms \*)
OR (MD* hasSister !VB*|BE*|DO*|HV*|*CODE*|IP-INF*|CONJ*)
  OR ((MD* hasSister HV*|BE*))
AND (HV* iPrecedes \.,)
AND (BE* iPrecedes \.,))

```

After running it with the help of CorpusSearch, this is an instance of part of the output file it returned:

```

I did, (WATSON-1817,1,167.2245)
1 IP-MAT: 15 VB, 16 *

( (IP-MAT (META (CODE <font>)
  (NP (N A.))
  (CODE <$$font>))
  (NP-SBJ (PRO I))
  (DOD did)
  (VB *))
  (. ,))
(ID WATSON-1817,1,167.2245))

```

7. Data analysis: comparison between a manual and an automatic analysis of PE

When comparing the results of both the manual and the automatic analysis, it was found that the precision of CorpusSearch was 0.86, while its recall was 0.76. Out of the 127 examples found manually, 98 examples were also found by the programme. On the other hand, 29 examples were not found and 13 constituted wrong examples of PE, sometimes due to a wrong tag: either the elided part was not tagged (as in cases of ellipsis of the verb after an imperative (e.g. *Bur. Nay, consider what confusion!- pluck up a courage; do, now!*), or some examples were wrongly tagged, as in the following, which does not involve ellipsis: *Being off the burning Mountain of Guatemala, put 106 Men into Canoes, under Capt. Townley, intending to land for Refreshments, which they did, but return'd without any.* There are also some cases in which the speech has been interrupted and the programme interprets the sentence as involving ellipsis after a modal verb: *No, I'll- Yes, I'll read, first, and walk, afterwards.* Here is a summary of the data gathered:

Nr. Examples	Automatic Analysis
Found	98
Not found	29
Wrong	13
Total (Manual Examples)	127

Table 1: Distribution of the number of examples found automatically

It should also be noted that the majority of cases of PE that were not found correspond to cases of Predicate Phrase Ellipsis after the verb *to be*. To the best of my knowledge, for some reason yet to be investigated, CorpusSearch is not able to retrieve examples of ellipsis after the verb *to be* that immediately follow a comma or period, in examples such as the following: *and therefore it can not be learn'd by Conversation, as the Modern Languages are*.

8. Results and conclusions

As a conclusion, one can state that both the precision and recall of CorpusSearch is fairly high when compared with a manual analysis and that it would be a really useful tool for the empirical analysis of PE in particular and any instance of ellipsis in general. It should be highlighted that the results obtained by the programme should become even better if one modified the wrong tags in the trees offered by the corpus and took those modified files as an input, although this will be left for further research, together with the fact of the apparent inability of the programme in order to retrieve examples of ellipsis after the verb *to be*.

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Teaching Sociolinguistics after the Bologna Declaration or how to achieve basic skills using TV materials¹

Lucía Loureiro-Porto
University of the Balearic Islands
lucia.loureiro@uib.es

Abstract

The teaching of Sociolinguistics has traditionally been approached from the combination of scientific articles, handbooks and accompanying materials (CDs, DVDs or interactive webpages) typically chosen and designed for teaching purposes. The new academic scenario portrayed by the Bologna Accords, however, introduces some changes in the teaching-learning process, since the main aim is the acquisition of basic skills (Spanish *competencias*). In this paper I discuss several ways in which we can meet the requirements of the new European teaching-learning environment without jeopardizing the quality and quantity of our teaching, by renewing our materials and replacing them by TV and film dialogues. More specifically, I propose resorting to this sort of linguistic data so as to carry out case-studies, problem-solving activities and project-based learning, with the aim of fostering the students' autonomous learning and breaking the invisible wall between the academic world and society.

Keywords: teaching-learning process, basic skills, student's autonomy, variationist studies, linguistic corpora.

1. Introduction

The teaching of Sociolinguistics has traditionally been approached from the combination of specific research (articles, specialized books, etc.) and the use of handbooks and accompanying materials, such as CDs, DVDs or interactive webpages (cf. Freeborn et al. 1993, Hughes and Trudgill 2005, Labov et al. 2006, among many others). These materials have typically been chosen and designed for teaching purposes and therefore have, for decades, proved utterly useful for both teachers and learners. The new academic scenario after the so-called Bologna Accords, however, introduces some changes in the teaching-learning process, the center of which moves from the teacher's position to the students themselves, since the aim is that they manage to develop techniques and strategies which enable them to acquire new knowledge as well as to foster their independent learning and their acquisition of basic skills (Spanish *competencias*).

The exact meaning of the mere term 'basic skill' has caused some problems for Spanish lecturers ever since it was first coined within the academic context, but de Miguel (2006: 30) offers a very transparent classification of them (rather than a simple theoretical definition). According to this author, the components of basic skills are contents, procedures and attitudes. The contents of a given course are the answer to the question 'what will students know?', they are usually decided by each teacher and they offer no problem since they were already included in the traditional teaching method. Procedures, in turn, answer the question 'what

¹ For generous financial support I am grateful to the European Regional Development Fund and the Spanish Ministry for Science and Innovation (grant FFI2011-26693-C02-02).

will students be able to do?', and they refer to the way in which students acquire the knowledge and the strategies they develop in the learning process. While in the pre-Bologna approach, students had to learn what they were taught or what they read, in the new European scenario students are expected to have an active role in the finding and processing of contents, so that they develop techniques for autonomous learning which will qualify them as *employable* (cf. the notion of *employability*, which refers to a person's possibility to find a job). Finally, attitudes answer the question 'in what way will the students become better professionals and/or citizens after passing this course?'. This teaching-learning scenario differs from the previous one in the integration of procedures and attitudes as necessary aims in any university course. While this integration has sometimes been considered irrelevant and even annoying by scholars out of the pedagogical field, it is my intention in this paper to discuss several ways of integrating these components within any Sociolinguistics course by resorting to audiovisual materials which allow for autonomous exploration which can be followed by students. This way, we will comply with the Bologna requirements without jeopardizing theoretical contents.

Among the many works published to clarify the different methods to be followed in the new teaching scenario, one has been repeatedly quoted as representative of the Spanish lecturers opinions (de Miguel 2006). The following table is indeed extracted from it:

Métodos Enseñanza Modalidades Organizativas	Lección Magistral	Estudio de Casos	Resolución de Problemas	Aprendizaje Basado en Problemas	Aprendizaje Orientado a Proyectos	Aprendizaje Cooperativo	Contrato de Aprendizaje	Totales
Clases Teóricas/ Expositivas	3	1	1	0	0	1	1	7
Seminarios/Talleres	0	3	3	2	1	2	1	12
Clases Prácticas	0	2	3	3	0	1	1	10
Prácticas Externas	0	1	2	3	2	1	1	10
Tutorías	1	1	1	2	3	2	3	13
Estudio y Trabajo en Grupo	1	2	2	3	2	3	1	14
Estudio y Trabajo Individual/Autónomo	2	2	1	1	3	1	3	13
Totales	7	12	13	14	11	11	11	

Table 1: Recommended teaching methods (de Miguel 2006: 112).

This table summarizes the results from a survey, conducted by de Miguel, distributed among Spanish lecturers who had to evaluate the combination of teaching methods and organizational modes with a mark that ranges from 0 to 3 (since 3 is the maximum mark, cells with this result are highlighted). In this presentation I will concentrate on examples of how to implement case studies, problem-solving activities and project-based learning in a Sociolinguistics course, by offering one example of each and reflecting on my own experience about it. The reason for the selection of these three types of methods concerns their ability to foster the acquisition of three types of skills: contents, procedures and attitudes, as shown in the following table (de Miguel 2006: 113) and as discussed in the sections below.

Métodos Enseñanza Competencias		Lección Magistral	Estudio de Casos	Resolución de Problemas	Aprendizaje Basado en Problemas	Aprendizaje Orientado a proyectos	Aprendizaje Cooperativo	Contrato de Aprendizaje	Totales
Conocimientos	Generales para el aprendizaje	2	3	2	2	2	2	2	15
	Académicos vinculados a una materia	3	2	2	2	2	1	2	14
	Vinculados al mundo profesional	1	2	3	3	3	2	2	16
Habilidades y destrezas	Intelectuales	1	2	2	3	1	2	2	13
	De comunicación	0	0	3	2	1	3	1	10
	Interpersonales	0	0	2	2	0	3	1	8
Actitudes y valores	Organización / gestión personal	0	1	1	2	2	2	2	10
	De desarrollo profesional	1	2	3	3	3	2	2	16
	De compromiso personal	0	1	2	2	1	2	3	11
Totales		8	13	20	21	15	19	17	

Table 2: Teaching methods and basic skills at a glance (de Miguel 2006: 113).

Table 2 shows how, according to the Spanish lecturers who participated in de Miguel's survey, case studies are the optimum teaching method for the acquisition of general knowledge (contents). Problem-solving activities, in turn, contribute to the development of skills of all sort, though, for the purposes of this paper, I will concentrate on their usefulness for the improvement of learning strategies (procedures). Project-based learning, finally, contributes to the development of further skills as well as the acquisition of social values, especially if the projects are done in groups (attitudes). I agree with the relationship between each teaching method and the acquisition of specific skills sketched in Table 2 and, for this reason, in what follows, my suggestion will be to implement these methods in a Sociolinguistics course, encouraging students to resort to authentic materials, more specifically dialogues from movies and from TV shows, and to carry out different kinds of tasks. I consider that these materials constitute excellent examples of linguistic data for several reasons: 1) they are widely available and very easy to find (owing to information and communication technologies), 2) they motivate students to a higher degree than the sort of materials which accompany coursebooks, and 3) they allow for a construction of a connection between Linguistics and courses on literature or cultural studies, which helps build cross-curricular topics that allow students to think of their degree as an interconnected network rather than as a set of independent courses. In addition, the use of authentic materials allows the students to conduct studies in an autonomous way, one of the main claims of the Bologna Accords. In the following sections I provide some examples of the three teaching methods highlighted above, namely, case studies (section 2), problem-solving activities (section 3) and project-based learning (section 4).

2. Case study: Film dialogue as illustration of a variety

The illustration of linguistic varieties by means of well-known movies or TV shows is a common technique used by lecturers all over the globe and, in my own experience, the results obtained through the use of these dialogues are considerably more successful than those reached with the use of materials especially designed for teaching purposes (coursebooks, etc.). In this paper, the topic I have selected in order to illustrate the usefulness of a case study

in the teaching of Sociolinguistics is language contact and, more specifically, the phenomenon known as code-switching / code-mixing.² Generally, common handbooks include plenty of examples of code-switching varieties (cf. Auer 1998, Heller 1998, Holmes 2001, Appel and Muysken 2005, among many others), and more specifically, Spanish students are particularly interested in the contact between English and Spanish in the USA. In this respect, it is relatively easy to find examples of code-switching in different films and TV series, which could complement the data offered in handbooks. For example, code-switching is structurally classified as including tag-switches, inter-sentential switches and intra-sentential switches (Appel and Muysken 2005: 118), and socially classified as being caused by the participants, the topic of the conversation, and its affective and its metaphorical function Holmes (2001: 34-45). These reference works include plenty of written examples, which our students must believe as real and authentic. However, illustrating these types of structurally and socially-based code-switching with data from a TV show allows students to see examples of code-switching in a somewhat real conversation. As an example, the following sentences from the TV show *Dexter* illustrate the different factors that condition the use of code-switching according to Holmes (2001) (all examples are taken from Loureiro-Porto 2010):

Affective reasons:

- (1) Laguerta: “*Hijo de puta!* I’m the one who gets Perry to confess and he’s got the major kissing his ass.”
 Dexter: “I wouldn’t be too upset. Matthews will be the one with the egg on this face soon enough.”
 Laguerta: “You still believe we got the wrong guy?”
 (Season 1, chapter 8, minute 8.30)

Participants:

- (2) Ángel: “Maria, how long has Nina been here?”
 Laguerta: “She was the first one at the hospital. She’s been with you the whole time. *Yo no sé por qué, pero...*”
 (Season 1, chapter 11, minute 23.47)

Metaphorical code-switching:

- (3) Jorge: “I got a rowboat with a hole.”
 Dexter: “*A lo mejor, los pescados te encuentran.*”
 Jorge: “I don’t speak Spanish”
 Dexter: “Sorry, I just assumed you were Cuban”.
 Jorge: “American, pal, just like you.”
 (Season 1, chapter 5, minute 12.50)
- (4) [Singer sings this song] *Es una puta, flaca, mala. Eso es exactamente lo que es. Te agarra por los cojones y, después, te arrastra a la cárcel. Se reirá por todo el camino de ti. ¿Por qué? Puta, flaca, mala...*

² Although code-switching and code-mixing are, on occasions, considered different phenomena (e.g. Auer 1998), for the purposes of this study, I will not enter the debate, for reasons of space.

Debra (to one of the girls dancing next to her): “He wrote this for me”

Chica: “You’re the *puta, flaca, mala?*”

Debra (feliz): “Yeah! That’s me”

Chica (a sus amigas): “She’s the skinny mean bitch”.

[Debra hears it and frowns]

(Season 3, chapter 3, minute 44.05)

These examples could in principle be considered unrealistic, since they are the result of a well-thought script. However, in my view, using them to illustrate code-switching has way more advantages than disadvantages: a) students may be motivated to hear about a linguistic interpretation of a TV show they like (the university work cannot be accused of providing explanations for the ivory tower exclusively), b) the amount data in a TV show is definitely larger than that obtained in handbooks of specialized webpages, c) the data are freely-available for the students to check and continue the teacher's explanation, and d) the audio is accompanied by a video, which, from a cognitive point of view, has been proven to contribute to both the concentration of students and the retention of knowledge.

3. Problem-solving activities: Linguistic varieties as representative of ethnic identities

As a branch of Linguistics which describes the relationship between language use and society, Sociolinguistics involves not only the teaching of linguistic varieties and the different factors that justify their existence (e.g. historical facts), but also the social factors that condition their use, which range from showing belonging to a given group, disobedience, resistance or approval. In this respect, a possible problem-solving activity which could be commissioned to our students is identifying these social factors in a film. I have used different films in my classes and one which has given particularly positive results is the analysis of the film *Crash* (directed by Paul Haggis, 2004), in which black and white characters belonging to different social classes are profiled, in addition to other features, by their speech, as can be seen in the following excerpts:

- (5) - You tell me. When was the last time you met one who didn't think she knew everything about your lazy ass before you even opened your mouth, huh? That waitress sized us up in two seconds. We're black, and black people don't tip. She wasn't gonna waste her time. Somebody like that? Nothing you can do to change their mind.
- How much did you leave?
- You expect me to pay for that kind of service?
- What? What the fuck is you laughin' at, man?
- (6) -Who are you calling?
-I'm gonna report their asses. Sons of bitches.
-You actually believe they're gonna take anything you have to say seriously?
-Do you have any idea how that felt? To have that pig's hands all over me? And you just stood there! And then you apologized to him?
-What did you want me to do? Get us both shot?
-They were gonna shoot us on Ventura Boulevard! Pathetic.
-Well, maybe you would've been satisfied with just being arrested.
-Oh, I get it. Much better to let him shove his hand up my crotch than get your name in the paper.
-You finally got me figured out, 'cause see, that's exactly what I was worried about right

there.

-Oh? You weren't afraid that all your good friends at the studio were gonna read about you in the morning and realize he's actually black?

-You need to calm down right now.

-What I need is a husband who will not just stand there while I am being molested!

-They were cops for God sakes! They had guns! Maybe I should've let them arrest your ass. Sooner or later you gotta find out what it is really like to be black.

-Fuck you, man. Like you know. The closest you ever came to being black, Cameron, was watching The Cosby Show.

-At least I wasn't watching it with the rest of the equestrian team.

-You're right, Cameron. I got a lot to learn 'cause I haven't quite learned how to shuck and jive. Let me hear it again. Thank you, mister policeman. You sure is mighty kind to us poor black folk. You be sure to let me know next time you wanna finger-fuck my wife.

-How the fuck do you say something like that to me?

-You know, fuck you!

-That's good. A little anger. It's a bit late, but it's nice to see!

(7) - Cut! Print. Moving on. Okay, that takes us into scene . Okay, that takes us into scene. Jamal, that's what I'm talking about. Right on.

- Cam, you got a second?

- Yeah, Fred, I just wanna grab some coffee.

- Yeah. Listen. I think we need another take, buddy.

- That looked pretty terrific, man.

- This is gonna sound strange, but is Jamal seeing a speech coach or something?

- What do you mean?

- Have you noticed, uh... This is weird for a white guy to say, but have you noticed he's talking a lot less black lately?

- No, I haven't noticed that.

- Really? Like in this scene, he was supposed to say, "Don't be talkin' 'bout that."

- And he changed it to, "Don't talk to me about that."

- Wait a minute. You think because of that, the audience won't recognize him as being a black man? Come on!

- Is there a problem, Cam?

- Excuse me?

- Is there a problem, Cam?

- No, we don't have a problem.

These and other examples in the movie illustrate how African American Vernacular English (AAVE) is not equally witnessed in all characters, since the speech of well-off black characters is much closer to General American than that of lower social classes.. However, the social tension and the degree of realistic racism in the film is so high that one of the upper-class characters switches to AAVE at a specific point of the film, as a clear sign of disobedience and resistance to the racist authority, as seen in the following excerpt, in which the well-off protagonist, hitherto user of General American, resorts to AAVE when threatened by a policeman:

(8) - What do you want from me?

- Unless you think your wife is better off with a husband who has a bloody stump for a head, I want you to sit on that curb, put your hands on your head and do nothing until I speak with these officers.
- I'm not sittin' on no curb, I'm not puttin' my hands on my head for nobody.

In my experience, the advantage of this type of activity is not only that students enjoy the illustration of the variety, but also that they remember the features of AAVE to a higher degree than that obtained in a traditional non-autonomous way. In addition, the analysis of the linguistic characteristics of this film allows for an implicit approach to the learning of the features of a linguistic variety, such as AAVE, which can be further complemented by the reading of a basic article such as Jordan (2005), which summarizes in a literary way the main linguistic features of AAVE.

4. Project-based learning: TV / film dialogues as sociolinguistic corpus

The last of the teaching-learning methods recommended in the new European scenario which I would like to discuss involves the realization of projects. When students have to conduct academic studies they are fostered to undertake the challenge of asking questions and answering them in a rigorous, scientific way, at the same time that they develop their critical skills and their ability to carry out cooperative work. This leads to the acquisition of a series of contents and basic skills and its employability is undeniable. In a course on Sociolinguistics different kinds of projects may be suggested to students, such as, for example, analyzing the linguistic varieties in a novel, comparing the data in a movie to that found in handbooks, or finding out the factors that condition the use of a given variety rather than another in a particular work or section of a work, among many others. It is not my intention to provide here a full account of possible projects that can be done by our students, but I would like to highlight the role of TV and film dialogues as linguistic corpora which can be freely used by our students within, for example, a corpus-based course on Sociolinguistics.

Teachers of corpus-based courses usually realize that many of the corpora usually used for research are not freely available (although there are flagrant exceptions such as Mark Davies' corpora, or the corpora included in the ICE project). My suggestion in this paper will, then, be that students create their own corpora, departing from TV and film dialogues and carry out their projects using the data retrieved from them. This turns out to be a double autonomous work, since they are responsible for the compilation of their corpus as well as for the analysis of the data.

At least two big questions can be asked regarding the appropriateness of using TV / film dialogues as linguistic corpora:

- a) How can dialogues be transcribed in a way that students don't spend the whole semester typing?
- b) What kind of linguistic studies can be conducted based on TV / film dialogues?

The answers to the first question may be: either students rip the subtitles included in the original DVDs or they download fansubs (subtitles created by fans) from the World Wide Web. Ripping subtitles has several disadvantages as regards resorting to fansubs, as the subtitles are usually saved in format file other than simple text (.txt extension) and, most importantly, they do not reflect the actual speech in an accurate way. Downloading fansubs, in turn, proves an optimal choice, since they a) are freely available in simple text format in different webpages, b) are easy to manipulate, and c) are under constant review by users all

over the globe, as can be seen in the following screenshot from the webpage <http://www.tvsubtitles.net>:

How I Met Your Mother 7x11
The Rebound Girl (Season 7 Episode 11)

Descarga Normal Descarga Premium

Subtitles for this episode:

English subtitles

	How I Met Your Mother 7x11 (HDTV.ASAP)	HDTV	ASAP	22.11.11 04:41:03	Atul	32915	7/170
	How I Met Your Mother 7x11 (HDTV.DIMENSION)	HDTV	DIMENSION	22.11.11 05:16:56	tvshowslatest.blogspot	3578	3/26
	How I Met Your Mother 7x11 (720p HDTV.Ali54604)	720p HDTV	Ali54604	22.11.11 06:08:42	Ali's Ultimately	1608	1/21
	How I Met Your Mother 7x11 (HDTV.ASAP)	HDTV	ASAP	22.11.11 13:59:01	tvshowslatest.blogspot	1218	19/5

Back to [How I Met Your Mother](#)

Figure 1: Example of a fansubs webpage (www.tvsubtitles.net).

As seen in Figure 1, the fansubs (subtitles created by fans) for the 11th episode of the TV show *How I met your mother* have been uploaded by four different users and they have been downloaded by tens of thousands of other users, at the same time that they have been rated as reliable subtitles (green mark on the right-most column) or unreliable (red mark on the right-most column). The subtitles uploaded by the first user in the list (nickname 'Atul') are the most downloaded ones (32,915 different users have trusted it), and they have obtained 170 positive reviews and only 7 negative ones. They seem to be then, highly reliable transcriptions, and, in fact, I have randomly selected some subtitles from different TV shows and found out that they reflect the audio in a much more accurate way than commercial subtitles. Plus, they are freely available for download without any restriction (there is no need to provide a cell phone number or an email address) in .txt format. The information in each file includes line number, exact video time, and text itself, as seen in the following example:

```

1
00:00:00,314 --> 00:00:03,064
NARRATOR: <i>In the fall of 2011,</i>
<i>Lily and Marshall received</i>

2
00:00:03,065 --> 00:00:05,098
<i>a surprising gift</i>
<i>from Lily's grandparents:</i>

3
00:00:05,100 --> 00:00:06,850
<i>their house in Long Island.</i>

4
00:00:06,852 --> 00:00:10,820

```


<i>	Lily and Marshall decided to</i>
<i>	sell it for one simple reason.</i>
5	00:00:10,822 --> 00:00:12,188
	It's Long Island.
6	00:00:12,190 --> 00:00:14,574
	I don't want to spend
	my Saturday in Long Island.
7	00:00:14,576 --> 00:00:15,859
	I know, babe,
8	00:00:15,861 --> 00:00:17,944
	but the realtor staged the
	place with fake furniture
9	00:00:17,946 --> 00:00:20,330
	and she wants us to check it
	out before the open house.

Table 3: Example of fansubs (*How I met your mother*, S07E11).

Given the large amount of surplus material in the subtitles, if a quantitative analysis of the data is to be done, the figures relating to line number and exact timing should be deleted so as not to bias the results (especially those concerning the number of words included in the corpus). After doing this, we obtain a spoken corpus representing the speech of a given TV show, which has similar statistical features to conventional corpora. For example, the well-known Zipfian distribution of words in a any corpus is also fulfilled by the scripts of the TV show *Friends*, as shown in Figure 2:

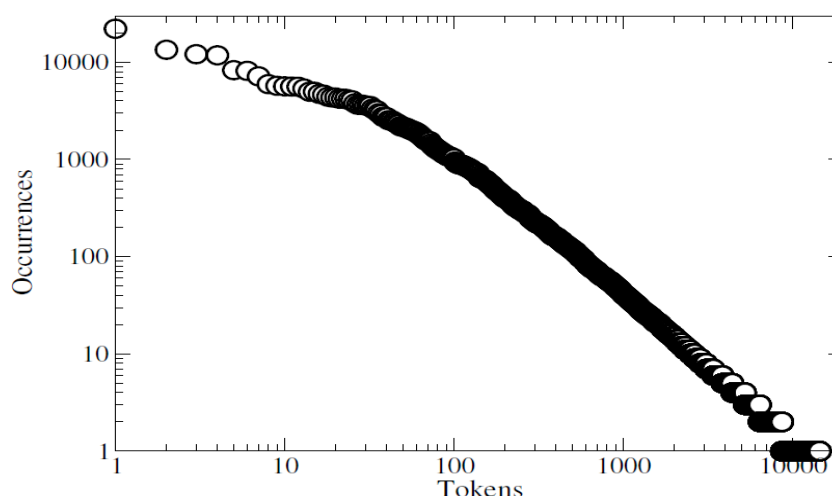
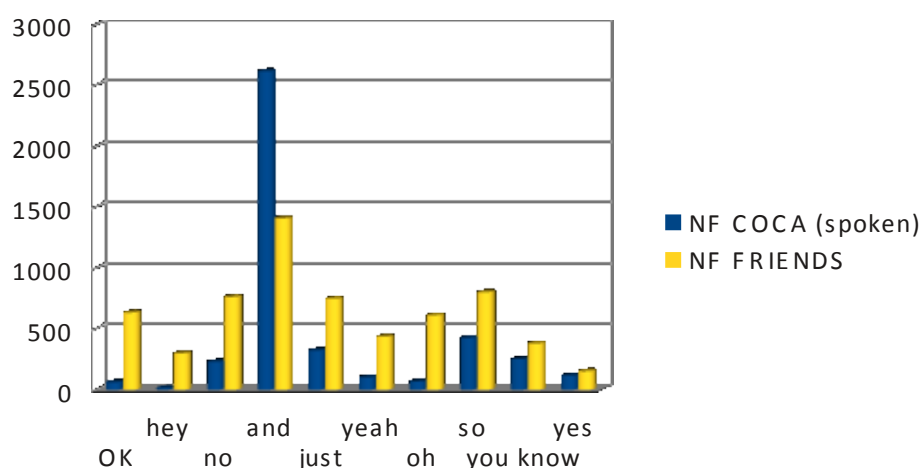


Figure 2: Zipfian distribution of tokens in *Friends* Corpus.

By no means do I want to claim that these corpora are equally representative of spoken English as academic corpora. They are, nevertheless, easily accessed and widely-available so that our students may start learning the basic procedures of studies on linguistic variation, at the same time they realize that Sociolinguistics is everywhere and goes beyond the border of the academic world. Therefore, the answer to the first question uttered above is clear: TV / film dialogues can easily be turned into an electronic corpus.

The second question referred to the type of linguistic study which could be conducted with this sort of corpora, and it has already been answered by authors such as Tagliamonte and Roberts (2005), who study the distribution of intensifiers in the sitcom *Friends* from a gender perspective, and Quaglio (2009), who discusses the similarities and differences between the dialogues in the sitcom *Friends* and natural conversation. He finds out that *Friends* presents higher frequencies of informal linguistic features, and natural language has a higher degree of narrativeness (Quaglio 2009: 139). This is indeed observed in Figure 3, which compares a series of oral features in both the *Friends* corpus I have compiled and the spoken part of Mark Davies' COCA (*Corpus of Contemporary American English*):

Figure 3: Oral features in *Friends* and in COCA (spoken).

The higher frequency of *and* in COCA than in *Friends* reveals that the dialogue in *Friends* is less narrative than that in the oral component of COCA. Likewise, the higher frequency of all other oral features in *Friends* than in COCA points to its higher degree of informality. Different types of studies have been conducted on TV material (see also Tagliamonte and Roberts 2005, who study the distribution of intensifiers in the sitcom *Friends* from a gender perspective), so I will not devote more time to it. The conclusion is, then, that our students may actually profit from the analysis they may conduct based on these freely-available data.

5. Conclusions

In this paper I have discussed some of the requirements of the new European teaching-learning environment, especially as far as the teaching of Sociolinguistics is concerned. The new scenario profiles the student as the center of the activity and makes a plea for a real connection between the university work and real life. In this line, I have proposed three

different approaches to the adaptation of our teaching to these new requirements by discussing how TV and film dialogues may help both establish the connection between the university and the outside world, and foster the students' motivation to undertake autonomous learning (see Table 4 below). I have, then, presented how to implement case-studies, problem-solving activities and project-based activities by resorting to TV and film data, which no doubt constitutes the recycling of our materials and methods, while respecting the rigor of academic work and the indispensable contents in the syllabus.

Skill	Teaching-learning method	Suggested technique
Contents	Case-studies	Teacher illustrates facts with TV data.
Procedures	Problem-solving activities	Students conduct their own analysis. Implicit learning of the linguistic features of a variety and social analysis of the factors that condition it, based on TV data.
Attitudes	Project-based activities	Students compile their own corpus with the help of fansubs and start doing variationist research with TV language. The academic world and leisure time are fused.

Table 4: Summary of techniques proposed and their role in European learning environment.

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Mapping London, Wellcome Library, MS 404: A Preliminary Dialectal Study

Teresa Marqués-Aguado
University of Murcia¹
tmarques@um.es

Abstract

London, Wellcome Library, MS 404 is a *Leechbook* written in Middle English containing a variety of contents linked to the field of science, such as recipes or prognostications, among others. The array of spelling variants that it features, as well as the fact that several hands take part in its rendering, turn it into an interesting text to be analysed from the point of view of its dialectal adscription. For the purpose, the 'fit'-technique advocated in the *Linguistic Atlas of Late Medieval English* (McIntosh, Samuels and Benskin 1986) will be used, as well as other phonological and orthographic information. This will provide hints to argue for or against the possible uniformity of the text.

Keywords: Middle English, dialectology, orthographic features, medieval science, leechbook.

1. Introduction

Medieval science has been preserved in a wealth of witnesses, which had various uses, i.e. from being used as vade-mecums for practitioners to carry with them to being copies for display. These different needs were reflected in the material conditions of manuscripts so that vade-mecums were smaller in size and less elegant, while copies for display were larger and had a neat appearance. In any case, there is a multitude of manuscripts containing Middle English scientific treatises, many of which have been the focus of research only lately. There is a high number of manuscripts that have been identified in recent times, as shown in Voigts and Kurtz's electronic database (2000) and its recent update,² not to mention those which are still to be identified or wrongly catalogued, as reported by Laing (2004: 50–51). Hence, dialectal analyses may become a valuable tool to gain insights into how these manuscripts disseminated around the country.

2. The manuscript

¹ This research has been funded by the research projects Corpus de referencia de inglés científico-técnico en el período medieval inglés (Junta de Andalucía, reference P07–HUM–02609) and Desarrollo del corpus electrónico de manuscritos medievales ingleses de índole científica basado en la Colección Hunteriana de la Universidad de Glasgow (Spanish Ministry of Science and Innovation, reference FFI2008–02336/FILO). These grants are hereby gratefully acknowledged.

² This is available at <http://cctr1.umkc.edu/search>.

Wellcome Library, MS 404 (hereafter, W404) is a Middle English *Leechbook* which dates back to the late fifteenth century, as stated in the Wellcome Library catalogue³ and further confirmed thanks to the cursive scripts employed. As for its history, the back of the cover presents readers with two interesting pieces of information: first, that it was owned by van Muschenbroek, in Utrecht (Holland) in the eighteenth century;⁴ second, that “Bretherton ligavit 1849”, which implies that it must have been (re)bound at that time.

Despite its miscellaneous contents (charms, recipes on urology, blood-letting and diets, among others), no information is provided in the corresponding catalogue as to the parts, sections or even texts (if any) which make up this manuscript, nor to its/their possible links with other medical texts. Indeed, medieval science was not constrained by today’s limits inasmuch as texts could be freely altered, cut or even put together. In some cases, the coincidence of genres (e.g. recipes, prognostications, etc.) was enough to consider some texts as relevant for inclusion in a particular manuscript, as with W404.

Four hands are identified in the rendering of the text, but with no reference to these being responsible for four different texts: the first hand (section 1) deploys folios 1r–29v (ca. 14,000 words); hand 2 (section 2) copies folios 29v–36r (ca. 3,000 words, many of which are in Latin);⁵ section 3 ranges from folios 37r–42r (ca. 3,200 words); and, finally, section 4 expands over folios 43r–46v (ca. 1,800 words). A closer examination reveals that divergences not only concern hands, but also contents and style. For instance, section 1 is particularly synthetic in that it hardly presents any narrative beyond the listing of remedies (hence veering towards the remedybook format). Likewise, section 2 (mostly on horoscopes) includes efficacy phrases such as ‘probatum est’ (again typical of remedybooks), which are also attested in section 4. Section 3 begins with a reference to “[t]his book” (f. 35r), and not text, having been sent to the English Queen Elizabeth by the King of France, while section 4 presents additional remedies. Similarly, potential dialectal features seem to diverge across the text at eye sight, as shown by the spellings of MUCH (*much(e)*, *moch(e)*, *mech(e)*) or ANY (*any*, *ony*, *eny*) used in the different sections.

This potential dialectal contrast may, therefore, be explored and subsequently used to confirm the composite character of this manuscript, as well as to cast some light on its history or transmission. For the purpose, the widely-known ‘fit’-technique will be applied to each section, although this will be supplemented with some other relevant information.

3. Methodology

The methodological procedure followed to analyse the dialect of W404 was initially put forward in the *Linguistic Atlas of Late Mediaeval English* (McIntosh, Samuels and Benskin 1986), *LALME* hereafter. It comprises four steps (Benskin 1991): after selecting the items for the questionnaire used to determine the linguistic profile, the most salient spelling forms are plotted in the dot maps. These provide an approximate area of provenance for the text, which is restricted by locating other less frequent variants in the item maps. Finally, the County Dictionary allows for the finding of recalcitrant or rare forms. The fact that this text has not

³ This is available at

<http://archives.wellcomelibrary.org/Dserve/dserve.exe?&dsqIni=Dserve.ini&dsqApp=Archive&dsqDb=Catalog&dsqCmd=Search.tcl>.

⁴ Mitchell further suggests that W404 may have been owned by a John Thomas in Ghent (2011: 253).

⁵ See Voigts on the role of Latin in a text like W404, which features inadvertent code switching (1996: 819).

been employed as an anchor text by the authors of the *LALME* (McIntosh, Samuels and Benskin 1986, 1: 137) turns it into a suitable text for analysis.

This text has been transcribed, and then lemmatised and tagged as part of the series of research projects based at the University of Málaga aiming to compile a corpus of unedited Middle English scientific prose.⁶ In order to obtain suitable input for the software tool used to retrieve the data, the transcription was pasted onto an Excel spreadsheet, where various modifications were implemented to facilitate lemmatisation and tagging. Accordingly, the original transcription was slightly modified in this file to regularise word-division (that is, words that appeared separate in the text were temporarily joined and vice versa), and references were also added (including folio, side and range of lines every five lines). Then, the lemmas were added using the entries in the *Middle English Dictionary* (*MED*) as the source, along with the tags, which include information about word-class (noun, adjective, adverb, etc.), and accidence (case, tense, number, etc.) where relevant. The meaning in present-day English, selected from those offered by the *MED* depending on the context, is also included.

By using the software tool *Text Search Engine* (Miranda-García and Garrido-Garrido 2012), it has been possible to retrieve all the variant spellings and their exact frequencies for each of the items in the *LALME*. This means that this task has been substantially simplified if compared to manual counting. This system is more accurate than the *LALME*'s original one and allows for more precise conclusions, since the latter did not make use of exact frequencies, but of simple or double bracketing to indicate more or less frequent variants. Needless to say, the use of references permits studying individual sections within any given text. Moreover, the possibility of obtaining all the data relating to accidence (e.g. nouns in the plural, verbs in the third person singular, etc.) is another asset when carrying out dialectal analyses.

4. Dialectal study

After collecting the variants for all the items suggested in the *LALME*, the most salient ones (see Table 1) have been plotted into the dot maps. These have been selected on the grounds not only of their frequency, but also of the degree of dialectal variation that they display. This means, for instance, that variants with a very wide distribution across the country (e.g. the overwhelming use of *is* for the third person singular of the verb *BE*) have been left aside, since they bar the identification of any particular area. It is also important to stress that different items and variants have been selected for different sections, depending on which rendered more information; this explains that some cells are empty (marked with ---). Although frequencies may seem extremely diverging across sections (and perhaps irrelevant if particularly low), it must be borne in mind that the length of these sections is uneven, and that some present a low number of items of potential use for dialect mapping:

Items	Section 1	Section 2	Section 3	Section 4
THESE	thies (27×), thyes (2×)	thies (14×)	---	---
IT	hitt (117×)	---	it (24×)	it (27×)
THEM	them (119×)	---	hym (11×), hem (10×)	yam (34×)
EACH	iche (11×)	---	eche (5×)	---
ANY	---	---	eny (5×)	ony (9×)

⁶ The results of these projects may be consulted at <http://hunter.uma.es> and <http://referencecorpus.uma.es>.

MUCH	meche (30×), mech (2×)	muche (1×)	moche (17×)	meche (4×), forms with <kVl> (2×): mekelle, mekylle
ARE	be (13×)	be (8×)	be (4×)	be (4×)
SHALL	---	---	---	sale (6), sal (3×)
WILL	welle (5×), wel (4×), well (4×)	---	woll (6×), wol (1×), wolle (1×)	welle (2×), wele (1×)
WHEN	---	---	wen (8×), wan (1×), when (1×)	---
PLURAL NOUN	-es (260×)	-ys (24×)	-is (33×)	-es (8×)
PRS. PART.	-yng (17×)	-yng (8×), -yng (6×)	-yng (6×)	-eng (3×)
3RD PERS. SING.	-eth (34×), -ethe (10×)	-yth (2×), -eth (1×)	-yth (4×)	-ys (2×), -es (1×)
PLURAL IND.	-th (19×)	zero (5×)	-ith (2×)	---
FIRE	fyer (27×)	fyer (3×)	fyre (5×)	---
FLESH	---	---	---	fleche (4×), fleches (1×)

Table 1: Dialectal features plotted in the dot maps

The data above allow suggesting that each section reflects a somewhat different dialectal area of provenance. Section 1 shows a central-eastern Midland location, around the northern areas of the county of Warwickshire or western Leicestershire, in view of features such as *thies/thyes*, *them*, *be* or *fyer*. The *wel*- forms are also peculiar to the East Anglian area, hence the eastward orientation of the likely area of provenance. Yet, the *mech*- forms point at southern and south-eastern areas (Fernández 1993: 594). The data for section 2 are clearly scarce and allow only tentatively proposing the West Midland area as the possible location after variants like the zero inflection for the plural indicative, or the *be* and *fyer* spellings. Actually, this is one of the shortest sections in W404, and much of this material is given in Latin, which reduces the chances of finding suitable items for analysis. In turn, the borderline between the counties of Norfolk and Suffolk is the likely area of provenance for section 3, on account of spellings such as *hym/hem eche*, *eny* or *moche*, among others. Finally, and although section 4 also shows an eastern provenance, the specific area seems to be pushed to the north of section 3, as evinced by spellings like *sal* (Fernández 1993: 593), *ony*, *be*, *fleche*, etc. In this case the possible location may be pinpointed around the counties of Norfolk, Lincolnshire and the Isle of Ely. At any rate, the dialectal area of this section may be easily set apart from the others in the use of salient dialectal markers such as the absence of <h> in the forms of the verb *SHALL*, or -s for 3rd PERS. SING., which is a northern feature (Mossé 1987: 76).

By charting more specific variants in the item maps, as well as recalcitrant or rare forms in the County Dictionary, the somehow wide areas proposed can be reduced. For the purpose, items or spelling variants different from those in Table 1 have been selected and are presented in Table 2:

Items	Section 1	Section 2	Section 3	Section 4
THE	---	ye (10×)	ye (165×), ze (2×), yen (1×)	ye (99×)
THEM	---	---	---	yam / yam (34×)
EACH	---	---	---	yche (1×)
ARE	---	byth (6×), bith (2×)	beth (1×)	---

THEN	---	---	yen (8×), yan (4×)	yan / yan (18×)
IF	ȝif (15×), ȝiff (7×)	---	ȝyf (4×)	---
AGAIN	---	---	aȝey (1×)	---
NOT	not (9×)	---	---	notte (2×), nott (1×)
THROUGH	thorow (17×)	thorht (3×)	yorw (1×), yorwe (1×)	throghe (1×), throwe (1×), trowthe (1×)
3 RD PERS. SING	---	---	-yht (2×)	---
TOGETHER	to-gether (63×), together (2×)	to-gether (11×)	to-geder (4×), to-gedyre (1×), to-ge-dyre (1×)	to-gedder (7×), to-geder (5×)
GOOD	---	---	---	gude (9×)
OLD	---	---	---	alde (1×)

Table 2: Dialectal features surveyed in the item maps

These results yield interesting information. First, it is likely to find the forms *not* and *thorow* (section 1) in the Midland area, particularly Warwickshire and Leicestershire, hence correlating with the proposed location. As for section 2, the forms *byth/bith* cannot be located in the Midland area, but rather further south (in the coastal area), while *thorht* is mainly found in the north (Derby, West Riding, etc.). These conflicting data, thus, do not make it possible to determine a specific area of provenance, and might even be an instance *Mischsprache* (or type C in Laing's discussion [1988: 85]), although further research is needed. Regarding section 3, two specific variants (*yorw(e)* for THROUGH and *-yht* for 3rd PERS. SING.) are only found in the central part of the county of Norfolk, while most of the other variants surveyed are located either in this county or in the northern area of Suffolk, which corroborates the initial area of provenance. Yet, variants such as *ȝeȝyn* or *ȝeȝyne* (EYE) — which feature in this section, too — are not registered in the *LALME* (unattested forms) or in the *MED*. As for section 4, a clearly north East Anglian location may be proposed. In this area, <y> was fairly consistently used in the place of initial <th>, as in *ye* (THE) or *yam/yam* (THEM), a trait that is also spotted in section 3 (and, to a lesser extent, section 2).⁷ Moreover, it has been possible to trace in this area rather infrequent forms such as *yche*, or the <d> spellings for the forms of TOGETHER.⁸ Some other spellings, such as *wasse* (WAS), are not attested in the *LALME* or the *MED* at all, while others (e.g. *mekylle*), are located in completely alien areas. Yet, developments such as *alde* and *cald* may be pointed north of the river Humber (Mossé 1987: 26).

Besides the *LALME* methodology, other orthographic/phonological features may be checked to complement these findings. Perhaps the most salient feature is that of the fairly frequent use of <i> after <a, e, o> in section 1 (and occasionally section 2) to mark the length of these vowels (Mossé 1987: 12), hence *plaister* (*PLĀSTRE*, 9×) or *wait(t)er* (*WĀTER*, 64×); *weitt* (*WĒTEN*, 1×) or *deid* (*DĒD*, 1×); or *boith* (*BŌTH*, 11×). This is assumed to be a northern feature, although Jordan has suggested that it may also appear in Midland areas (1974: 37–38). However, it must be noticed that this feature extends to short vowels, as in *waisch* (*WASHEN*) or *woil* (*WOL*). Benskin, in turn, suggests that this may simply be a late linguistic feature (1989), which would corroborate the date of the text offered on account of palaeographic and codicological data.

⁷ This is a clearly northern and eastern feature (Benskin 1982: 14).

⁸ Stenroos analyses the presence of <d>-forms in TOGETHER and locates them in the north-eastern Midlands (2004: 264), not far from the location proposed.

Certain southern influence may be perceived in section 1, though, as evinced in the form *vote* (FOOT) (a clear instance of initial voicing, characteristic of southern areas [Mossé 1987: 39]) or in the *mech*- forms. Likewise, the occasional presence of the *y*- prefix for past participles (as in *y mad* in f.20v) should be added. Thus, a southern layer might be added in, hence maybe showing *Mischsprache*, but further analysis is needed to complement this preliminary study of the dialectal provenance of W404.

It is also possible to find spellings that conflict with the dialectal ascriptions proposed, as in the case of the reflexes for Old English /y/. Clear examples are those of LITTLE or FIRE, regularly spelt with <y/i> in all sections (an East Midland feature according to Jordan [1974: 67–68]; Mossé [1987: 23–25] and Fernández [1993: 594–595]), as opposed to the rather West Midland and southern (*f*)*furst(e)* (FIRST), which is the preferred reflex in all sections. In turn, <e> in EACH may be found in Norfolk and Suffolk areas (Jordan 1974: 66–67), as in section 3.

5. Conclusions

A particular dialectal area has been put forward for each of the sections analysed (i.e. Warwickshire / Leicestershire for section 1, a broader Midland area for section 2, Norfolk / Suffolk for section 3, and northern East Anglia for section 4), which suggests that W404 seems to be the result of the gathering of four different texts/sections that were copied independently and then bound together, thus revealing specific features of the manuscript history and transmission (i.e. that they seem to be independent units). This does not imply that the sections are homogeneous themselves; as a matter of fact, most display an amalgam of features coming from various dialectal areas, some of which have not even been chartered in the *LALME*. Therefore, further research should be conducted with a view to determining different layers of language in each section. Likewise, it should seek to explore morphosyntactic traits particular to each section that might also be telling as to dialectal provenance.

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Late Modern English Trials: The Structure of Defendants' (Re)Initiations

Esperanza Rama Martínez
Universidade de Vigo
erama@uvigo.es

Abstract

This paper focuses on the structure of defendants' talk-(re)initiating moves in the Late Modern English period with the aim of establishing to what extent there is evidence of change in frequency and format of these move types from 1760 to 1860. Furthermore, it attempts to prove the hypothesis that the achievement of full defence by counsels through the Prisoners' Counsel act in 1836 should determine a gradual decrease in the production of defendants' (re)initiating moves over the nineteenth century. The study reveals that though there is a considerable decrease in the frequency of defendants' turn transitions, which is akin to the initial hypothesis, prisoners increase the production of questions addressed to witnesses in the mid-nineteenth century, a finding which counters initial expectations. It is also found that the structure of these questions vary considerably over the period under examination, a finding which is suggested to point towards a difference in attitude adopted by defendants towards witnesses during cross-examination.

Keywords: historical courtroom interaction, conversation analysis

1. Preliminaries

One of the most outstanding features that distinguish English courtroom interaction during the period from the mid-seventeenth to mid-eighteenth century from trials tried in contemporary court (Atkinson and Drew 1979; Drew 1992) is that defendants in Early Modern English times were allowed to ask questions of witnesses and to address requests to judicial examiners and lawyers (Archer 2005).¹ This paper attempts to shed some light into the extent to which and how this trend of using (re)initiating strategies even in the presence of defence counsels continues in the Late Modern English (henceforth LME) period, as this LME aspect of courtroom behaviour has, to my knowledge, not attracted the attention of researchers. The achievement of full defence by counsels through the Prisoners' Counsel Act in 1836 (Cairns 1998) is expected to determine a gradual decrease in the production of defendants' (re)initiating moves over the nineteenth century, which would justify the development into today's courtroom system where defendants do not have a right to (re)initiate talk.

The focus of this pilot investigation will concentrate on the structure adopted by defendants' talk-(re)initiating turns, with the attempt to establish whether there is evidence of change in frequency and format of (re)initiating moves over the period under examination. This aim also entails (i) characterising defendants' (re)initiating moves according to their illocutionary force; (ii) identifying the addressees of those moves, so as to assess the extent to

¹ This paper is a summarized version of part of another, more extended, paper entitled 'Courtroom Interaction between 1760 and 1860: On Defendants Taking (Re)Initiating Moves' (to appear in *Journal of Historical Pragmatics* 14.2, 2013).

which the (a)symmetrical roles of the addressees imprint on the way in which defendants (re)initiate talk; and (iii) determining if these turns obtain a response from the addressees at whom they are aimed. For this purpose, the present study adopts a quantitative and qualitative approach to the analysis of a sample selection of the Old Bailey Proceedings² corresponding to the period from 1760 to 1860.

This paper will be structured as follows: Section 2 will offer a brief introduction to the most relevant features characterizing contemporary courtroom interaction versus interaction in court over the period from the mid-eighteenth to the mid-nineteenth century. Section 3 will deal with methodological aspects of the analysis, paying special attention to the scheme used to annotate defendants' turns according to the parameters selected. The results of the analysis will be discussed in section 4. Finally, section 5 will contain a summary of the conclusions that can be drawn from the study.

2. Contemporary versus LME courtroom interaction

Contemporary courtroom interaction is based on a specialized turn-taking system which pre-allocates turn order and turn type in accordance to the pre-established institutional role differential of participants (Drew 1985; Drew 1992). The system pre-allocates a first questioning turn to counsel and a following answering turn to the witness. The managerial role pre-assigned to counsel endows them with a superior discourse role to the encounter vis-à-vis the examinee, who adopts an inferior role, as the latter is not entitled to speak until selected. The entire questioner-answerer interaction is aimed at a multiparty recipient, for it is enacted on behalf of the judge, who acts as a legal referee, and the jury, who act as overhearers during the trial but constitute the ultimate addressee of the verbal interaction as they are in charge of delivering the verdict.

Verbal interaction itself provides the context in terms of which evidence is presented and disproved and through which the contest between the rival parties –defence and prosecution– is enacted. This adversarialness comes to the fore during cross-examination, that is, when the examinee's testimony is tested to discredit the case for the prosecution. Coercion is exercised through leading questions, and answers may be contradicted.³

From the mid-eighteenth to mid-nineteenth century, courtroom interaction was performed as a contest between the prosecutor and the defendant, who tried to disprove evidence presented against him/her.⁴ In marked contrast to the present-day legal system, until the early nineteenth century the defendant was presumed to be guilty until the opposite was proved. During the trial, turns were distributed as follows. First the clerk read the charge against the defendant. Immediately afterwards the prosecutor presented the case against the accused, upon which the witnesses gave testimony. The witnesses were then cross-examined by the defendant, the judge and –in the nineteenth century– increasingly by the counsel. Finally, the defendant stated his/her case. After this turn the judge normally summarized the case before the jury delivered the verdict.

² The online version of the Old Bailey Proceedings (<http://www.oldbaileyonline.org/>) comprises the transcripts corresponding to over 200,000 trials held at London's Central Criminal Court from 1674 to 1913, with a total of approximately 134 million words.

³ For types of examination carried out during the trial see Coulthard and Johnson (2007: chapter 5).

⁴ For how trials were conducted at the Old Bailey see online information at <http://www.oldbaileyonline/static/Trial-procedures.jsp>

3. Methodology

The study is based on a random sample selection of the Proceedings corresponding to trials held at the Old Bailey during the 1760s and 1860s, totalling 170,752 words. Nonetheless, as table 1 shows, the number of words analysed was reduced to 150,839, as the Proceedings lacking dialogue and written in summary format were excluded. As a consequence, the number of mid-eighteenth- and mid-nineteenth-century cases discarded from the count were 14 and 49, respectively. The notably imbalanced quantity of words analysed per period is compensated for with similarity in number of cases considered.

Period	# Words	# Words in dialogue	# Cases considered	# Cases excluded
18th c.	56,045	45,146	67	14
19th c.	114,707	105,693	70	49
Total	170,752	150,839	137	63

Table 1: Words and cases contained in and excluded from the sample

Analysis and annotation of defendants' (re)initiating moves was based on the following parameters: illocutionary force, clause type, addressee, and whether or not the defendant obtains a response to his/her contribution from the addressee.⁵

Drawing on the structural discourse unit of the *move* (Sinclair and Coulthard 1992) and on Archer's (2005: 122) taxonomy, a *(re)initiation* is interpreted as a move (re)"initiating a new exchange by means of an eliciting device". As a consequence of the very nature of this move category, the means to gain access to speakership is self-selection (Sidnell 2010). (Re)Initiating moves may be enacted by one of the following macro-categories of illocutionary forces also adopted from Archer (2005: 127):

Question: "S wants A to supply a missing variable by saying/confirming/clarifying something about X [X = an action/event/behaviour/person]". For example: *ask (about)*, *inquire (into)*, *question*, *interrogate*, *call into question*.

Request: "S wants Z to happen and hopes to do it, to get A to do it or to get others to do it [Z = an action/event]". For example: *request*, *desire*, *plead*, *implore*, *appeal*.

Require: "S wants (and expects) A to do something, even though A may be reluctant, or to do something him/herself, in spite of A's (possible) reluctance". Eg.: *command*, *order*, *instruct*, *direct*, *demand*.

Following Biber et al. (1999), clauses were classified into 3 major types: *declarative* (see eg. (1) below), *interrogative* (sub-types exemplified in (4), (5), (6) and (7) below) and *imperative* (eg. (2)). As for the first category, it is important to note that *declaratives with rising intonation* (eg. (3)) have been treated as a separate category due to their pragmatic questioning function.

- (1) There is not a word of truth in it: it is all lies. (t18600102–139)

⁵ *Move* and *turn-allocation technique* are two further parameters considered in the original paper, where defendants' moves other than *(re)initiations* were also annotated.

- (2) Ask him what business he had to take my hat and wig, and strip me to the skin. (t17600227–35)
- (3) The other man said that the metal in the ladle was scalding hot? (t18600130–135)

Interrogatives have been sub-classified into *wh-interrogative* (eg. (4)), *polar interrogative* (eg. (5)), *leading interrogative* (eg. (6)) and *alternative interrogative* (eg. (7)).

- (4) How long ago is it since this house was broken into? (t18600102–166)
- (5) Did you deliver my wife a bill? (t17600227–19)
- (6) Did I not order you to bring half a dozen plates the next morning, and say you should have the money? (t17600227–19)
- (7) Did you send the china at once or twice? (t17600227–19)

A word of explanation is due with regard to the last two sub-categories. As illustrated in (6), leading interrogatives correspond to polarity questions that are biased towards a specific expected answer. Conduciveness may be towards an affirmative answer, as in (6), or towards a negative one.⁶ Also conducive, and consequently subsumed under the cover term of *leading interrogative*, are question tags with reversed polarity.

As alternative interrogatives count questions which offer a choice between two or more possible alternative answers, preceded by an opening structure which may resemble either that of polarity questions (eg. (7)) or the initial structure typical of *wh*-questions (Biber et al. 1999: 207–8).

Finally, the addressee of a defendant's turn could be any of the participants to the courtroom interaction, namely the judge, a questioner, a witness, the prosecutor, the jury or the court. The label *court* identifies all participants to the court event.

4. Analysis and discussion of results

The sample corpus analysed is formed by 3,198 turns. As table 2 evinces, the mid-nineteenth century witnessed a considerable decrease in the number of overall turn transitions. In line with this reduction, defendants' turns also experienced an important diminution.

Period	Defendants' turns	Total turns
18th c.	88 (nf=1.95)	2,076 (f=45.98)
19th c.	125 (nf=0.12)	1,122 (nf=10.62)
Total	213 (nf=1.41)	3,198 (nf=21.2)

Table 2: Turns analysed (nf=normalised frequency per 1,000 words)

In the mid-eighteenth-century trials, (re)initiations constituted 20.45 percent of all defendants' moves (see table 3).⁷ The overwhelming majority (17.04 percent out of 20.45 percent) correspond to interrogative sentences performing the illocutionary act of questioning. These questions are usually addressed to specific witnesses other than the prosecutor who, in turn, react to the interactional expectation set by the question with an answer. It is worth

⁶ For clashes between the polarity of the implicature and the polarity of the interrogative, as in (6), see Romero and Han (2004).

⁷ By large, the dominant move produced by the accused in the mid-eighteenth century was the *report* (Archer's 2005 terminology), which was attested in 76.14 percent of turns.

noting that most of these interrogatives are formatted as leading interrogatives. I shall come back to this point later.

Move	Illocut. force	Addressee	Gets response?	Clause type
(Re)Initiation 18 (20.45%)	Question 15 (17.04%)	Witness 11 (12.49%)	Yes 14 (15.9%)	Leading int. 11 (12.49%)
		Prosecutor 4 (4.55%)	No 1 (1.14%)	Polar int. 2 (2.27%)
				Alternative int. 1 (1.14%)
				Wh-int. 1 (1.14%)
		Request 2 (2.27%)	No 2 (2.27%)	Declarative 2 (2.27%)
		Require 1 (1.14%)	Yes 1 (1.14%)	Imperative 1 (1.14%)

Table 3: mid-eighteenth-century (re)initiating moves

Other types of (re)initiating moves in this period were scarce: requests (2.27 percent) and requires (1.14 percent). The two instances of requesting acts are formatted as declaratives produced at the end of the trial by which the defendant pleads for mercy; they are consequently addressed to the members of the court, particularly to the judge and jury on whom the verdict depends, and do not receive a response, as in (8).

- (8) **Prisoner's Defence.** I leave it to your Lordship and the court. I hope you'll let me have the pleasure to serve his majesty, having been to sea, and am but thirty-two years of age. (t17600116–17)

The only act of require found in the sample is also addressed at a participant with a dominant discourse position, namely a questioner:

- (9) **Questioner.** Did you ever see the prisoner before?
Cumming. He used to come to my house [...]
Questioner. What account did he give before the alderman?
Cumming. He there said his sister bought it and gave it to him.
→Prisoner. Ask him what business he had to take my hat and wig, and strip me to the skin.
Cumming. I never saw either hat or wig he had at the time we stop'd him.
(t17600227–35)

The limited findings of requests and requires can be taken as supporting evidence for the idea that defendants in the mid-eighteenth century did not venture to coerce or impose on participants with a superior discourse role to the courtroom event.

A look at table 4 reveals two outstanding differences in defendants' courtroom behaviour in the mid-nineteenth century.

Move	Illocut. force	Addressee	Gets response?	Clause type
(Re)Initiation	Question	Witness	Yes	Leading int.

56 (44.8%)	55 (44%)	51 (40.8%)	55 (44%)	9 (7.2%)
		Prosecutor		Polar int.
		4 (3.2%)		25 (20%)
				Wh-int.
				16 (12.8%)
				Decl. rising
				int.
				5 (4%)
	Request	Jury	No	Declarative
	1 (0.8%)	1 (0.8%)	1 (0.8%)	1 (0.8%)

Table 4: mid-nineteenth-century (re)initiating moves

First, (re)initiations have more than doubled in frequency with respect to the mid-eighteenth century. Nonetheless, most of the characteristics of these moves continue the trend attested in the mid-eighteenth-century: almost all of the (re)initiating moves produced by the accused constitute questions formatted as interrogatives and addressed at witnesses, who in turn respond with an answer.

The second major difference between the two periods relates to the type of interrogative format favoured: leading interrogatives (12.49 percent out of 17.04 percent) in the mid-eighteenth century versus polar interrogatives (20 percent out of 44 percent) followed by *wh*-interrogatives (12.8 percent out of 44 percent) a century later. This variation in format points towards a change in the attitude adopted by prisoners when cross-examining co-participants with a non-superior discourse status: from a more pressing and coercive stance, as corresponds to leading interrogatives, towards a more neutral and matter-of-fact attitude expressed by polar interrogatives and *wh*-questions.

The virtual lack of pressure-exerting speech acts of the type requests or requires directed at co-participants with a superior discourse status can serve as additional evidence for the change in dominance exerted by the accused.

5. Conclusions

Though the considerable decrease in the frequency of defendants' turn transitions is in line with the initial hypothesis of a reduction in defendants' active participation from 1836 onwards, the increase of prisoners' acts of questioning witnesses in the mid-nineteenth century appears to disconfirm the hypothesis that the achievement of full defence by counsels in 1836 would reduce defendants' (re)initiating moves.

The study has revealed an important variation in the structure of (re)initiating moves with a questioning illocutionary force. Though in both periods questions were prototypically formatted as interrogatives, the type of interrogative preferred by the accused was discovered to be notably different: leading questions in the mid-eighteenth century versus polar and *wh*-interrogatives in the mid-nineteenth century. This formal variation witnessed over the two periods points towards a diminution in pressure –and hence in degree of dominance– exercised by defendants in an attempt to disprove witnesses' evidence presented against them and, ultimately, to try to win acquittal.

Further research based on a larger corpus sample is needed to determine if this trend of decrease in defendants' turns but increase in defendants' questioning talk, as well as diminution in dominance from 1760 to 1860 can be confirmed for the latter part of the LModE period.

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The Transcription of American English V+/l/ and V+/r/ Word-Final Sequences

María Riera and Joaquín Romero
Universitat Rovira i Virgili
maria.riera@urv.cat, joaquin.romero@urv.cat

Abstract

This paper presents an overview of a variety of transcription systems used to transcribe American English final V+/l/ and V+/r/ sequences in stressed monosyllables. We rely on pronunciation dictionaries and manuals as reference sources. Our main objectives are (i) to reveal the confusing situation created by different transcription systems as well as variations within each system regarding symbol choice, (ii) to investigate the role of epenthetic schwa, and (iii) to determine which transcription system may be most appropriate. Acoustic evidence shows the coarticulatory nature of any transitional element in the sequences and leads us to favor a transcription system that is completely faithful to the Phoneme Principle for the phonological representation of the sequences.

Keywords: /l/, /r/, schwa, vowels, American English, transcription systems, pronunciation dictionaries, pronunciation manuals, pronunciation teaching, epenthesis, coarticulation

1. Introduction

The generally agreed vowel inventory of General American English includes the fourteen monophthongs /i/, /ɪ/, /e/, /ɛ/, /æ/, /ɑ/, /ɔ/, /o/, /ʊ/, /u/, /ʌ/, /ɜ-/ and /ə/ and /ə-/ and the three diphthongs /aɪ/, /ɔɪ/ and /aʊ/.¹ Twelve of the monophthongs—/i/, /ɪ/, /e/, /ɛ/, /æ/, /ɑ/, /ɔ/, /o/, /ʊ/, /u/, /ʌ/ and /ɜ-/—and the three diphthongs—/aɪ/, /ɔɪ/ and /aʊ/—can be found in stressed position. All the monophthongs and diphthongs that can appear in stressed position can be followed by /l/. However, due to a process of vowel neutralization, only five of the monophthongs—/i/, /ɛ/, /ɑ/, /ɔ/ and /ʊ/—and two of the diphthongs—/aɪ/ and /aʊ/—can be followed by /r/.²

Transcription systems based on the International Phonetic Alphabet tend to be consistent in their choice of symbols to represent English consonants. However, attempts to find a standard transcription system for English vowels have led to the existence of two clearly distinguished traditions. On the one hand, there is a well-established British tradition, represented by the transcription systems devised by Jones (1956, 1976) and Gimson (1962). The British tradition can be said to have been successful at standardization insofar as today most transcription systems for British English vowels follow Gimson's system, with only a few still following either one or the other of Jones's two. On the other hand, there is a not-so-well-established American tradition in the sense that no standard system for the transcription

¹ Transcription system in accordance with Kenyon and Knott's (1953).

² This research was supported by Research Group in Experimental Phonetics (Universitat Rovira i Virgili), Research Groups 2005-SGR00864 and 2009-SGR003 (Generalitat de Catalunya: Institut d'Estudis Catalans and Universitat Autònoma de Barcelona), Projects HUM2005-02746 and FFI2010-19206 (Ministerio de Educación y Ciencia: Universitat Autònoma de Barlecona).

of American English vowels has been agreed upon. The most successful system has been Kenyon and Knott's (1953), but wide use is also made of other systems such as Trager and Smith's (1951). Apart from this, systems based on either Kenyon and Knott's or Trager and Smith's but with variations concerning symbol choice abound.

The British tradition, relying on its preference for the distinction between long and short vowels, presents a transcription system based on either vowel length—Jones's (1956, 1976)—or vowel length and vowel quality—Gimson's (1962); whereas the American tradition, relying on its preference for the distinction between tense and lax vowels, presents a transcription system based on only vowel quality. Moreover, Jones's, Gimson's, and Kenyon and Knott's (1953) systems are phonetic and in accordance with the symbols of the IPA, whereas Trager and Smith's (1951) is more orthographic to the extent that in some instances it makes use of combinations of vowel and consonant symbols to represent vowels. Finally, only Kenyon and Knott's system is completely faithful to the Phoneme Principle.

The three best known English pronunciation dictionaries—Jones's (2006), Wells's (2000) and Kenyon and Knott's (1953)—make use of transcription systems based on the IPA, using exactly the same symbols for the representation of consonants but differing in the use made of symbols to represent vowels. Whereas Jones's and Wells's dictionaries include both British and American pronunciations and make use of a transcription system for vowels based on Gimson's system to transcribe both varieties, Kenyon and Knott's dictionary is devoted only to American pronunciation.

There exist numerous pronunciation manuals on the market which provide a treatment of the sound system of English, including articulatory and acoustic sound descriptions, phonological transcriptions, advice on the teaching of pronunciation, and even exercises. Moreover, many English language manuals currently used in English language courses for foreign and second language learners of English introduce students to the sound system of either the British or the American standard variety of English as well as to transcription systems within either the British or the American tradition. The general rule is for those manuals within the British tradition to adhere to Gimson's (1962) system and for those within the American tradition to follow, usually with variations concerning symbol choice for vowels in particular, either Kenyon and Knott's (1953) or Trager and Smith's (1951) systems.

The reference sources of our study include pronunciation dictionaries and manuals that adhere to both traditions. Three main areas of disagreement can be easily detected: first, an array of symbol choice for the transcription of certain vowels that varies in extent depending on the vowel being represented, both from system to system and within a system; second, a clear discrepancy between those systems that use vowel symbols exclusively and those that use vowel symbols as well as combinations of vowel and consonant symbols; and, third, the inclusion or non-inclusion of an epenthetic schwa symbol between the two elements of the V+/l/ and V+/r/ sequences under study. It is around this third area of disagreement that the discussion provided in the remaining part of this paper will be centered.

In his dictionary, Wells (2000) refers to cases of schwa epenthesis as examples of *pre-l breaking* and *pre-r breaking*, whereby, as a result of the development of a schwa-like glide between the two elements in the sequences, monophthongs and diphthongs become diphthongs and triphthongs, respectively. The superscript symbol /ə/ is used by Wells to show where schwa epenthesis is likely to take place and stands for a sound that is sometimes optionally inserted. According to him, the choice of schwa epenthesis is speaker-dependent as well as situation-dependent, with it being more common in slow speech rates than in fast ones. The instances in which schwa epenthesis is shown are intended to aid second and/or foreign language learners of English in their pronunciation.

Experimental acoustic studies on V+/l/ and V+/r/ sequences (Riera and Romero 2006, 2007; Riera, Romero and Parrell 2009) have shown the presence of a transitional schwa-like

element in these sequences, which is found in all contexts and which is significantly variable as a function of both the preceding vowel and speaking rate. This element is thus understood as the result of a phonetic process of coarticulation rather than a phonological rule of epenthesis/insertion.

2. The transcription of V+/l/ sequences

Table 1 and Table 2 show the symbols used by a variety of authors in their pronunciation dictionaries and manuals, respectively, for the transcription of V+/l/ sequences.

	Pronunciation Dictionaries		
	Kenyon & Knott (1953)	Jones (2006)	Wells (2000)
feel	/iɫ/	/i:l/	/i:əɫ/
bill	/ɪɫ/	/ɪɫ/	/ɪɫ/
veil	/eɪ/	/eɪɫ/	/eɪəɫ/
bell	/ɛɪ/	/ɛɪ/	/ɛɪ/
pal	/æɪ/	/æɪ/	/æɪ/
Poll	/ɑɪ/	/ɑ:l/	/ɑ:l/
ball	/ɔɪ/	/ɔ:l/	/ɔ:l/
hole	/oɪ/	/oʊɪ/	/oʊɪ/
bull	/ʊɪ/	/ʊɪ/	/ʊɪ/
fool	/uɪ/	/u:l/	/u:l/
hull	/ʌɪ/	/ʌɪ/	/ʌɪ/
pearl	/ɜɪ/	/ɜɪ/	/ɜɪ:l/
file	/aɪɪ/	/aɪɪ/	/aɪəɪ/
boil	/ɔɪɪ/	/ɔɪɪ/	/ɔɪəɪ/
vowel	/aʊəɪ/ /aʊɪ/	/aʊəɪ/	/aʊɪ/ /aʊəɪ/

Table 1: Symbols for the transcription of V+/l/ sequences in pronunciation dictionaries according to a variety of authors

Of the three dictionaries, only Wells's (2000) introduces schwa epenthesis after the front vowels /i:/, /eɪ/, /aɪ/ and /ɔɪ/—/i:əɪ/, /eɪəɪ/, /aɪəɪ/ and /ɔɪəɪ/. Despite not being shown in his dictionary, Wells points out that in American English pre-l breaking can also take place after the back vowels /u:/, /oʊ/ and /aʊ/—/u:əɪ/, /oʊəɪ/ and /aʊəɪ/.

Opinions differ among authors as regards the vowels in the V+/l/ sequences after which schwa epenthesis is allowed to take place. Many of these authors (Prator and Robinett 1985; Calvert 1986; Baker and Goldstein 1990b; Celce-Murcia et al. 1996; Orion 1997) agree that schwa epenthesis is possible after the high front unrounded tense vowel /i/, as in *feel*. All of them except Calvert agree on the possibility of having schwa epenthesis after the mid-high front unrounded tense diphthongized vowel /e/, as in *veil*. Only Celce-Murcia et al. and Orion include schwa epenthesis after the mid-high back rounded tense diphthongized vowel /o/, as in *hole*, as well as after the diphthong /ɔɪ/, as in *boil*. Only Calvert and Celce-Murcia et al. propose schwa epenthesis after the high back rounded tense vowel /u/, as in *fool*. Only Celce-Murcia et al. make reference to schwa epenthesis occurring after the diphthong /aɪ/, as in *file*,

as well as after the diphthong /aʊ/, as in *vowel*. Finally, only Prator and Robinett suggest having schwa epenthesis after front unrounded tense vowels—high /ɪ/, as in *bill*; mid-high /e/, as in *bell*; and low /æ/, as in *pal*.

	Pronunciation Manuals									
	Kenyon (1989)	Van Riper & Smith (1992)	Edwards (1997)	Calvert (1986)	Dauer (1993)	Baker & Goldstein (1990a; 1990b)	Avery & Ehrlich (1992)	Orion (1997)	Prator & Robinett (1985)	Celce- Murcia et al. (1996)
feel	/iɪl/	/iɪl/	/iɪl/	/iɪl/ /iəɪl/	/iɪl/	/iyɪl/ /iyəɪl/	/iyɪl/	/iyɪl/ /iyəɪl/	/iyɪl/ /iəɪl/	/iyɪl/ /iyəɪl/
bill	/ɪɪl/	/ɪɪl/	/ɪɪl/	/ɪɪl/	/ɪɪl/	/ɪɪl/	/ɪɪl/	/ɪɪl/	/ɪɪl/ /iəɪl/	/ɪɪl/
veil	/eɪl/	/eɪl/	/eɪl/	/eɪɪl/ /eɪl/	/eɪɪl/ /eɪl/	/eyɪl/ /eyəɪl/	/eyɪl/	/eyɪl/ /eyəɪl/	/eyɪl/ /eəɪl/	/eyɪl/ /eyəɪl/
bell	/ɛɪl/	/ɛɪl/	/ɛɪl/	/ɛɪl/	/ɛɪl/	/ɛɪl/	/ɛɪl/	/ɛɪl/	/ɛɪl/ /ɛəɪl/	/ɛɪl/
pal	/æɪl/	/æɪl/	/æɪl/	/æɪl/	/æɪl/	/æɪl/	/æɪl/	/æɪl/	/æɪl/ /æəɪl/	/æɪl/
Poll	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/	/ɑɪl/
ball	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/	/ɔɪl/
hole	/oɪl/	/oɪl/	/oɪl/	/oʊɪl/ /oɪl/	/oʊɪl/ /oɪl/	/owɪl/	/owɪl/	/owɪl/ /owəɪl/	/owɪl/	/owɪl/ /owəɪl/
bull	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/	/ʊɪl/
fool	/uɪl/	/uɪl/	/uɪl/	/uɪɪl/ /uəɪl/	/uɪɪl/	/uwɪl/	/uwɪl/	/uwɪl/	/uwɪl/	/uwɪl/ /uwəɪl/
hull	/ʌɪl/	/ʌɪl/	/ʌɪl/	/ʌɪl/	/əɪl/	/ʌɪl/	/ʌɪl/	/əɪl/	/əɪl/	/ʌɪl/
pearl	/ɜɪl/	/ɜɪl/	/ɜɪl/	/ɜɪl/	/əɪl/	/ɜɪl/	/əɪl/	/əɪl/	/əɪl/	/ɜɪl/
file	/aɪɪl/	/aɪɪl/	/aɪɪl/	/aɪɪl/	/aɪɪl/	/ayɪl/	/ayɪl/	/ayɪl/	/ayɪl/	/ayɪl/ /ayəɪl/
boil	/ɔɪɪl/	/ɔɪɪl/	/ɔɪɪl/	/ɔɪɪl/	/ɔɪɪl/	/ɔyɪl/	/ɔyɪl/	/ɔyɪl/ /ɔyəɪl/	/ɔyɪl/	/ɔyɪl/ /ɔyəɪl/
vowel	/aʊɪl/	/aʊɪl/	/aʊɪl/	/aʊɪl/	/aʊɪl/	/awl/	/awl/	/awl/	/awl/	/awl/ /awəɪl/

Table 2: Symbols for the transcription of V+/l/ sequences in pronunciation manuals according to a variety of authors

Those authors (Prator and Robinett 1985; Calvert 1986; Baker and Goldstein 1990b; Celce-Murcia et al. 1996; Orion 1997; Wells 2000) who advocate for schwa epenthesis do so mainly on the grounds that it reflects quite accurately how the V+/l/ sequences under study are both produced and perceived. Calvert, for instance, acknowledges that a schwa is created after /i/ and /u/ when these are followed by /l/ as a result of the tongue movement required to go from the vowel to the /l/. As far as he is concerned, this schwa is an “understood influence” (p. 148) of the /l/ and it “is not transcribed unless very prominent” (p. 148). Similarly, Prator and Robinett understand this epenthetic schwa as the result of the tongue movement produced in passing from the front of the mouth, right after pronouncing a front vowel, to the back of the mouth, right before pronouncing /l/. According to them, such movement is not necessary when the vowels involved are back vowels, since these are already produced in the back part

of the mouth, where dark /ɹ/ is produced. Although Prator and Robinett make no reference to epenthetic schwa occurring after the diphthongs /aɪ/ and /ɔɪ/, which end in a front vowel, these could be included within the group of vowels that would set the right context for schwa epenthesis.

3. The transcription of V+/r/ sequences

Table 3 and Table 4 present the symbols used by a variety of authors in their pronunciation dictionaries and manuals, respectively, for the transcription of V+/r/ sequences.

Of the three dictionaries, only Wells's (2000) includes some instances of schwa epenthesis—/ɹ̩r/, /e̞r/, /ʊ̞r/, /aɪ̞r/ and /aʊ̞r/. The diacritic /̞/ that is present in the transcriptions of *hire* and *power* reflects the possibility of considering these words as composed of either one or two syllables.

	Pronunciation Dictionaries		
	Kenyon & Knott (1953)	Jones (2006)	Wells (2000)
here	/ɪr/	/ɪr/	/ɪ̞r/ (/i̞r/)
hair	/ɛr/	/er/	/e̞r/
far	/ɑr/	/ɑ:r/	/ɑ:r/
four	/ɔr/	/ɔ:r/	/ɔ:r/
poor	/ʊr/	/ʊr/	/ʊ̞r/
hire	/aɪr/	/aɪr ³ /	/aɪ̞r/
power	/aʊr/	/aʊ̞r/	/aʊ̞r/

Table 3: Symbols for the V+/r/ sequences in pronunciation dictionaries according to a variety of authors. Also possible, though less common, options are shown in parentheses.

Disagreement among authors concerns the option of phonemically representing the last element in the V+/r/ sequences as either /r/ or /ə̞/. Only Dauer (1993) favors the latter option, though Van Riper and Smith (1992) present it as a secondary option. As with the case of *power* in Jones (2006), advocating for /ə̞/ instead of /r/ leads to interpreting the sequences as composed either of diphthongs or monophthongs+/ə̞/, on the one hand, or of triphthongs or diphthongs+/ə̞/, on the other hand, rather than of monophthongs+/r/ or diphthongs+/r/, thus generating confusion. While considering such sequences as diphthongs, triphthongs, monophthongs+/r/ or diphthongs+/r/ would imply the existence of one syllable, considering them as monophthongs+/ə̞/ or diphthongs+/ə̞/ would suggest the existence of two.

	Pronunciation Manuals
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³ But *fire* is transcribed as /faɪə̞r/.

	Kenyon (1989)	Van Riper & Smith (1992)	Edwards (1997)	Calvert (1986)	Dauer (1993)	Baker & Goldstein (1990a & 1990b)	Avery & Ehrlich (1992)	Orion (1997)	Prator & Robinett (1985)	Celce- Murcia et al. (1996)
here	/ɪr/ (/ir/)	/ɪr/ (/ɪə-/)	/ɪr/ (/ir/)	/ɪr/ (/ir/)	/iə-/ (/ɪə-/)	/ɪr/ (/iyr/) (/ɪʔr/)	/ɪr/	/ɪr/	/ɪər/	/ɪr/ (/iyr/)
hair	/ɛr/ (/er/)	/ɛr/ (/ɛə-/)	/ɛr/	/ɛr/ (/er/) (/eɪr/)	/ɛə-/ (/eɪə-/)	/ɛr/ (/eyr/) (/ɛʔr/)	/er/	/ɛr/	/ɛər/	/ɛr/ (/eyr/)
far	/ɑr/ (/æɾ/)	/ɑr/ (/ɑə-/)	/ɑr/	/ɑr/	/ɑə-/	/ɑ:r/	/ɑr/	/ɑr/	/ɑr/	/ɑr/
four	/ɔr/ (/or/)	/ɔr/ (/ɔə-/)	/ɔr/	/or/ (/ɔr/) (/ouɾ/)	/ɔə-/ (/ouə-/)	/ɔ:r/	/or/	/ɔr/	/ɔr/	/ɔr/ (/ɔwr/)
poor	/ʊr/	/ʊr/ (/ʊə-/)	/ʊr/	---	/ʊə-/ (/ʊə-/) (/ouə-/)	/ʊr/ (/uwr/) (/ʊʔr/)	/ʊr/	/ʊr/	/ʊr/	/ʊr/ (/uwr/)
hire	/aɪr/	/aɪr/ (/aɪə-/)	---	---	/aɪə-/	/aɪr/ (/aɪʔr/)	---	---	/aɪər/	/aɪr/ (/aɪəʔr/)
power	/aʊr/	/aʊr/ (/aʊə-/)	---	---	/aʊə-/ (/aʊwə-/)	/aʊr/ (/aʊʔr/)	---	---	/aʊər/	/aʊr/ (/aʊəʔr/)

Table 4: Symbols for the the transcription of V+/r/ sequences in pronunciation manuals according to a variety of authors. Also possible, though less common, options are shown in parentheses.

Dauer (1993) is the only author who calls the V+/r/ sequences centering diphthongs and uses a transcription system that is consistent with the term. Her transcriptions include epenthetic schwa in all cases. Van Riper & Smith (1992) also refer to these sequences as centering diphthongs, but they present the transcription with /ə-/ only as a secondary option. They do this on the grounds, first, that /ə-/ “seems to be weaker and more fricative in nature (less vowel-like) than [ə] in such words as *mother*” (p. 137); and, second, that “it is the style used in most transcription today” (p. 137). Kenyon (1989) also uses the term centering diphthongs to refer to the V+/r/ sequences, but on no occasion does he suggest transcribing the sequences with epenthetic schwa, transcribing them instead with vowel+/r/. Prator and Robinett (1985) advocate for the term centering diphthongs as well, but their phonemic representation of the sequences is with final /r/ in all cases and with epenthetic schwa included in /ɪər/, /ɛər/, /aɪər/ and /aʊər/ but not in /ar/, /ɔr/ and /ʊr/. For them, the vocalic elements are the ones that form the centering diphthong and the /r/ is not part of it. All these authors consider the V+/r/ sequences in the words *hire* and *power* as centering diphthongs.

Other authors (Baker and Goldstein 1990b; Celce-Murcia et al. 1996) do not talk of centering diphthongs, but they suggest epenthetic schwa as an option in at least some cases. Baker and Goldstein, for instance, do so with /ɪʔr/, /ɛʔr/, /ʊʔr/, /aɪʔr/ and /aʊʔr/, not considering it possible in /ɑ:r/ or /ɔ:r/. Celce-Murcia et al. associate epenthetic schwa directly only with the diphthongs /aɪəʔr/ and /aʊəʔr/, but indirectly with at least one other case when they state that the conventional transcription of the V+/r/ sequence in *beard* as /ɪr/ “may not completely represent or capture the precise articulation of this /r/-colored vowel” (p. 104).

Even though the rest of the authors do not transcribe the V+/r/ sequences with epenthetic schwa and do not even advise doing so, some (Calvert 1986; Edwards 1997) acknowledge the presence of such schwa between the two elements in the sequence. Moreover, Calvert states that this schwa “creates a diphthong sound” (p. 148). Similarly,

Edwards (1977) points out that “some phoneticians transcribe the final sound in the vowel+/r/ offglides with the reduced r-colored vowel, /ə-/” (p. 302), but that he keeps the use of /ə-/ “for those productions when the off-glide is so pronounced that two syllables are approximated, as in /fiə-/” (p. 302).

Both Calvert (1986) and Prator and Robinett (1985) refer to the tongue movement required in going from the vowel to the consonant as the reason for the existence of epenthetic schwa in these sequences. As with the V+/l/ sequences, the sound produced while the tongue is passing through the mid central area of the mouth is perceived as a schwa and is particularly noticeable in slow speaking rates.

4. Discussion and conclusions

As the presentation in the above sections has shown, a clear situation of confusion is characterized by disagreement among authors as regards (i) whether to transcribe the V+/l/ and V+/r/ sequences with epenthetic schwa or not, (ii) whether to transcribe this epenthetic schwa as a superscript schwa or a phonemic schwa, (iii) after which vowels to transcribe it, (iv) in front of which of the two consonants to transcribe it, and (v) the number of syllables the sequences consist of.

In very general terms, making their choices mostly on the basis of perceptual evidence, those authors who consider the possibility of transcribing the V+/l/ and V+/r/ sequences with epenthetic schwa agree on doing so when the preceding vowel is high, whether front or back, with a clear preference for tense than lax vowels (Prator and Robinett 1985; Calvert 1986; Baker and Goldstein 1990a, 1990b; Van Riper and Smith 1992; Dauer 1993; Celce-Murcia et al. 1996; Orion 1997; Wells 2000). Some authors also favor the transcription with schwa epenthesis in V+/l/ sequences containing low front vowels (Prator and Robinett 1985) as well as in V+/r/ sequences containing low back vowels (Van Riper and Smith 1992; Dauer 1993;).

Contrary to what the transcriptions by most of these authors may suggest, acoustic studies of V+/l/ and V+/r/ sequences (Riera and Romero 2006, 2007; Riera, Romero and Parrell 2009) have made it possible to identify VC transitions containing a schwa-like element in all contexts, low back vowels included. This element is highly variable: its acoustic characteristics (i.e., F1, F2, F3 and duration) vary across contexts (i.e., the preceding vowels) as well as across rates (i.e., slow vs. fast), and there is a clear tendency for its spectral values (i.e., F1, F2 and F3) to be more similar to those of the preceding vowel the faster the speaking rate.

These experimental findings lead us to view this schwa-like element as the result of the coarticulatory process required to pass from the vowel to the consonant, as some of the authors discussed above have also implied (Prator and Robinett, 1985; Calvert, 1986; Baker and Goldstein, 1990b; Celce-Murcia et al., 1996; Orion, 1997; Wells, 2000). As such, we do not consider its representation appropriate for a phonological/phonemic transcription based on the Phoneme Principle, whereby one symbol stands for one phoneme, and would consider it acceptable only for a phonetic/allophonic transcription. Therefore, we advocate in favor of Kenyon and Knott’s (1953) transcription system, based on the Phoneme Principle as well as on vowel quality—rather than vowel length—and thus relying on the distinction between tense and lax vowels.

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Readers in Eighteenth-Century Teaching Grammars¹

María E. Rodríguez-Gil
Universidad de Las Palmas de Gran Canaria
merodriguez@dfm.ulpgc.es

Abstract

In the present study I will examine how audience was represented in the title pages and prefaces of twenty-five *teaching* grammars of English. This group of grammar books advocated for a wide audience by covering both schooling and private instruction. An analysis of the discourse of the title pages and prefaces in these English grammars, both of them paratextual elements (Genette 1997), has revealed relevant and fruitful, since these elements present the main text to the reader, thus influencing on its reception. The paratext of eighteenth-century English grammars still remains relatively unexplored, so the research on the prefatory material of these books reported on in this study is timely and will aid to shed light on the intended readership of these books.

Keywords: readers, audience, eighteenth-century English grammars, paratext, preface, title page.

1. Introduction

During the eighteenth-century, readers were fuelled by “the impetus toward self-improvement through the acquisition of knowledge”, which increased the demand for educational materials (Finkelstein & McCleery 2005: 112-13). These materials were produced for both public education —being educated with other children in school— and private education —being educated at home. Actually, “publication records indicate that instructional books were far better sellers than children’s fiction” (Grenby 2011: 135). English grammar books were also imbued with this impetus and both instructional forms were catered for by the *teaching* grammars, that is, English grammars appealing to a wide audience: anyone who wanted “to learn the language or improve their mastery in it” (Vorlat 2007: 500).

In the present study I will examine who this audience was and how they were represented in the prefatory paratext. The paratext, also known as the threshold to a text, is particularly relevant in this analysis because it comprises those elements that enable “a text to become a book and to be offered as such to its readers and, more generally, to the public” (Genette 1997: 1). Although Genette’s theory applies mainly to fiction, its validity extends to nonfiction texts since “[t]heir basic function is no different from paratexts in fiction: namely, to persuade people to buy and read the book and to try to influence the way it is received” (Berger 2004: 32). Research on the paratext of eighteenth-century English grammars has been carried out only recently (e.g. Watts 1999; Auer 2008; Tieken-Boon van Ostade 2008; Rodríguez-Álvarez & Rodríguez-Gil forth.), though their main focus has not been on the

¹ This article is part of a research project funded by the Spanish Ministry of Economy and Competition ((Ministerio de Economía y Competitividad), State Secretariat for Research, Development and Innovation (FFI2011-25683).

readers of these books. The present paper will contribute to the studies on this field through the analysis of the most common types of prefatory material in eighteenth-century English grammars: the title page and the preface (Watts 1995: 150).

2. Corpus description

The corpus **under** analysis has been retrieved from the *Eighteenth-Century English Grammars* database (ECEG), an online resource conveying annotated bibliographic information of eighteenth-century English grammars and their writers, according to twenty-one fields (Yáñez-Bouza & Rodríguez-Gil 2003). Two of these fields have been used as delimiting parameters to retrieve the corpus under study. The first one is the type of work in which a particular grammar was included. Our corpus includes only the traditional, stand-alone English grammar books. The other field is target audience, and more particularly instruction. In our corpus we have only considered those grammars coded as being directed at a mixed audience, that is at both institutional and private use. Bound by these parameters, the result of our query has yielded twenty-five grammars, listed in Table 1.

Author	Year	Title
Dyche, Thomas	1720	<i>A Practical Grammar of the English Tongue</i>
Saxon, Samuel	1737	<i>The English Schollar's [sic] Assistant</i>
Anonymous	1745	<i>An Easy Introduction to the English Language</i>
Gough, John and Gough, James	1754	<i>A Practical Grammar of the English Tongue</i>
Martin, Benjamin	1754	<i>An Introduction to the English Language and Learning</i>
Buchanan, James	1762	<i>The British Grammar</i>
Lowth, Robert	1762	<i>A Short Introduction to English Grammar</i>
Buchanan, James	1767	<i>A Regular English Syntax</i>
Bell, John	1769	<i>A Concise and Comprehensive System of English Grammar</i>
Hodgson, Isaac	1770	<i>A Practical English Grammar</i>
Fenning, Daniel	1771	<i>A New Grammar of the English Language</i>
Wood, James	1777	<i>Grammatical Institutions, or a Practical English Grammar</i>
Curtis, Abel	1779	<i>A Compend [sic] of English Grammar</i>
Anonymous	1779	<i>The Only True Guide to English Grammar</i>
Corbet, John	1784	<i>A Concise System of English Grammar</i>
Fell, John	1784	<i>An Essay towards an English Grammar</i>
Knowles, John	1785	<i>Principles of English Grammar</i>
Coote, Charles	1788	<i>Elements of the Grammar of the English Language</i>
Pape, Daniel	1790	<i>A Key to English Grammar</i>
Fogg, Peter Walkden	1792	<i>Elementa Anglicana</i>
Dearborn, Benjamin	1795	<i>The Columbian Grammar</i>
Staniford, Daniel	1797	<i>A Short but Comprehensive Grammar</i>
Burr, Jonathan	1797	<i>A Compendium of English grammar</i>
Fenn, Ellenor	1798a	<i>Parsing Lessons for Young Children</i>

Table 1: Corpus of eighteenth century teaching grammars of English under analysis²

Table 1 evinces that male authors clearly outnumber female writers with twenty (87%) and one (4%) representatives respectively; only two (c.9%) authors remain anonymous.³ Twenty-one (91%) different writers produced one teaching grammar each, while two (c.9%) authors wrote four of these items, namely the grammarian and lexicographer James Buchanan (fl.1753-1773) and the educationalist and children's writer Ellenor Fenn (1744-1813).⁴

3. Analysis

In the compiled corpus, audience is represented in the title pages of twenty teaching grammars of English and in the prefaces of twenty-one of these works. If we break down these data, we find that four (16%) grammars included an appeal to audience in their title pages only, while five (20%) of them addressed their readers only in the preface. Sixteen (64%) of these teaching grammars, however, used both the title pages and the prefaces to their works to arouse a sympathetic response in prospect readers.

In terms of chronological distribution, all authors writing their books up to the end of the 1750s appealed to potential readers in both the title pages and the prefaces of their grammar books, as shown in Figure 2. The preface was the preferred prefatory material for such appeal during the next three decades, up to the 1780s. It was only at the turn of the century, in the 1790s, that the tip was balanced in favour of title pages.

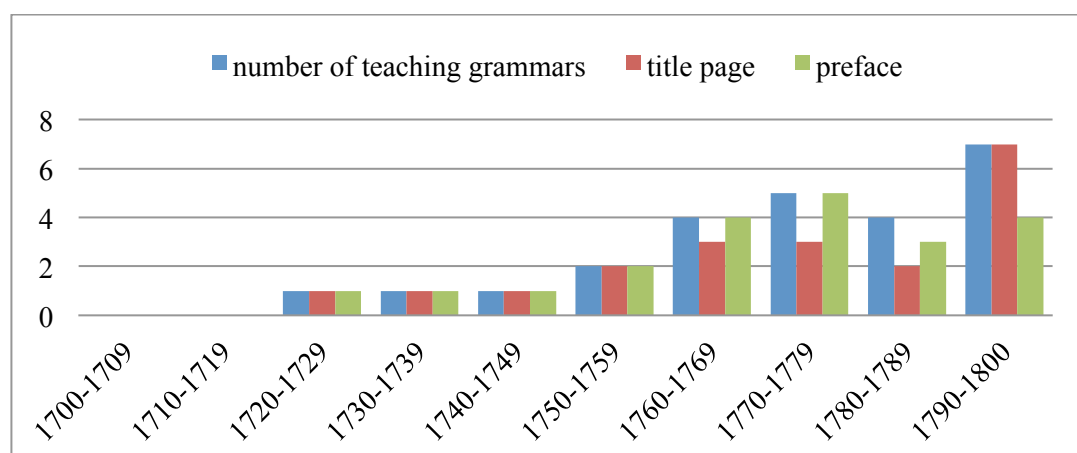


Figure 2: audience in the title pages and prefaces of eighteenth-century teaching grammars of English

3.1. Title-pages

Genette (1997) makes a distinction between the addressee of the text, the reader, and the addressee of the title, the general public. The former is “a person who reads the book *in toto*”,

² Full details of the eighteenth-century primary sources can be found in the online version of ECEG.

³ Alston comments on *The Only True Guide to English Grammar* (1779): “A note inserted in the Philadelphia copy attributes the work to John Mead Ray, but I have not been able to substantiate this” (1965: I, no.365).

⁴ These figures in terms of gender and correlation between number of authors and number of grammars concur with the overall trends of eighteenth-century English grammar writers (see Rodríguez-Gil, in prep.).

the latter not only includes people who read the book, at least partially, but also “who participate in its dissemination and therefore in its ‘reception’” (Genette 1997: 75). Title pages served thus an advertising function. In other words, identifying addressees on the title pages was, in fact, a marketing hook to attract a wide audience that might, potentially and hopefully, contribute to the spread and/or promotion of the book.

The nature of the information about the target audience ranged from vague hints to more specific and direct statements in the subtitles of the books. Twelve out of twenty grammarians appealed to specific groups of potential addressees. As expected in English grammars intended for teaching, some of them noted the book’s utility for teachers, schoolmasters or tutors: “Adapted to the use of school, and private tutors” (Knowles 1785); others its value for pupils: “adapted to the capacities of children, and such as are only English scholars” (*The Only True Guide to English Grammar* 1779); and still others for both teachers and pupils: “for the help of the learner. And for a further assistance to teachers” (Saxon 1737). As these teaching grammars were also intended for private teaching, we find appeals to parents and families in, for instance, both of Fenn’s works (1798a, 1798b). Foreigners were also targeted at, like in the title page of *An easy Introduction* (1745) which reads: “for the use of young gentlemen, ladies, and foreigners”. This group of readers constituted an attractive and important share in the market since, by moving to England, they had “to adjust to a new language and culture” and “conform to the mother tongue” (Mitchell 2001: 137) to prove “their loyalty and patriotism to their new home” (Mitchell 2001: 135).

Three other types of information were conveyed in the title pages of these books. Ten of twenty grammar writers pinpointed age in their titles. Some authors only addressed children, like Fenn (1798a), who wrote one of her grammars particularly for young children. For his part, Daniel Staniford (1766-1820) adapted his book “to the capacity of the youth” (1797). Five of twenty grammar writers identified gender. Daniel Pape (1756/7-1807) was the only author to address a male audience solely: “a boy, with a tolerable capacity [...] of some use to gentlemen, who have not had a liberal education” (1790). The remaining authors appealed to both a male and female audience, like Buchanan (1767), who wrote his work “For the use of [...] of private young gentlemen and ladies”. Two authors referred to the geographical scope of their works. The Scottish writer, Buchanan (1762), published his work in London “[f]or the use of the schools of Great Britain and Ireland”. The American author Benjamin Dearborn (1755-1838) (1795) printed his grammar in Boston “for American youth of both sexes”.

3.2. Prefaces

Eighteenth-century English grammar books shared an ‘institutionalised’ discourse (Watts 1999: 43) in their prefaces with a shared repertoire of major common topics, among which, “the actual audience of these books [was] another essential part in the description of the scope of the school grammars” (Rodríguez Álvarez & Rodríguez Gil forth.). Twenty-one grammars in our corpus included a preface in their works and supplied information, additional in many cases, about the addressee of the text, delimiting thus the book’s scope.

Among those grammars including prefaces, seven of them (33%) narrowed down the reading public to the actual readers the author had in mind, and fourteen (67%) widened the target audience. Daniel Fenning’s (1715-1771) work is in the former group. The title of his book reads: “for the use, not only of schools, but of private gentlemen” (Fenning 1771: title page), but in its preface he admitted that his grammar was “intended chiefly for the use of English Schools” (Fenning 1771: ix). Fenn (1798a) addressed both parents and teachers in the title of her work, but in the preface we can only find references to young ladies and mothers teaching their children at home: “to assist young Ladies in their attempts to teach their children” (Fenn 1798a: [iii]). By addressing solely a female audience, Fenn followed the steps

of Ellin Devis (1746-1820) (1775), the first grammar writer directing a stand-alone grammar book “solely and specifically” at a female audience (Percy 2003: 49).⁵ The reason behind was that ladies were then regarded as “elementary readers” and “second-class readers” (Percy 2003: 49).

As already said, fourteen of the grammars under analysis broadened the intended readership in their prefaces. Five of them did so simply because no information on audience was conveyed in the title pages of their works. The remaining nine grammars widened the information in terms of instructional mode, age, gender and specific purposes their work might serve. Four of these grammars designed their books for school use mainly, albeit they also pointed out their worth as self-study guides. For instance, while Benjamin Martin (bap. 1705, d.1782) hinted at scholars in the title, he also advised it for private instruction in the preface: “adapted to the public Use of Schools, but also to the private Use of young Gentlemen and Ladies in Families” (1754: xxii). Seven grammar writers extended the age group of potential readers in their prefaces. The anonymous author of *The Only True Guide* compiled his work “to enable children to understand the true nature of the English language, and also such grown persons as have not acquired foreign languages” (1779: 6), while in the title page of this work the author only referred to children. Two other authors targeted particularly at adult people in their English grammars. John Gough (1720-1791) & James Gough (1712-1780) referred to them as: “adult Persons of either Sex” (1754: vii) and Buchanan as: “grown Persons” (1767: [vi]). Five grammarians specified or broadened gender groups in the prefaces to their books. John Corbet (fl. 1784), for example, included no information on gender in the title page, while in the preface he addressed “Young Gentleman, Ladies, &c.” (1784: vi). Two specific purposes were accounted for in the prefaces of these teaching grammars of English: business and foreigners. Buchanan (1767: xviii) pointed out the need to learn English for those intended for trade: “Youth who are to be put to Trades [...] ought by all means to learn to write their own Language correctly”. Samuel Saxon (fl. 1737) and John Fell (1735-1797) explicitly addressed foreigners in the prefaces of their works. The former recommended his grammar for boys and girls, young ladies and foreigners (Saxon 1737: iv); the latter expressed his desire that “this book may be useful to those foreigners that wish to learn the English tongue” (Fell 1784: xiii).

4. Conclusions

The analysis of the prefatory material in nonfiction texts has proved fruitful. The information retrieved from the title pages and prefaces of the teaching grammars of English has shed light on the intended readership of these books.

The authors of these grammars had a genuine interest in contributing to the growth of children’s books, but not only. They also, or mainly, wanted to profit from the sales of their books in a “sector where the real money was to be made” (Immel 2010: 742). They thus intended to reach as wide an audience as possible.

As instructional books, they typically addressed both schools and private use. In addition, information regarding age and gender frequently occurred through the repetition of words like “children”, “youth”, “ladies and gentlemen” or “both sexes”. Besides, references to specific purposes and geographical location appeared sparingly either on titles or, more commonly, in the prefaces of these books, widening even more the intended reading public.

⁵ Percy (forth.) has recently rediscovered *The Young Ladies Guide to the Knowledge of the English Tongue* (1715), which precedes Devis’s work in addressing a female readership solely.

In sum, the authors of eighteenth-century teaching grammars of English addressed “all who wish to acquire a critical, as well as grammatical knowledge of the English language”.

To conclude, gaining an understanding of the target readership of eighteenth-century teaching grammars of English will contribute to get a clearer picture of the whole process of book production and reception. More general studies on the reading public of eighteenth-century English grammars would allow for comparing and contrasting the results in this small-scale research with those from a wider corpus of eighteenth-century English grammars, but that will be a project for the future.

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Filling the Historical Record of Lancashire English: Evidence from MS Lansd. 1033

Javier Ruano-García
Universidad de Salamanca
fjrg@usal.es

Abstract

This paper examines the Lancashire material contained in White Kennett's *Etymological Collections of English Words and Provincial Expressions* (1690s), also known as MS Lansd. 1033. This is an unpublished dictionary with a substantial amount of regional information that supplements the hitherto available data provided by well known early sources such as John Ray's collections of provincialisms (1674, 1691), and Meriton's glossary of Yorkshire words (1685). My aim is twofold. Firstly, to evaluate Kennett's contribution to the lexical history of the county by ascertaining the words which were not taken from other works, and were thus apparently original to his dictionary. Secondly, to show Kennett's linguistic and lexicographical legacy, which becomes clear in the number of first datings for the *EDD* found amongst the Lancashire data. In doing so, I would hope that this paper might add to the historical linguistic record of Lancashire, and of English counties more generally.

Keywords: Lancashire English, MS Lansd. 1033, dialect lexicography, Late Modern English.

1. Introduction

As with other regional varieties, early evidence about Lancashire English is scarce. Nowell's *Vocabularium Saxonicum* (c1567), John Ray's collections of provincialisms (1674, 1691), pronouncing dictionaries, and literary texts like the unprinted *A Lancashire Tale* (c1690-1730) and John Collier's *A View of the Lancashire Dialect* (1746) provide the earliest linguistic glimpses into the language of the county. Side by side with these sources, White Kennett's *Etymological Collections of English Words and Provincial Expressions* (1690s), also known as MS Lansd. 1033, includes information that casts some additional light on the historical record of the dialect.

This paper looks at the Lancashire material contained in White Kennett's unpublished dictionary. My aim is twofold. Firstly, to evaluate Kennett's contribution to the lexical history of Lancashire by ascertaining the words which were not taken from other sources, and were thus apparently original to his dictionary. For this purpose, I shall assess the Lancashire material against some contemporary sources in which Lancashire words and ascriptions are documented, namely Nowell's *Vocabularium Saxonicum* (c1567), Somner's *Dictionarium Saxonico-Latino-Anglicum* (1659), and John Ray's *A Collection of English Words not Generally Used* (1674, 1691). Secondly, the paper aims to show Kennett's linguistic and lexicographical legacy, which becomes clear in the number of first datings for the *English Dialect Dictionary* (1898-1905) (henceforth *EDD*) found amongst the Lancashire data. In doing so, I would hope that this paper might add to the historical linguistic record of Lancashire, and of English counties more generally.

2. Some sources for the linguistic study of Lancashire English (earlier than 1750)

Lancashire has received a substantial amount of linguistic attention¹. The comprehensive Bibliography of Joseph Wright's *EDD* reveals that the volume and variety of records of Lancashire speech largely exceed those of other English counties, if Yorkshire is excluded. Laurence Nowell's *Vocabularium Saxonicum* (c1567), the first known extant dictionary of Anglo-Saxon, is amongst the earliest records in which Lancashire data are found. A native of Whalley, in the East of Lancashire, Nowell listed 173 lexical items belonging to his own county in addition to a handful of words assigned to Yorkshire, Scotland, Kent, Wiltshire and western counties (Marckwardt 1947). Worthy of comment are *esshin* 'a pale' or *wogh* 'a wall'². The impact of Nowell's work is clear in William Somner's *Dictionarium Saxonico-Latino-Anglicum* (1659). In keeping with his predecessor, Somner listed Anglo-Saxon terms with their Latin and English equivalents, amongst which words ascribed to Lancashire are included³. Also, John Ray's *A Collection of English Words Not Generally Used* (1674, 1691) glossed a few words said to be natural to the county (see further Ruano-García 2010a: 149). Adam Martindale (1623-1686), a minister born at High Heyes, Windle (south-east Lancashire), wrote his autobiography in *The Life of Adam Martindale written by himself* (1682) where Lancashire words and expressions are sometimes glossed: *footing-money* 'entrance-money' or *prooffe* 'produce' (see Parkinson 1845). Eighteenth-century pronunciation dictionaries provide Lancashire data too. For example, Sharp's *A Short Treatise on the English Tongue* (1747), referred to the Lancashire pronunciation of <o> in words such as *affront*, *attorney*, *borough* or *brother* (Malone 1924: 214).

Literature has also given interesting renderings of Lancashire English. *The Late Lancashire Witches* (1634) by Thomas Heywood and Richard Brome, *The Two Lancashire Lovers* (1640) by Richard Brathwaite, *The Cheats of Scapin* (1677) by Thomas Otway, and Thomas Shadwell's *The Lancashire Witches* (1681) provide us with an interesting, but sketchy, testimony to seventeenth-century attitudes and views on the language of the county (see Blake 1981: 75, 105–106; Wales 2006: 77–78). Most telling for the scope of this paper is the unprinted *A Lancashire Tale* (c1690-1730). This is a specimen of dialect literature that might be taken as a pivotal early literary witness to Lancashire speech, as it antedates John Collier's canonical *A View of the Lancashire Dialect* (1746) (Ruano-García 2010b).

Alongside these (non-)literary sources, White Kennett's *Etymological Collections of English Words and Provincial Expressions* (1690s), also known as MS Lansd. 1033, contains information on Lancashire vocabulary that casts some light on the language of the county. This has neither been described nor evaluated in earlier linguistic accounts of the dialect; such is the aim of this paper.

¹ References to Lancashire correspond to pre-1974 geographical and administrative boundaries. In what follows, I shall provide a brief descriptive overview of the most relevant early sources in which aspects of Lancashire English can be found. I will include only those works published before 1750, as the number of Lancashire glossaries, literary works, etc. that were published after John Collier's canonical *A View of the Lancashire Dialect* (1746; 2nd enlarged ed. 1748) are far more numerous, and well known, than those published before. For a detailed account of sources dating from before and after 1750, see Ruano-García (2013b) and references therein.

² Unless otherwise indicated, definitions are taken from the *Oxford English Dictionary*.

³ It is worth noting that most of Somner's Lancashire data cannot be taken as the result of first-hand observation, mainly since most of them were taken from Nowell's *Vocabularium* (see further Considine 2008: 203–216; Ruano-García 2010a: 123–124, 147).

3. Lancashire words in MS Lansd. 1033

3.1 The manuscript: a brief description

Also referred to as “Etymol[ogia] Anglican[a]” (f. 3^r), this is a collection of English words listed for etymological purposes that remained in manuscript on Kennett’s death, and is still kept at The British Library as MS 1033 of the Bibliothecae Lansdownianae. The document is signed, as the name of Kennett appears on folio 5^v: “The Rev. Mr White Kennett Vicar of Ambrosden”. No specific date is provided, but the collection of words it contains might have been compiled in the late 1690s and early eighteenth century (see below). To my knowledge, little scholarly attention has been paid to this work in modern times; Fox (2000) and Griffiths (2005) are isolated examples that have referenced it.

The document (330 x 225 mm) comprises 484 folios that include over 6,700 entries. They are generally arranged into two columns though not in strict alphabetical order. Each entry contains different kinds of data representative of different fields, namely the lemma or headword that is underlined, followed by the meaning and etymology. Example (1) illustrates the basic entry structure in Kennett’s manuscript:

- (1) To abide, expect or wait for.
 Sax. Bidan, Abidan, expectare. Island, Bidia,
 bid, expectare, mora. Goth. Beidan,
 expectare (f. 6^v)

Whilst that represents the basic information included in the great majority of the entries, data of other kinds may also be found. In particular, we may find (a) geographical information, (b) reference to the source in which a word is used, (c) citations that exemplify a word in context, and (d) cross-references to other entries in the dictionary. Example (2) clearly illustrates these kinds of information:

- (2) a Carl-Cat, a boar-cat. Bor. from Sax. Carl, masculus. Thence in Westmorl. Carl-hemp is the rough stronger hemp as it were, the he-hemp. Carl is now in Scotland the familiar word for any Man, as the House-Carl, the old Carl, whence our Churl, vid. Karl.
 Trim hemp to serve at a need
 the finable to spin, the carle for her seed.
 T. Tusser, p.86.
 (f. 56^f)

The citations that illustrate the usage and meaning of certain words deserve special attention. Unlike other contemporary collections of regional terms, such as Ray’s, Kennett’s often drew on written sources to exemplify the meaning of a word in context. The examples were for the most part extracted from literary texts.

The title of the manuscript suggests that there is abundant regional information. In fact, Fox (2000: 67) argues that it is “all the more significant since it appears that no other dialect dictionary purporting to cover the whole of the country was attempted during the eighteenth century, until Francis Grose published his limited and derivative *Provincial Glossary* in 1787”. I have indicated elsewhere that it contains a great number of words that are

specifically ascribed to northern, southern and Midland counties. In particular, over 1,450 northern terms, either marked as generally northern or as specific to one or various counties, more than 550 Midland words, and more than 500 examples of southern items are included, many of which are not glossed in contemporary word lists (see further Ruano-García 2013a). Interestingly, as example (2) above shows, the regional information is sometimes indicated by means of abbreviations which remind us of the system of labels of early dictionaries such as Coles's *An English Dictionary* (1676). Kennett used the Latin Bor. (Borealis), Dunelm. (Dunelmensis), and Ebor. (Eboracensis) for northern, Durham, and Yorkshire, respectively. Other abbreviations found are Chesh. for Cheshire, Lancash. for Lancashire, Northumb. for Northumberland, Oxfordsh. for Oxfordshire, Suss. for Sussex, or Westmorl. for Westmorland. These abbreviations are not however deployed systematically, as the full name of counties is sometimes provided, and some regional words are not assigned any geographical comment.

It is hard to know if Kennett benefited from the help of someone else in writing his dictionary. Griffiths (2005: xv) notes that Kennett probably received information from the well-known Anglo-Saxonist George Hickes (1642-1715), a native of Yorkshire. In fact, the manuscript (ff. 453-484) contains fragments of the correspondence between Kennett and Hickes. It is unclear when the compilation of words was finished. The dates of the letters included in the manuscript suggest that the dictionary was arranged during the last years of the 1690s and the early eighteenth century.

3.2. Lancashire material: sourcing Kennett's attributions

As indicated above, this document means an important contribution to the history of English regional varieties. As far as Lancashire is concerned, the information provided is not particularly abundant, considering the total number of terms that are given a general northern ascription or that are localized to specific counties like Yorkshire. Kennett glosses 66 words which are said to belong to Lancashire. We could mention terms like *croghton-belly* 'a person that eats a great deal of fruit' (f. 73^r), *outcomling* 'a stranger' (f. 284^v), or *tan* 'a twig' (f. 387^v). Given the fact that Kennett's compilation relied on printed sources that were on occasion explicitly acknowledged, it is advisable to treat his Lancashire attributions with enough care in order to ascertain if they were taken from other works. As such, it seems reasonable to check the Lancashire material against the evidence provided by earlier documents in which Lancashire words were likewise glossed. Cross-comparison with Nowell's *Vocabularium* (c1567), Somner's *Dictionarium* (1659), and Ray's glossary (1691) might give insightful remarks⁴. Table 1 includes the Lancashire words listed by Kennett under T and the treatment they are given by earlier works:

Kennett	Nowell (c1567)		Somner (1659)		Ray (1691)	
	Listed?	Label	Listed?	Label	Listed?	Label
<i>tan</i>	no	x	no	x	no	x
<i>to teen</i>	yes	Lanc.	yes	Lanc.	yes	North
<i>tharcakes</i>	no	x	no	x	yes	North
<i>thresshel</i>	yes	Lanc.	yes	Lanc.	no	x
<i>thriche</i>	yes	Lanc.	yes	Lanc.	no	x
<i>thrimble</i>	no	x	no	x	no	x

⁴ This is not meant to suggest that there were no other documents in which Lancashire words were included. In fact, Skinner's *Etymologicon Linguae Anglicanae* (1671) or Coles's *An English Dictionary* (1676) contain dialect material. However, the former identifies for the most part terms of his native Lincolnshire, and the latter mainly reproduces from Ray's collections.

<i>thurse</i>	yes	Lanc.	yes	Lanc.	no	x
<i>to tine</i>	no	x	no	x	no	x

Table 1: Kennett against earlier sources - Lancashire words under T

In view of the above, it seems plausible that Kennett's Lancashire attributions for *thresshel* 'a flail' (f. 396^r) or *thurse* 'an apparition, a goblin' (f. 396^r) derive from Nowell (c1567) and Somner (1659), which is further exemplified if the definitions given for the terms are contrasted. For example, Nowell (c1567) defines *thresshel* as 'a flail' (sv *perscel*), and Somner (1659) as 'Tribula, flagellum, flagellum fragmentarium, a flaile' (sv *perscel*)⁵. Similarly, *thurse* is defined as 'a hobgoblin', and 'Cyclops, Orcus, Cacus. an Hobgoblin' by Nowell (c1567 sv *byrs*) and Somner (1659 sv *byrs*), respectively. It is therefore likely that Kennett's attributions for the Lancashire material were partly influenced by other sources, as Fig.1 below shows.

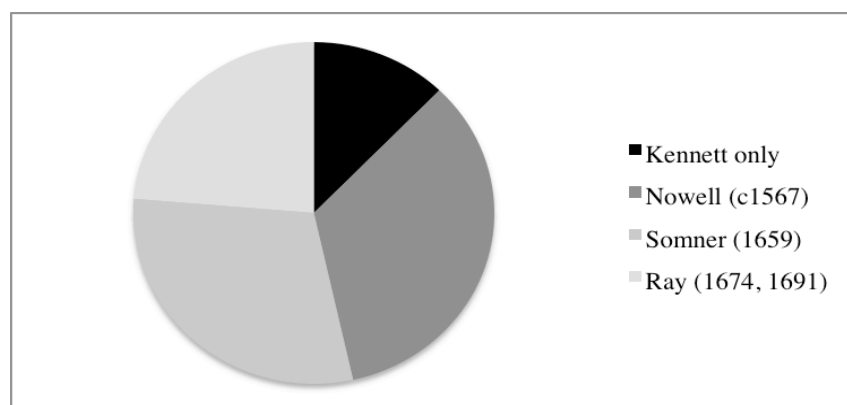


Figure 1: Lancashire words quoted by Kennett and other sources

Clearly, Nowell (c1567) and Somner (1659) have a stronger bearing on the Lancashire data, 39 and 34 out of the 66 words counted having been documented in them, respectively. Kennett, on his part, contributes to the record with 14 words like *choonering* 'grumbling, maundering' (f. 61^r), *cnout-berry* 'the dwarf-mulberry' (f. 67^r) or *framal* 'a with or wood-band wth which the cattle are tied to their stall or standing' (f. 138^r). As regards Ray (1691), it is worth highlighting that he labelled many of the words as generally northern; Kennett gives more precise information about the geographical distribution of the terms analysed⁶. Restricted as it is, Kennett's contribution to the history of Lancashire vocabulary goes, nevertheless, beyond the attestation of a few words marked as characteristic of the county. Actually, the data constitute important documentary material for the profile of these terms in the only historical dialect dictionary to date: the *EDD*.

3.3. MS Lansd. 1033 and the *EDD*

⁵ It is hard to know if Kennett relied on Nowell (c1567), Somner (1659), or on both of them, especially since Nowell's *Vocabularium* was not printed until 1952. My comparison of the dictionary data suggest that he might have known Nowell's manuscript given the differences that I have detected with regard to, for example, words like *to frane* 'enquire, ask' (f. 138^r), and *weed* 'a garment' (f. 424^r). Whilst Nowell (c1567) identifies them as Lancashire terms, Somner (1659) does not mark any of them.

⁶ This also applies to the regional data found in Kennett's glossary to *Parochial Antiquities* (1695) (see Ruano-García 2009, 2012).

The *EDD* lists 62 out of the 66 Lancashire words identified in Kennett's dictionary (93.9 %). As expected, all of the terms collected are labelled as belonging to Lancashire, and in some cases to other northern and Midland counties too. The evidence given by Kennett as regards the Lancashire use of the 62 words listed plays a prominent role in the corresponding *EDD* entries for two reasons. Firstly, Kennett's is the earliest document in which the regional use of 28 words is attested, which represents 45.1 % of the total number of terms recorded. That is, the unprinted dictionary gives the first dating for 28 words representative of Lancashire and other regions. For example, *clap-cakes* 'The cloudberry' (*EDD* sv *knout-berry*), marked as belonging to Scotland, Westmorland, Yorkshire, Lancashire and eastern counties, is first traced to Kennett's work that reports on its Lancashire distribution. It is worth highlighting that there are some entries in which Kennett furnishes the only documentary evidence as regards Lancashire. That is the case of *jannock-bread* 'oaten bread made into coarse and hard large loaves' (*EDD* sv *jannock* sb² 2), for example. Secondly, the MS provides the first Lancashire attestation for 8 words (12.9 %) that the *EDD* quotes in earlier sources in which other regional uses are documented. By way of illustration, *to deere* 'to pain, grieve, hurt' (*EDD* sv *dare* v³ 1) is first recorded in *Browne Wks* (1684), representing a Norfolk use. In sum, the *EDD* relies on Kennett's unpublished dictionary as the earliest document in which 36 Lancashire words are included.

Fig. 2 indicates that the *EDD* likewise quotes from Kennett's dictionary in 9 entries (12.9 %) in which it does not provide the first Lancashire dating. For example, *hand-hoven-bread* 'oatmeal bread kneaded very stiffly and with very little leaven (*EDD* sv *hand* sb 1.(49)) is marked as characteristic of Lancashire, but Ray (1691) is given as the first document in which this is included⁷.

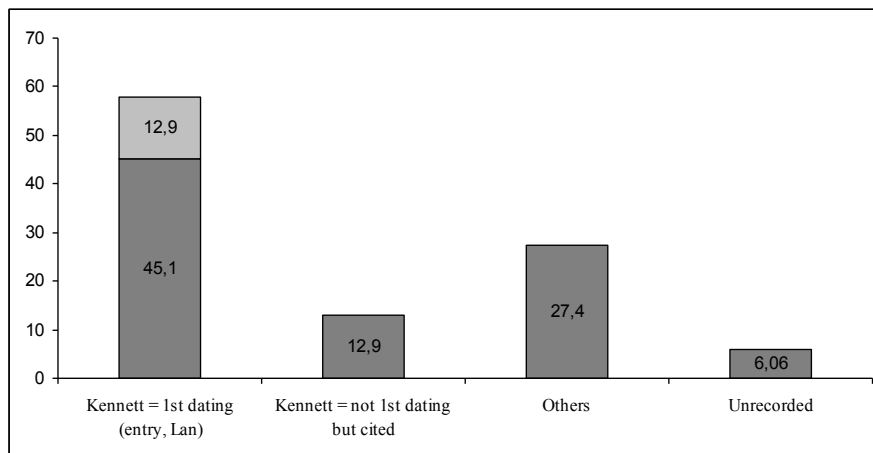


Fig. 2: Kennett's Lancashire words in the *EDD*

4. Concluding remarks

This paper has been concerned with shedding some additional light on the linguistic history of Lancashire English drawing on the evidence furnished by White Kennett's unpublished dictionary *Etymological Collections of English Words and Provincial Expressions* (1690s). The analysis has shown that the number of Lancashire words included in the document is not particularly high, and that some of the ascriptions given by Kennett were quite probably

⁷ It is hard to know why the *EDD* referred to Ray (1691) as the first attestation for this term, when there are other words for which the evidence furnished by Kennett was preferred even though Ray (1691) listed them (*jannock-bread*, for example).

founded on earlier and contemporary sources. In spite of this, the manuscript adds to our knowledge of the dialect with words like *croghton-belly* ‘a person that eats a great deal of fruit’ (f. 73^r), or *choonering* ‘grumbling, maundering’ (f. 61^r) that were not glossed by other printed works that have come down to us. Additionally, my evaluation of the data has laid emphasis on the fact that they represent important documentary material for the *EDD*. As it has been shown, the *EDD* records the evidence provided by Kennett’s Lancashire words in over 93% of the cases. This naturally means that Kennett’s document is a dialectologically reliable one for the *EDD* purposes. In this connexion, I have indicated that 58% of the Lancashire data represent first datings in the corresponding *EDD* entries, which reinforces the linguistic validity of Kennett’s dictionary both for the historical light it might cast on the record of Lancashire English, and its contribution in the reconstruction of the diachronic profile of the vocabulary of the county.

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The Degree of Lexicalization of Present-Day English Morphological Causatives

Esaúl Ruiz Narbona
Universidad de Sevilla
esaulrn@gmail.com

Abstract

Present-Day English morphological causative pairs such as *lie/lay* are remnants of a word-formation process in Proto-Germanic from which causative verbs were derived from primary verbs by means of the suffix **(i)ja-*. Whereas in Germanic this derivational type is productive and transparent, the relationship between base and derivate starts to obscure early on. The aim of this paper is to establish the degree of lexicalization these verbs have undergone by identifying the extent to which each of the former causative pairs has moved away from their original causative opposition. To achieve this, a careful analysis of all lexicographically documented uses of each of these verbs in PDE has been accomplished, paying attention to semantic and, especially, syntactic criteria. As a conclusion, the main processes in the evolution of these pairs in PDE will be highlighted and compared with Brinton & Traugott's 2005 definition of lexicalization, as well as their lexicalization scale.

Keywords: morphological causatives, valency change, semantic specialization, lexicalization, labile verb.

1. Introduction

The main objective of the present paper is to establish the degree of lexicalization of Present-Day English (PDE henceforth) morphological causatives. This entails an attempt to describe how members of causative pairs develop away from their original form and meaning (see Haspelmath 1993 and Dixon 2010 for a typology of causatives).

The present work concentrates on the best preserved and most frequent causative pairs (see Brinton and Traugott: 2005 and García García: 2012), namely *fall / fell*, *lie / lay*, *sit / set*, *bite / bait*, *drink / drench* and *rise / rear / raise*. In the case of the latter, the original pair consisted of the verbs *rise* and *rear*. *Raise* is a Scandinavian loan, cognate of *rear*, which entered the English language at the beginning of the 13th century according to the *OED*. These verb pairs were originally related by means of a regular derivational mechanism, the Germanic *-jan* suffix (for a standard description of this formation, see Ringe 2006: 252-3). Whereas in Germanic the formal and semantic relationship between the pairs was still intact, in Early English (during the Old and Middle English periods), the formal relationship between the verbs in these pairs became opaque and the forms split, giving way to a fair amount of lexicalization on both members, as stated by Brinton and Traugott (2005: 153). In fact, in PDE, the relationship between the members of the pairs is both formally and semantically blurred. English morphological causative pairs feature prominently in this standard work and are used to illustrate various phenomena related to lexicalization. This makes them a promising object of study.

The aforementioned work by Brinton and Traugott (2005) provides the starting points of this paper. Theirs is the definition of lexicalization followed in this study. These scholars define lexicalization as:

the change whereby in certain linguistic contexts speakers use a syntactic construction or word formation as a new contentful form with formal and semantic properties that are not completely derivable or predictable from the constituents of the construction or the word formation pattern. Over time there may be further loss of internal constituency and an item may become more lexicalized (2005: 96-7).

In the general conclusions to this study, reference will be made to this definition again. It will be explained whether the verb pairs analysed in this work have certainly undergone the type of changes mentioned above, in addition to syntactic changes, which are the main core of the present study.

Besides this comprehensive definition of lexicalization, these scholars refer to the fact that once new lexical items are formed and adopted into the lexicon, they often undergo further change towards the lexical pole of the grammatical-lexical continuum. In order to illustrate this process more clearly they provide a lexicality scale which classifies items from “less” (L1) to “more” lexical (L3). This scale is the one which has been employed in this study in order to determine the degree of lexicalization undergone by PDE morphological causative pairs. This scale presents three levels (Brinton and Traugott 2005: 94):

1. L1: Fixed or idiomatic phrases
2. L2: Compounds and derived forms
3. L3: Lexical simplexes and idiosyncratic, fossilized forms

2. Morphological causatives in early English

In order to assess the degree of lexicalization that PDE morphological causatives have undergone, it is necessary to establish the basis for comparison, that is, their derivational and productivity status in previous periods (See García García 2012 and forthcoming for an analysis of this topic).

This author recognizes 57 pairs of morphological causatives in Old English whose causative relationship is still identified. However, she points out that this formation type is obscure and no longer productive. She concludes that these pairs are lexically conditioned, unlike the Proto-Germanic original verbs, which were morphologically conditioned (García García forthcoming: 15).

Concerning syntactic changes, from the OE period onwards, morphological causatives show a tendency towards “syntactic melting” (García García 2012: 15). This phenomenon refers to cases in which one or both members of an inchoative-causative pair take on a further valency value. This process has as a result a labile verb which can function both as an intransitive and causative verb with no morphological marking. That is the case of the OE verb *myltan*:

(1)

- A. OE *myltan* “melt” (CAUS. and INTR.) <GER **maltija-* „melt“ (CAUS.)
- B. OE *meltan* „melt“ (INTR.) <GER **melta-* „melt“ (INTR.)

She also detects semantic change in 9 pairs of OE causatives. The tendencies, syntactic and semantic, have remained and are more pronounced as mentioned below.

3. Methodology

The procedure followed in this study consists of a detailed analysis of every aforementioned verb in the Oxford English Dictionary (*OED* henceforth). The *OED* has been chosen as the source of data for this study as a necessary previous step before corpora for two reasons; because of the large number of different uses documented, and the comprehensiveness of the *OED* itself, which has not been surpassed by any dictionary in any language so far.

Special attention has been paid to syntactic changes involved in the lexicalization process, such as the formerly introduced cases of valency change, which form the core of this study. Semantic changes, an important indicator of lexicalization, have also been dealt with as a matter of course. Syntactic changes, however, are given more emphasis, for two reasons: they are relevant for the process of lexicalization, and are frequent and documented historically (see next section). Incidentally, the *OED* does not account for syntax as systematically as it does for semantics, and therefore this study could contribute to fill that gap.

Concerning the total number of senses analysed in this study, a full list of the total 602 senses is provided, specifying the amount of senses analysed per verb and the total number of senses included in the *OED* for each different verb:

- Rise (70 out of 88) Rear (35 out of 38) Raise (88 out of 115)
- Fall (83 out of 269) Fell (11 out of 11)
- Lie (35 out of 88) Lay (63 out of 223)
- Drink (25 out of 32) Drench (7 out of 7)
- Bite (30 out of 44) Bait (16 out of 19)
- Sit (58 out of 118) Set (81 out of 546)

The variation in the percentage of verbs analysed in each case lies on the fact that phrasal verbs and most obsolete senses have been excluded in this study. Thus, verbs which present a high number of phrasal verbs show a lower percentage of senses analysed. In relation to obsolete senses, however, it is important to point out that some of them have been taken into account given the useful information they provide concerning the evolution of these verbs both from a syntactic and a semantic point of view.

4. Semantic changes

With regard to unpredictable semantic changes as an indicator of lexicalization, there are relevant conclusions that should be born in mind. Two main types of semantic change are involved in the lexicalization of morphological causatives, namely specialization and generalization.

As for the former, it is a type of change illustrated by several verbs in this study. However, in this paper emphasis has been placed on the ones that show a greater degree of specialization, namely *drench*, *bait* and *fell*. Contrary to what could be expected, the main meaning of these verbs is not simply ‘to cause to drink’, ‘cause to bite’, or ‘cause to fall’ respectively. The corresponding senses which still present a connection with their base verb have been drastically narrowed. See table 1 for the actual definitions taken from the *OED*.

FALL	FELL
1a: intr. To drop from a high or relatively high position. Const. †in, into, to, on, upon; also, to the earth, ground.	1a: To cut, knock, or strike down (a man or animal). Often with down, to the ground, etc.
DRINK	DRENCH
1a: To take (liquid) into the stomach; to swallow down, imbibe, quaff.	1a: To make to drink; to administer drink to; now spec. to administer a draught of medicine in a forcible manner to (an animal).
BITE	BAIT
1a: trans. To cut into, pierce, or nip (anything) with the teeth	2a: To set on dogs to bite and worry (an animal, such as the bear, boar, bull, badger, etc., usually chained or confined for this purpose), to attack with dogs for sport; formerly, also, to hunt or chase with dogs.

Table 1: Examples of semantic change

In relation to the other semantic change dealt with in this paper, generalization, the best example among the PDE morphological causatives is that of *set*. Contrary to what has been mentioned above of *drench*, *bait* and *fell*, the meanings of *set* are much wider than those of its counterpart *sit*. In fact, it is clear that there has been a movement from a quite restricted sense of ‘to cause to sit’ (general sense I in the *OED*) to a much wider one, such as ‘to sink, descend’, ‘to put in a definite place’ or ‘to arrange, fix, adjust’, under general senses II, III and VI in the *OED* respectively.

5. Syntactic changes

Once semantic changes involved in the lexicalization of PDE morphological causatives have been dealt with, the focus will be on syntactic changes. From the syntactic point of view, the valency of verbs has been the main centre of attention. The most relevant process related to syntactic changes is the fact that the tendency for these verbs to become labile continues. In contrast to the case of Proto-Germanic, where morphological causatives were clearly separated into a non-causative base (with inchoative meaning and intransitive) and a derived causative, the analyses carried out in this work show a strong tendency for the members of causative pairs in PDE to express both the inchoative and causative meaning with one verb and no formal change. Each verb tends to develop one specific sense with both the inchoative and causative functions expressed by the same verbal form. See table 2 for several examples.

SIT	
INCHOATIVE	CAUSATIVE
10b: To take up or continue in the posture necessary for the hatching of eggs.	23c: To make or cause (a hen-bird) to sit
RISE	
INCHOATIVE	CAUSATIVE
2a: To return to life. Come back from the dead	2b: trans. To restore (dead person) to life.
FALL	
INCHOATIVE	CAUSATIVE

1a: intr. To drop from a high or relatively high position.	51c: To cut down (trees)
--	--------------------------

Table 2: Examples of verbs which express both the inchoative and causative functions

One important aspect that must be pointed out as well is that this study shows that not all verbs have undergone the same degree of lexicalization. For instance, the best preserved of all pairs analysed in this paper (*rise/raise*) only presents 12 out of 158 senses in which the inchoative-causative relationship has been kept. A pair such as *lie/lay* includes 7 cases out of 98, while the worst preserved one shows only 1 correspondence (out of 32 senses) in which a high degree of specialization is involved.

Formal opacity is an important factor to be taken into account too, since it may lead to confusion. The *OED* states that verbs such as *lie* and *lay* are often confused. The fact that the form *lay* also functions as the past tense of *lie* provokes one verb to be used instead of the other by mistake.

6. General conclusions: The degree of lexicalization

As has been shown in the previous sections, morphological causatives have indeed undergone formal and semantic changes, as well as syntactic ones, not predictable or derivable from the original syntactic construction or word formation pattern as predicted by Brinton and Traugott (2005: 96-7) in cases of lexicalization.

Regarding the degree of lexicalization these verbs have reached, bearing in mind the data analysed for this study, PDE morphological causatives studied in this paper should be considered to belong to L3 on the lexicality scale developed by Brinton and Traugott (2005: 94), i.e. lexical simplexes and idiosyncratic fossilized forms. However, this was not the case in Germanic. In the protolanguage these verbs are on the second point of the scale, namely L2: derived forms. Thus, PDE morphological causatives are an example of what constitutes another of Brinton and Traugott's features of lexicalization, namely that "over time there may be further loss of internal constituency and the item may become more lexical", since what is a process that began on L2 on their lexicality scale has ended up being more lexicalized, L3.

7. Questions for further research

In this final section, I would like to comment on some research questions this study has raised. The first question is related to the lexicality scale developed by Brinton and Traugott (2005: 94). These authors point out that their scale is too poor to make certain fine-grained distinctions. They acknowledge the fact that not all items under one of the lexicality levels are lexicalized to exactly the same degree, something which the verbs analysed in this study demonstrate as well. The amount of detailed information that has been provided by this study could be useful to try to establish and describe new sublevels of lexicality, and thus allow researchers to clear those fine-grained distinctions.

Moreover, this study has implications regarding the way lexicalization is considered by these authors. They only take into account semantic and formal criteria. However, as has been shown, syntactic criteria can be considered as an important indicator to determine to which degree verbs have undergone lexicalization. Verb pairs becoming labile, for instance, seems to be one of the most relevant reasons which can make these verbs be regarded as separate lexical items, not linked by any kind of derivational process as was the case in Proto-Germanic.

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Factors Determining Language Variation in New Englishes: Vernacular Universals versus Contact-induced Change

Cristina Suárez-Gómez and Elena Seoane
University of the Balearic Islands and University of Vigo
cristina.suarez@uib.es, elena.seoane@uvigo.es

Abstract

The aim of this paper is to gauge the strength of two major factors shaping the grammars of New Englishes: vernacular universals and contact-induced change, as seen at work in the variation found in the expression of perfect meaning in Asian Englishes (Hong Kong, India, Singapore and The Philippines). Findings from an analysis of the *International Corpus of English* confirm the presence of a vernacular universal: the levelling between the present perfect and simple past, as well as the occurrence of other recurrent variants. In this paper, this universal is set against the other major explanatory factor: contact-induced change, that is, influence of the substrate languages, cognitive constraints characteristic of language-contact situations, and, especially, diffusion from the input language, which is an earlier, not necessarily standard form of English. Relevant intravarietal differences are also examined.

Keywords: perfect meaning, New Englishes, contact-induced change, vernacular universals, substrate languages

1. Introduction

The aim of this paper is to assess the role of two major factors determining variation in New Englishes, vernacular universals and contact-induced change. For that purpose it examines the variation found in the expression of perfect meaning in East and South-East Asian varieties of English, in particular the varieties spoken in Hong Kong, India, The Philippines and Singapore (cf. Seoane and Suárez-Gómez 2011). The variation found in previous studies confirms one vernacular universal: the levelling between the preterite and the present perfect. In this paper we want to examine to what extent it can also be considered a contact-induced change, brought about by cognitive constraints typical of such situations.

2. East and South-East Asian Englishes

The varieties under study here have emerged out of a situation of language contact, in which a substrate language interacts with a common superstrate language, in this case English, after a historical process of colonization. The linguistic situation of the countries concerned differs. In India, although the linguistic diversity is exceptionally rich, the national language is Hindi, a morphologically highly synthetic language. For the expression of the perfect Hindi resorts to a periphrastic construction which entails the past participle of the lexical verb and the present tense of the verb 'to be'.

Singapore English shows traces of the substrate languages at all levels (Deterding 2007). These are Mandarin (an isolating language of the Sino-Tibetan group) and Malay (an agglutinative language belonging to the Austronesian family of languages), where tense is conveyed by analytic means. Therefore, there is no specific form for the perfect; to express it,

the basic form of a verb is reinforced by time adverbs (Li and Thompson 1981:226). In Singapore English the verb frequently appears in an uninflected form, especially in the simple past and the past participle of regular verbs, following the simplification of consonant clusters characteristic of the substrate languages.

Hong Kong English, due to the influence of Chinese as the substrate, also shows the simplification of consonant clusters, which would affect the morphological marking of the past tense and the past participle (Peng and Setter 2000). The interaction between both languages can be seen in its grammar, where Hong Kong English replicates phenomena observed in the other emergent Englishes: random tense switching and use of past where a present perfect is expected (Setter, Wong and Chang 2010:49ff).

Unlike the previous three varieties, The Philippines English is a product of the colonial expansion of the United States. The few studies available on The Philippines English show various grammatically distinctive features in the verbal phrase. As for the substratum, it is important to mention that Tagalog, as an agglutinative language, expresses the perfect by adding a verbal particle of time (Schachter and Otnes 1982:372; Kroeger 1993:50).

3. The expression of the perfect in Asian Englishes

3.1. The corpus

The data under analysis here are drawn from the *International Corpus of English* (ICE). We selected the ten most frequent verbs in the Spoken Private Dialogue section of the five ICE corpora (four Asian Englishes and British English, used as a benchmark corpus), which together amount to around 1,000,000 words. Excluding *be* and *do*, the ten most frequent verbs are *come*, *finish*, *get*, *give*, *go*, *hear*, *see*, *say*, *tell* and *think*. We retrieved examples using *AntConc*, a concordance program which rendered over 36,000 instances of these verbs, which were analysed manually; 2,018 examples were found to express perfect meaning.

3.2. Distribution of variants expressing perfect meaning

Table 1 below sets out the variants found as distributed in the different varieties.

	HKE	SinE	PhilE	IndE	Total AsE	GB	TOTAL
<i>Have</i> + participle	410 (59.2%)	155 (44.4%)	169 (57.3%)	300 (77.5%)	1034 (60.0%)	236 (80.8%)	1270 (63.0%)
Preterite	204 (29.5%)	174 (49.9%)	121 (41.0%)	70 (18.1%)	569 (33.0%)	48 (16.4%)	617 (30.6%)
Base form	29 (4.2%)	11 (3.2%)	0	3 (0.8%)	43 (2.5%)	4 (1.4%)	47 (2.3%)
<i>Have</i> + base form	29 (4.2%)	3 (0.9%)	0	1 (0.3%)	33 (1.9%)	0	33 (1.6%)
<i>Be</i> + participle/ base form	10 (1.4%)	3 (0.9%)	5 (1.7%)	9 (2.3%)	27 (1.6%)	4 (1.4%)	31 (1.5%)
Participle	9 (1.3%)	3 (0.9%)	0	4 (1.0%)	16 (0.9%)	0	16 (0.8%)
Present	1 (0.1%)	0	0	0	1 (0.1%)	0	1 (0.04%)
TOTAL	692	349	295	387	1723	292	2015

Table 1. Forms expressing perfect meaning in Private Dialogue in Asian varieties and in British English

In both varieties the most common form used to express perfect meaning is the canonical *have* + past participle construction. However, this form is more frequent in British English, with 80.8 per cent of cases, than in Asian varieties, where it only reaches 60 per cent.

In both cases the second most frequent form is the preterite, but this is more common in Asian Englishes (33 per cent as against 16.4 per cent). Hence, in all varieties we witness a significant tendency for the present perfect to lose ground to the simple past tense, as already reported in Elsness (2009:242), Van Rooy (2009:311-312) and Hundt and Smith (2009) for British and especially for American English. The levelling between present perfect and simple past observed for Asian Englishes is also one of the well-known vernacular universals reported by Kortmann and Szmrecsanyi (2004:1154) in their study of New Englishes.

As already mentioned, we intend to examine the variation found in the expression of perfect meaning not only as a universal linguistic tendency but also as potentially driven by various processes of contact-induced change. One of them, superstratal influence, clearly favours the blurred distinction between the present perfect and the preterite, since the input for these colonial varieties is not Present-day English but an earlier variety of English, when the grammaticalization of the distinction between the present perfect and the preterite had not taken place as fully as is the case today. Therefore, some of the variation found can be put down to simple diffusion from this earlier English (cf. Schneider 2000:211). Moreover, the colonizers were not necessarily standard speakers and hence the input language was not necessarily a standard variety of the language; for this reason variation in this respect can also be attributed to variation found in spoken, non-standard varieties (Mesthrie and Bhatt 2008).

Next in frequency are the base form and the *have* + base form periphrasis, see (1) and (2):

- (1) Savita **just tell** me something about Jaipur how to approach <,> or about why Jaipur is famous <ICE-IND:S1A-008#33:1:B>
- (2) She has only three years and four exams<,>She has give four exams <ICE-IND:S1A-070#111:1:A>

The base form with perfect meaning appears in all the varieties examined (except The Philippines English) and it is the third in frequency in Asian Englishes; in fact, it seems to represent a recurrent innovative form in these varieties, since it occurs in 2.5 per cent of the cases, while its presence in British English is residual (1.4 per cent). As for the periphrasis *have* + base form, it constitutes almost 2 per cent of the examples in Asian varieties but does not occur in British English. Within Asian Englishes, it is worth noting that the base form has a higher incidence in Hong Kong English and Singapore English. This might be due to the direct influence of the Chinese substrate language in Hong Kong English and Singapore English, an isolating language that lacks the kind of verbal morphological markers found in English participles. One cannot forget, however, that such forms also occur in Indian English, potentially influenced by Hindi, a synthetic language with a very rich inflectional morphology, as well as in other emergent varieties of the English language which are geographically unrelated (Kortmann 2006: 609); thus one should look for the explanation elsewhere, namely in cognitive constraints characteristic of processes of language contact, which often result in morphological simplification (cf. Schneider 2007:82; Kortmann and Szmrecsanyi 2009: 274; Szmrecsanyi and Kortmann 2009: 274).

As for the remaining forms in Table 1, they have a very low incidence in Asian Englishes and British English, but one which deserves special consideration is the use of the periphrasis with the auxiliary *be*. The substrate language for Indian English, Hindi, has a similar periphrasis; however, the data do not seem to indicate any influence here, since the frequency of *be* + past participle is equally high in Hong Kong English. Superstratal influence seems to be stronger here, since most lexical verbs (27 out of 31) used in this periphrasis are intransitive, and thus seem to replicate the historical periphrasis *be* + past participle of intransitive verbs.

The remaining forms in Table 1 constitute less than 1 per cent of the occurrences each, and might reasonably be interpreted as errors of performance or transcription.

3.3. Distribution of the semantic types of perfect meaning

As we know, classic accounts of perfect meaning distinguish four semantic subtypes: resultative, experiential, recent past and persistent situation (cf. examples (3) to (6)).

- (4) problems that may, be uhm, that maybe arise from the issue of nineteen ninety-seven but uhm these years I've **seen** tut some, intolerable, events that happen in China <ICE-HK:S1A-032#109:1:A>
- (5) don't watch movies and others right other than that I've never **heard** of this place at all <ICE-Ind:S1A-012#217:1:A>
- (6) You know my friend from Australia **has** just uh **get get** back from Australia you know and then I always have have like uh <ICE-HK:S1A-099#188:1:A>
- (7) Really I **didn't** see you for a long time and... <ICE-Ind:S1A-097#216:2:A>

As Figure 1 below shows, we checked whether the frequency of variant forms depended on the meaning expressed. Figure 2 allows for a comparison with British English:

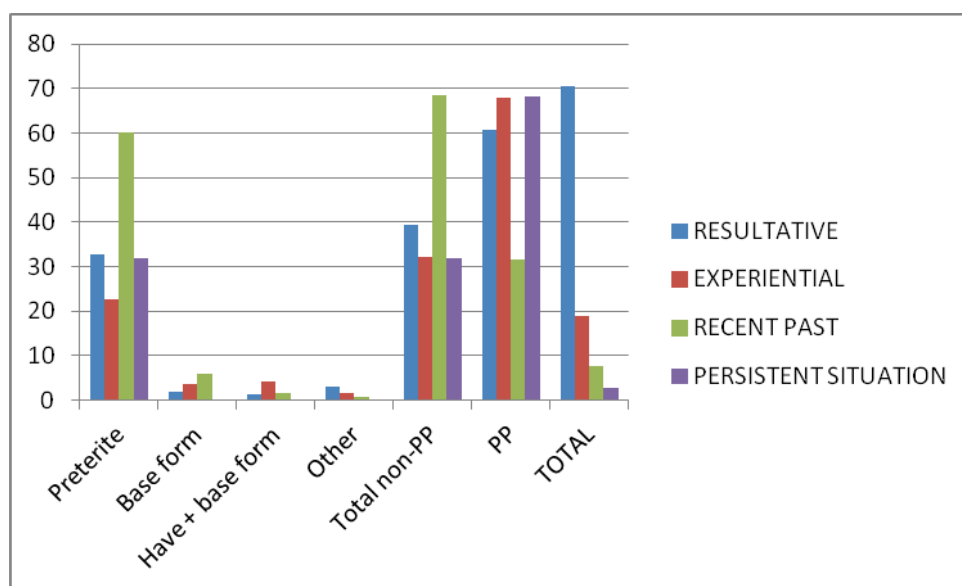


Figure 1. Forms used to express the different types of perfect meaning in Asian Englishes

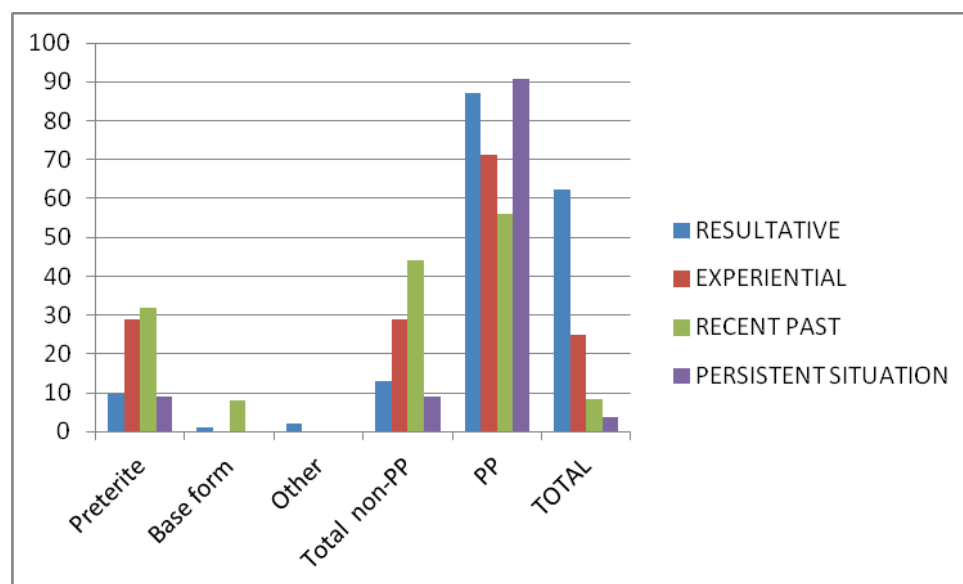


Figure 2. Forms used to express the different types of perfect meaning in British English

The present perfect is clearly favoured for the expression of resultative, experiential and, especially, persistent situation, both in Asian and British English (though obviously the proportion of present perfect forms is higher in British English). The expression of recent past, however, is mainly assumed by the preterite, especially in Asian Englishes (60.2 per cent), which suggests not only a levelling between the two forms but that the preterite has clearly taken over the function of the recent-past present perfect in Asian Englishes.

4. Conclusions

This paper has shown that the universal tendency towards levelling between present perfect and simple past holds true for Asian Englishes. This vernacular universal has been examined from the perspective of contact-induced processes, and has been attributed mainly to diffusion from the input language, a spoken variety of earlier English in which a clear functional distinction between the present perfect and the preterite had not taken place.

Together with the present perfect and the preterite, the base form occurs recurrently to express perfect meaning in all four Asian varieties, with higher incidence in the varieties having isolating languages as substrate, that is, Hong Kong English and Singapore English. The success of the base form was seen to respond not only to substratal influence but also to cognitive constraints characteristic of processes of language contact which would lead to morphological simplification.

Among the least frequent variants, the occurrence of the periphrasis with the auxiliary *be* with intransitive verbs has been related to the *be* periphrasis found in the history of English to express perfect meaning with intransitive verbs; influence from the substrate was, in this case, discarded.

We hope to have shown in this paper that vernacular universals have multiple causation and that various processes of contact-induced change play a decisive role in their development (Thomason 2009).

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Round Tables and Workshops

Autores británicos traducidos en Andalucía

C. Acuña, J. Ramírez, M. Rodríguez, M. Mar Verdejo, J.J. Zaro
(Universidad de Málaga)

mcacuna@uma.es, jramirez@uma.es, respinosa@uma.es
verdejo@uma.es, jjzaro@uma.es

Abstract

The Research Project *La traducción como actividad editorial en la Andalucía del siglo XIX* has covered different aspects of the history of book translation in Andalusia in the 19th century, researching issues like specific groups of translators in cities like Cádiz, Málaga, Seville and Granada as well as case studies of particular translations published during this period. The research has proved the existence of a very active publishing industry in Andalusia, which made of translation one of its pivotal activities, unlike most other regions of Spain. The catalogue of more than 900 translated titles of novels and essays confirms this fact. The translation of books reached its peak in the central decades of the century, probably for commercial, political and technical reasons altogether, and then began a decline from which the region never recovered.

Keywords: Translation, History of Translation, Andalusia, XIXth century.

1. Introducción

El motivo principal de la investigación efectuada por parte del grupo de investigación *Traducción y lenguajes especializados* (HUM-800) a partir del proyecto de investigación de excelencia financiado por la Junta de Andalucía *La traducción como actividad editorial en la Andalucía del siglo XIX* ha consistido en rescatar un patrimonio bibliográfico olvidado, catalogarlo y describirlo según teorías y conceptos traductológicos contemporáneos y específicos de la historia de la Traducción. Se trata de la primera aproximación a este hecho desde este punto de vista.

La traducción en la Andalucía del siglo XIX es un hecho singular en la historia de la traducción y del libro en España: Andalucía, y en concreto sus grandes núcleos urbanos, constituyen uno de los cuatro grandes ámbitos de la traducción editorial en la España del XIX junto con Madrid, Barcelona y Valencia. Hemos podido catalogar un total de 907 títulos publicados en las “imprentas” andaluzas, concentrándose la mayoría de las publicaciones en Sevilla, Málaga, Cádiz y, en menor grado, Granada. Este catálogo es público y está en la página web de nuestro grupo de investigación (<http://www.ttle.satd.uma.es>). En Andalucía se publican primeras traducciones de autores como Lord Byron, Scott, Wiseman, Shakespeare (primera traducción directa del inglés, *Hamlet* de Macpherson, 1873), Spencer, Stuart Mill, etc. y obras científicas de primera magnitud. Los traductores son generalmente hombres dedicados a profesiones liberales (médicos, notarios, abogados, procuradores) y profesores universitarios o de enseñanza media con conocimientos, sobre todo de francés, a veces un tanto elementales. Algunos nombres señeros de traductores andaluces son los de Pedro Alonso O’Crowley, Francisco Alejandro Fernel, Antonio Benigno Cabrera, Lorenzo Lucena Pedrosa, Antonio Machado y Núñez y Antonio Machado y Álvarez. Entre las traductoras dignas de mención, además de la pionera Inés Joyes y Blake, que publicó a finales del XVIII, pueden citarse los nombres de la jiennense Carlota Remfry de Kidd, Frasquita Larrea y Aherán, Isabel Mendoza de Fernández o María Magdalena Hernández de Córdoba, Marquesa de Astorga). Se describen a continuación ciertos núcleos de traducción con perfil propio: los

traductores del Cádiz constitucional, donde la traducción se convierte en una actividad política, los traductores de la Imprenta de la *Revista Médica* de Cádiz y su proyecto de traducción multidisciplinar, que incluía traducciones literarias y científico-técnicas, el grupo de traductores surgido de los intelectuales «ateneístas» sevillanos, especializados en la traducción de obras filosóficas y sociológicas, y el grupo de traductores situados principalmente en Gibraltar y Sevilla dedicados a traducir para difundir las ideas protestantes en la España del siglo XIX.

2. La traducción en el Cádiz constitucional

De la catalogación y el estudio de la actividad traductora desarrollada en Cádiz entre 1808 y 1814, años en los que en España se libra la Guerra de la Independencia y se redacta la Constitución liberal de 1812, se derivan una serie de conclusiones acerca de cuestiones tales como la labor de impresores y traductores en la Guerra de la Independencia y las Cortes de Cádiz, el peso de la ideología en las traducciones, o la recepción del romanticismo en España. Sobre la traducción de tratados y textos militares, literatura panfletaria anti-napoleónica y textos políticos y literarios, los perfiles biográficos de los traductores y la influencia de dichas traducciones en los debates políticos y estéticos que se desarrollan en la ciudad cabe destacar que las traducciones publicadas en Cádiz entre 1808 y 1814 son fundamentalmente tratados militares teóricos y técnicos, escritos sobre episodios de la Guerra de la Independencia, panfletos y folletos anti-napoleónicos, constituciones americanas, documentos gubernativos, textos políticos avanzados y algún ejemplo de literatura comprometida. En casi todos los casos se trata de traducciones impresas por primera vez en los talleres tipográficos de la ciudad, que a veces se reimprimen al poco tiempo en otras localidades españolas e hispanoamericanas. Respecto de las traducciones de temática militar, distinguimos entre tratados teóricos y tácticos firmados por militares, espías y mercenarios y folletos y opúsculos de literatos y militares extranjeros que denuncian la descoordinación del ejército español y sus aliados en la Guerra de la Independencia, generalmente sin firmar, dadas las consecuencias penales derivadas del contenido de las traducciones. En cuanto a los textos políticos y jurídicos, estudiamos tratados de paz, discursos de primeros ministros y literatura panfletaria atribuida a publicistas anti-napoleónicos. En este caso, los traductores tampoco firman sus obras, aunque sí incluyen paratextos propagandísticos que contribuyen a la difusión, entre los españoles, de ideales patrióticos anti-franceses. En un grado menor, la traducción literaria se sumará también al debate político del proceso constituyente.

3. La traducción como instrumento de difusión de ideas protestantes

Las traducciones españolas de temática religiosa de signo protestante escritas en lengua inglesa y publicadas en Gibraltar y en Andalucía, concretamente en Sevilla, constituyen una valiosa herramienta para poder entender el origen y el desarrollo del protestantismo en nuestro país.

Todos los autores de las obras originales sobre las que tenemos noticia son de nacionalidad británica salvo uno que es de nacionalidad norteamericana. Por lo que respecta a los responsables de las traducciones que están firmadas, tres son de nacionalidad española – José Muñoz de Sotomayor, Juan Bautista Cabrera y Manrique Alonso Lallave, todos disidentes de la fe católica–, y un cuarto, W. H. Rule, misionero metodista, que es de nacionalidad británica. Este pastor metodista fue el mayor responsable extranjero de la divulgación de las Escrituras y de la reactivación de la Reforma en España. Los títulos publicados en Gibraltar se imprimieron en la Imprenta de la Biblioteca Militar mayoritariamente durante los últimos años de la regencia de M^a Cristina de Habsburgo y

durante la Regencia de Espartero. Aquellos otros publicados en Sevilla se imprimieron en el Círculo Liberal y en la Impr. y lit. de José M^a Ariza respectivamente y se publicaron en 1869 y 1882 respectivamente.

En relación al ejercicio de traducción, y centrándonos en el caso de *Fundamentos de la historia: Série de hechos primitivos*, escrita por S. B. Schieffelin y traducida de la sexta edición inglesa por el Rev. D. Manrique Alonso Lallave. Sevilla s.n. (Impr. y lit. de José M^a Ariza) en 1882, hemos de señalar que constituye un ejemplo de traducción directa del inglés, práctica poco habitual en el siglo XIX. Este rasgo lo comparten todas las traducciones encontradas. Nos encontramos ante un ejercicio de traducción muy pegado a la literalidad del texto que destaca por el uso de la intertextualidad.

4. Los traductores “ateneístas” de Sevilla

Cualquier acercamiento al conjunto de autores británicos traducidos en Andalucía durante la segunda mitad del siglo XIX conlleva el análisis de la intensa actividad desplegada por un grupo de traductores y académicos krausopositivistas en el Ateneo de Sevilla y en otras instituciones culturales hispalenses. Los integrantes de este círculo, organizados en torno al liderazgo intelectual de Manuel Sales y Ferré, catedrático de Geografía Histórica de la Universidad de Sevilla, y del folclorista Antonio Machado y Álvarez, comparten en su trayectoria ideológica el viraje que desde posiciones krausistas les llevó a abrazar los planteamientos evolucionistas.

Un destacado integrante de esta pléyade fue Siro García del Mazo (1850-1911), el cual colaboró activamente con numerosas iniciativas promovidas por el Ateneo sevillano y por la Sociedad El Folclore Andaluz en el último cuarto del siglo XIX. A partir de 1875 García del Mazo publicó traducciones de varias obras de Spencer para el catálogo de la Biblioteca Científico-Literaria fundada por Sales y Ferré y por Francisco José Barnés Salinas, también catedrático en la Universidad de Sevilla. Entre ellas destacan dos ediciones del tratado de pedagogía *Education: Intellectual, Moral, and Physical* (1861) de Herbert Spencer. Inmerso en esta efervescencia cultural e ideológica, García del Mazo publicó una primera traducción de este manual en 1879, posteriormente revisada y reeditada en 1884, dato que refleja la actualidad del positivismo y de los aires de renovación que invadían el ambiente ideológico y, por extensión, el mundo de la educación en la sociedad española tardodecimonónica.

El estudio descriptivo de las dos ediciones constata que, por lo que respecta a la norma inicial, ambas versiones muestran un sutil equilibrio entre la adecuación al texto original y la aceptabilidad en la cultura meta. En el ámbito de las normas preliminares se advierte que la traducción de textos ensayísticos se convirtió en un instrumento de propaganda que propició importantes cambios ideológicos y socio-culturales tales como la introducción del positivismo y la descentralización de los polos editoriales tradicionales hacia nuevos emplazamientos «periféricos». Asimismo, se observa que las versiones de García del Mazo resultan ser un claro ejemplo de mediación francesa, si bien el grado de «adecuación» de sus versiones con respecto a las galas oscila entre la rigurosa literalidad y la eficaz intervención del propio traductor para acercar el texto francés al lector hispano en un alarde de aceptabilidad y pericia como traductor. Finalmente, las normas operacionales igualmente exhiben la decidida intervención de García del Mazo al respecto de la segmentación en párrafos o de las notas a pie de página si se comparan con las normas del texto francés intermedio. Este reiterado intervencionismo también se advierte en las normas lingüístico-textuales aunque no resulta posible singularizar una norma definitiva para describir, por ejemplo, la traducción de los galicismos, latinismos, referencias culturales o elementos lingüístico-culturales.

5. Las traducciones científicas del XIX en Cádiz

La catalogación y el estudio de las traducciones médicas del siglo XIX gaditano revela que la selección de obras publicadas responde en gran medida a las necesidades observadas por los médicos traductores que ejercen en esta cosmopolita ciudad atlántica, vinculados, en su mayor parte, a las instituciones médicas y educativas allí nacidas tras la fundación del Real Colegio de Medicina y Cirugía de la Armada en 1748, claves en el desarrollo de la medicina en España, cuyo empuje les lleva a implicarse, mediante el ejercicio de la escritura y la traducción, no sólo en la formación de sus alumnos, sino también en la difusión de los conocimientos científicos más avanzados de la época, labor que compaginan con una encomiable práctica médica y docente desarrollada, en ocasiones, en circunstancias muy adversas, a la luz de lo acontecido en la historia del país y de la ciudad de Cádiz.

La identidad de los autores originales y de los traductores –hombres todos ellos, por estarle aún vedado a la mujer el acceso a la enseñanza superior–, así como sus méritos y categorías profesionales, gozan de visibilidad tanto en los textos traducidos como en los paratextos analizados. Se observa, además, en los subtítulos, la indicación de la lengua de la cual se traduce y, en el caso de las traducciones intermedias, de las que encontramos escasos ejemplos, del nombre de los traductores a partir de cuyos textos se realizan las versiones españolas. Los textos traducidos son ampliamente reseñados en la prensa médica, que recoge una interesante información sobre el prestigio que alcanzan en sus especialidades autores y traductores, el interés de las obras traducidas para el público al que van destinadas, los premios recibidos, o su carácter de textos aprobados por S.M. para la enseñanza de la medicina, así como sobre el mercado de la traducción, con mención de las imprentas en las que aparecen las traducciones, o las modalidades de publicación, muchas veces por entregas, de obras de diversa extensión, calidad de impresión y precio, cuyos puntos de venta y suscripción se señalan de manera reiterada.

Parents *Then* and *Now*: Infantile and Parental Crises in the Short Fiction of Katherine Mansfield, Helen Simpson and Hanif Kureishi

Isabel M^a Andrés Cuevas, Jorge Sacido Romero, and Laura M^a Lojo Rodríguez (Chair)
Universidad de Granada and Universidade de Santiago de Compostela
iandres@ugr.es, jorge.sacido@usc.es, laura.lojo@usc.es

Abstract

From Romanticism onwards, childhood was conceived of as an alternative to the alienating world of modern progress. Despite the fact that such a view has been radically questioned, our stand is that the child's perspective continues to prove itself a valuable rhetorical strategy. The aim of this round table is to look into several examples of modernist and postmodernist short stories by Katherine Mansfield, Hanif Kureishi and Helen Simpson which overtly address the topic of debunking parental authority, where transgression of paternal law is never deterred by prohibition. Rhetorically speaking, the child's perspective proves particularly fruitful, for it may render an alienated, marginal, distorted and de-socialised vision of normative power by laying bare the dysfunctions of social institutions. Despite the nature of the child's peripheral experience, the conflicts which pertain to the infantile world and its relations with adulthood have often the value of signalling at the inconsistencies and limitations of social organisation, which in the Mansfield text are hinted at, but which however become the core of the narrative in Kureishi and Simpson's fiction.

Keywords: parental authority, modernism, postmodernism, short fiction

From Romanticism onwards, childhood was conceived of as an alternative to the alienating world of modern progress: infantile experience was often equated with pristine innocence, imagination, and, as such, with creative power. Although this idealised version of childhood was to be radically questioned by the end of the nineteenth century, the child's perspective on the adult world has remained throughout a useful way of exploring social deficiencies and of exposing some of its most unpalatable aspects.

Our stand is that the child's experience as a motif in short fiction continues to be a valuable rhetorical strategy, connected to the consideration of the short story as "minor literature", which Deleuze and Guattari defined as "that which a minority constructs within a major language" (1975: 16). The aim of this round table is to look into several examples from modernist to postmodernist short stories by Katherine Mansfield, Hanif Kureishi, and Helen Simpson which revolve around children's experience and their relationships with the social order by overtly addressing the topic of deflated parental authority. Rhetorically speaking, the child's experience proves particularly fruitful, for it may render an alienated, marginal, distorted and de-socialised vision of normative power. Despite the nature of the child's peripheral experience, the conflicts which pertain to the infantile world and its relations with adulthood have often the value of signalling at the inconsistencies, limitations and dysfunctions of modernism and of its social organisation, which however become the core of the narrative in postmodernist fiction.

In the narratives under inspection, parenthood is not an isolated motif, but rather a reflection of social organisation, of its functions and dysfunctions. As a result, we will be focusing on the literary development of the traditional oedipal conflict as both a pattern of

maturation and social integration from modernist to postmodernist short stories. In the Mansfield texts, the emphasis is placed on the child's development according to the oedipal pattern, whereas in the postmodernist short narratives under discussion the focus is dramatically changed to point at the parent's uncomfortable position with regards to the conflict within the frame of a postmodern social organisation that we can label as "post-oedipal". Although the child is construed as the product of both its domestic environment and inherent dispositions, largely speaking the modernist text enhances the child's susceptibility to experience, which would offer a large amount of developmental possibilities. In the post-oedipal age, the narratives under inspection lay the stress on the child's internal conflicts, aggressions, and instinctual drives, as well as on the child's violent and disrespectful behaviour which escapes parental rationalisation of their degree of responsibility. Significantly, these contradictory received constructions of childhood as either imitative or temperamental in their development ironically mirror the contradictions that reflect the inconsistencies of the bourgeois family.

Isabel M^a Andrés Cuevas focused on the use of children as characters in Katherine Mansfield's short fiction. Such a depiction is frequently linked to the presentation of a troubled period in their lives, in which the befitting values of childhood come to be disrupted in some way or other. In the short fiction by Katherine Mansfield in general, and in "The Child Who Was Tired" in particular, notions of parenthood and infancy become problematic. This is so inasmuch as the values traditionally —and most likely desirable— associated with these concepts, such as parental protection, tender nurturing, or loving affections towards their invariably fragile and innocent children come to be blurred, merged to varying degrees, or on certain occasions, reversed. A transgression of the role of parenting is patent even at the very title: the reader immediately learns that "The Child-Who-Was-Tired" is actually a child governess as well as the main maternal figure in the story. At the same time, the title already points to the inadequacy of such a role for her, which turns the character into a fragile, pitiable victim of her surroundings. The contrast between this child, enforced into the role of foster mother, and the indifferent biological mother of the children in the story, is emphasized by means of the resort to a description reminiscent of fairy tales. Throughout the story, Mansfield emphasizes that the result of this misdemeanor of the acceptable roles between parents and their children is abhorrence and destruction. Hence, while only a child having to fulfill the role of an adult mother, the protagonist paradoxically seems to be dominated by the baby she has to take care of. As is revealed throughout the story, the distressing narrative of a child-mother disturbingly unfit within both roles, along with the portrayals of evil mothers and the unsettling depictions of unnaturally empowered babies, evinces the corrupting effects of social impositions concerning the female, especially as regards her imposed categorization within motherhood.

Laura M^a Lojo Rodríguez looked into postmodernism by focusing on Helen Simpson's collection of short fiction *Getting a Life* (2001), where the disrespectful and aggressive behaviour of children characters not only shatters adult identity, but also threatens the collapse of the social order that they bred them to maintain. Thus, Lojo analysed the theme of motherhood, and how this affects socially and psychologically former professional women living in the suburbs as understood by Simpson, more specifically, in the story which gives title to the compilation. Its protagonist, Dorrie, is posed with an inner conflict, torn between two seemingly irreconcilable alliances: on the one hand, her commitment to and love for her children, whom she perceives as totally dependent on her and needing her in order to survive and flourish; on the other, her commitment to her own creative self, and to her professional activity. Dorrie's internalization of the dominant cultural discourse of "maternal omnipotence" —the belief that no other person could properly look after her children —is also enhanced by her husband's refusal to accept his responsibilities as a father in raising his offspring. As

Dorrie herself, her children had assumed that the only aim in Dorrie's life concerns their well-being and the quick satisfaction of any possible wish and demand what they believe to be their unquestionable right; as their father, they have also mimicked his disrespect for his wife on account of her powerless position as a housewife.

Jorge Sacido Romero closed the round table by focusing on Hanif Kureishi's short fiction, paying special attention to the centrality of the father-son relationship in three of Kureishi's stories from *The Body* (2002): "The Real Father", "Hullabaloo in the Tree" and "Touched". The conflictual nature of the son's attachment to the paternal figure is central in Kureishi's life and work: in succeeding as scriptwriter, playwright, novelist and short story writer, Hanif Kureishi at once beat his father at his own game and followed the paternal mandate, a dynamic of rivalry and obedience typical of the Oedipal situation: the impulse to rebel and the tendency to comply with his father's expectations (2004: 157 and 10). For Kureishi "love" would be the way out of this tormenting situation—in which the oppressive presence of the father is felt. In Kureishi, a complete exorcism of the father's ghost is an impossible task, yet love along with writing and psychoanalysis are ways to reverse the spiral of aggressiveness and alienation into which authority and the set of cultural prescriptions and compulsory ethnic ideals pushes the alienated subject. Kureishi celebrates the creative side of psychoanalysis and, more importantly, what he takes to be the salutary debunking of authoritarianisms of all kinds made possible by Freud. Thus, in the aforementioned stories, the dismantling of traditional familial relations in post-Oedipal contemporary society (divorced parents, unruly children, demise of strong paternal authority, etc.) does not result in chaos and pain, but, rather, it allows for the eventual reconstitution of closer, healthier, more authentic, loving father-child bonds which is, roughly speaking, directly proportional to the father's exposure of his failures and limitations, and inversely proportional to ethnic allegiances and values ("ethnic" also includes "English").

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Memory, History and Identity in Contemporary Fiction and Memoir

Rosario Arias, Marta Cerezo Moreno, Margarita Estévez Saa, and Ana I. Zamorano Rueda
Universidad de Málaga, UNED, Universidad de Santiago de Compostela, and UNED
rarias@uma.es, mcerezo@flog.uned.es, margarita.estevez.saa@usc.es,
aizamorano@flog.uned.es

Abstract

This roundtable aims to explore issues of memory, history and identity in memoirs written by Hilary Mantel (*Giving Up the Ghost: A Memoir*, 2003), Doris Lessing (*Alfred and Emily*, 2008) and Jeannette Winterson (*Why Be Happy When You Could Be Normal?*, 2011) and in Philip Roth's 2002 novel, *The Dying Animal*. These four texts demonstrate the crucial role played by personal (and collective) memory in shaping one's identity. The main objectives of this roundtable are, firstly, to engage in critical notions such as Jacques Derrida's the spectre, Paul Ricoeur's the trace and Annette Kuhn's memory text, among others; secondly, to apply these notions to contemporary fiction and memoir and, finally, to encourage discussion of these ideas with the audience.

Keywords: Hilary Mantel, Doris Lessing, Jeannette Winterson, Philip Roth, memory, history, memoir

Rosario Arias' contribution revolved around Hilary Mantel's *Giving Up the Ghost: A Memoir* (2003), which, together with several short stories about childhood and memory, discloses the silences and secrets of the author's past. In this memory text Mantel traces "the reminders of the past that remain in the present" (Kuhn 2007, 232), namely, her family secrets and, especially, the ghosts of those children she was unable to conceive due to her endometriosis, a womb-related illness. This act of re-memory is enacted to come to terms with the consequences of her misdiagnosed illness. In Mantel's work remembering one's childhood is crucial as in her memoir she expresses her wish "to take charge of the story of my childhood and my childlessness" (2003, 216). The emphasis on the recurrence of the past, which constantly haunts the present, could be taken to be Mantel's major preoccupation, not only in her early fiction but also in her autobiographical writing and in her historical fiction. Her memoir, *Giving Up the Ghost*, is populated with ghosts and spectres: the ghost of her stepfather, a malicious spectral presence she felt in the back garden and, ultimately, the ghosts of those children she could have had and remain unborn due to her illness. As Mantel puts it: "[w]hat's to be done with the lost, the dead, but write them into being?" (2003, 225). If Mantel needs exorcism to come to terms with the spectral presences of her life, she does so by infusing life into those spectres in her fiction and memoir. For example, In *Every Day is Mother's Day* (1985) Mantel worked out her troubled relationship with her own mother, a spectral presence in a metaphorical sense, as she stated in an interview: "I really think Muriel is me in that relationship, who can only cope by closing her eyes, closing her ears, and I think...that if I go back to my childhood, probably the relationship between myself and my mother was negotiated very badly" (Arias 1998, 283). In *Giving Up the Ghost* Hilary Mantel covers several of her years abroad, and centres on the relevance of several ghostly figures. Her illness is a thing of the past which has bearings upon her present, which shows how the past and the present coexist in Mantel's work.

Marta Cerezo focused on Philip Roth's *The Dying Animal* (2001). Body, life story and brain, that is, embodiment and memory evolve around David Kepesh and Consuela Castillo's love affair in Philip Roth's *The Dying Animal* (2001), where the concept of the trace, envisioned in Paul Ricoeur's terms as 'the presence of an absence,' is pivotal. In *The Dying Animal* mastectomy introduces the concept of the physical trace into a narrative space where the reader is enticed to picture Consuela's body as a physical terrain where the presence of a breast that has to be removed turns into absence long before it actually disappears. Thus, the prospect of her being mutilated turns for Consuela into a reality which acquires entity prior to the medical confirmation of full mastectomy. Therefore, in this sense absence prevails over presence before actual surgery for the protagonist, who endeavours to regain her identity by turning such absence into presence. She does so by means of photographic evidences that will become an essential part of her memory, of her future account of a past story life in which her body was complete and with no traces of pain and illness. *The Dying Animal* could be described as a thorough treatise on aging in the context of a tormented and destructive relationship dominated by the passing of time as an essential element in the conception of the trace in the novel. We witness a constant interaction of age and youth in Kepesh's account of her relation to Consuela. The natural passage of time leaves physical and emotional traces on the human being that rule his/her relationship with others and with him/herself; but Roth shows in his novel that when illness disrupts that natural passage of time (what Kepesh calls the 'metronomic illusion') the physical and emotional marks imprinted on Consuela's body change the course of things and dismantle Kepesh's view of her lover's beauty and youth as a reminder of his own closeness to death.

Margarita Estévez-Saá dealt with Doris Lessing's work, *Alfred and Emily* (2008), a combination of biography and fiction, an homage to her parents, and the author's attempt at overcoming a traumatic heritage through memory and history, two notions that Lessing redefines in terms of commitment as well as liberation. Estévez Saá began her contribution taking into account the importance of terms such as identity, history and memory through Lessing's long literary trajectory and reflected briefly on the different treatment and meanings of these notions at different stages of her career. The contributor focused on the recurrent appearance of Doris Lessing's parents in both her autobiographical volumes as well as in fictional pieces, and explained how *Alfred and Emily* should be understood not only as the writer's last attempt at coming to terms with the figures of her predecessors and with their physical and psychical disturbing experience of World War I but also, and most importantly, Lessing's endeavour to exorcise or at least to learn to live with the traumatic intergenerational legacy transmitted to the daughter. Estévez Saá's analysis argued that a survey of Lessing's fiction, from her early works to her more recent publications implies a move from a postmodernist stance to a new philosophical positioning for which we need a new critical vocabulary. Taking into account recent contributions by specialists on trauma studies, Estévez Saá paid special attention to the writer's search for and vindication of an individual as well as a collective identity and history that exorcises or at least helps to live with the private and public traumas occasioned by the convoluted twentieth century.

Lastly, Ana I. Zamorano Rueda discussed Jeanette Winterson's *Why Be Happy When You Could Be Normal* (2011). "How can one have genius without love?" (Trefusis 1933, 100) says Violet Trefusis' Pénélope in *Tamdem* (1933). That this question is the driving force in most of Jeanette Winterson's literary production has been disentangled in her recently published autobiography *Why Be Happy When You Could Be Normal*: "But as I try and understand how life works ... I come back to something to do with saying yes to life, which is love of life, however inadequate, and love for the self, however found" (Winterson 2011, 23). In *Oranges Are Not the Only Fruit* (1985), Mrs Winterson, Jeanette adoptive mother, asks her: "why be happy when you could be normal?" Love (and happiness) for Winterson seems

to be “singled all-consuming idea” (Winterson 1995, 174) that has obsessed her right from the start of her writing career. As Susana Onega has rightly pointed out: “Winterson present herself as a mythical quester” (Onega 2006, 7).

Why Be Happy When You Could Be Normal signpost a hitherto unacknowledged vector in the axial space of Winterson’s exploration of love. Winterson sees in the temporal coincidence of two events, the leaving of her lover Deborah Warner and the discovery of her adoption papers in 2007, the saving board that has allowed her to overcome the time when she “went mad” and reformulate her quest for love when she decided, in 2008, to search for her birth mother. In the process of her quest Winterson will learn that: “it is never too late to learn to love. But it is frightening” (2011, 78). In order to fully learn to love she has to disentangle the lost loss that for her is having been given to adoption. Far from being a cathartic experience *Why Be Happy When You Could Be Normal* is a mourning process from which the author comes out with a capacity for forgiveness which “redeems the past” and “unblocks the future” (2011, 224) and allows her not to leave anymore and come “home” (2011, 225) to stay. “I notice I hate Ann [her biological mother] criticising Mrs. Winterson. She was a monster but she was my monster” (2011, 229). This coming home to her newly discovered loved self brings in turn the possibility of happiness which is “pursuing a meaningful life” once one understands that happiness is “your lot in life” which is changeable and needs to be constantly pursued (2011, 24).

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Realist Theory and the Possibilities of Wholeness in Contemporary African American Women's Writing

Silvia Castro Borrego, Florina Bako, Concepción Parrondo Carretero
Universidad de Málaga
scb@uma.es, parrondo1@hotmail.com, florina.bako@gmail.com

Keywords: African American Literature, Identity, Post-positivist Realist Theory, Wholeness, Agency

Abstract

According to Johnnella E. Butler, provost of Spelman College in Atlanta, and leading scholar in US higher education, African American literature is a discipline in search for a theory which is in dialogue with the complexity of African American social and cultural reality. Thus, the need to approach the reading of African American literature in ways that allow the African American experience to be part of a theory which accounts for the epistemic dimensions of identity. Our round table proposes to approach the texts of contemporary African American writers from the standpoint of post-positivist realist theory because it serves as a dialogical basis for an objective understanding of lived experience and its literary representations.

1. Re(memory), Double Consciousness and The Search for Wholeness (Silvia Castro)

Pearl Cleage's novel *What Looks like Crazy on an Ordinary Day* (1997) deals with the ins and outs of living a truthful life or as Cleage insists "getting to what the truth is." Cleage focuses on important issues for young people, such as sex, drugs, and early pregnancy, aiming to keep her message centered on black youth while presenting mature perspectives on coming to grips with good and bad life choices through the dynamics inherent to the search for wholeness.

What looks like crazy on an ordinary day (1997) is the story of Ava Johnson, a middle aged black woman who has just found out she is HIV positive. One of the tenets of post-positivist identity theory as brought forward by Satya Mohanty and Michael Himes-García is the need to understand concepts such as agency and individual agency: a person's socially acknowledged right to interpret and speak for himself/herself, opening the possibilities to create valid identities, to grow morally and emotionally and to achieve wholeness (understood as balance, harmony, the whole made up from the interdependence of the different parts, going beyond the binaries and into unity and dialogue). Thus transcending Du Bois' concept of double consciousness and entering the dynamics of multiple consciousness. For instance, Ava Johnson, actively chooses one identity on the basis of her health (HIV positive) or on her situation as a black woman. Thus, her identities are ways of making sense of her experiences. Identities are theoretical constructions that enable her to read the world in specific ways. Her access to her remotest personal feelings is dependent on social narratives, paradigms, even ideologies. Ava interprets her experiences through the framework provided by these social narratives as well as her past attempts to understand her experiences and life. In them, and through them, Ava learns to define and reshape her values and her commitments. She gives

texture and form to her collective future. So, paradoxically, only with individual agency Ava can have an effective political collective that truly works on behalf of its constituents.¹

2. A View on Agency and Wholeness in the Novel *Push* by Sapphire (Florina Bako)

Sapphire's novel, *Push*, is set in 1987 Harlem and presents the story of an overweight black teenager, who at the age of 16 is already pregnant with her second child, both pregnancies being the result of rape whose perpetrator is her father. If the incestuous relation is not enough to shock the audience from the beginning of the novel, readers will later discover that Precious is infected with the HIV virus and her first child suffers from Down Syndrome. Physical abuse from her mother and father, along with social exclusion owed to physical appearance and race add to what seems to be a never-ending nightmare for the protagonist of this story.

In the novel agency is one of the key concepts which help us understand the evolution of the main character and the process that makes her evolution successful. In her search for wholeness, Precious recalls some of the most painful memories of her life. However, by laying them on paper she is also acknowledging the past, a key step necessary for building a better future. Re(memory) helps the protagonist reconstruct her past and tell a story which should be remembered but not repeated. The concept of re(memory) proves to be crucial in Precious' recovery and evolution because by remembering and understanding she is able to distance herself from the past and build a better future. The bitter past however, is not forgotten, but constitutes the basis for her newly discovered freedom and independence. What we discover through Precious' character is a vision of the past which casts itself into the future in order to heal and improve her life prospects.

Sapphire's vision over the story can be defined as a constructive approach to identity for the future. The identity that defines Precious exists because it is based on her life experience and not because it has been imposed by the social group she belongs to. The plurality of identity which we discover in Precious is based on agency. Once Precious is able to read, write and develop her thoughts we see how she is able to discern what is good or bad for her and her son.

Precious' story shows that wholeness can be achieved even after the most traumatic experiences one can imagine and that acknowledging the past is the foundation for a better future. By approaching concepts such as life experience, re-memory and agency, Sapphire has the remarkable merit of making the public aware of some of the problems affecting the African American community from within and which undoubtedly need addressing.

3. The Young, African-American, and Poor in Tayari Jones's *Leaving Atlanta* (Concepción Parrondo)

In this her first novel, Tayari Jones draws an insightful portrayal of young African American teenage life in which being weird or "too dark and outspoken" is not either attractive or self-fulfilling but rather a social reality most likely to leave an indelible mark on a person's life. Tasha, Rodney, and Octavia, the young protagonists of the story, will soon find out what they are up against: each seems to be "stuck" at a crossroad where categories such as generational differences, race, class, and peer pressure intertwine, unfold, and coil back creating a

¹ Brent Henze, "The Epistemological grounds for Agency in liberatory Political Projects", 238.

“suffocating” environment around them. This paper aims to illustrate the main differences in style between this first generation of contemporary African American female writers such as Toni Morrison, and a new generation, mainly Atlanta born, in the figure of Tayari Jones, centered on the concepts of re-memory, lived experiences, and agency. Lastly, the paper also casts light on the fact that today's African American society contains within itself underprivileged groups encased in social locations determined by the intersecting categories of class, race and age. It is, then, through this venue that we might only begin to fathom what it would be like to be a member of the marginalized.

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Neglected Genres and Neglected Voices in the 21st Century American West

Ángel Chaparro Sainz, David Río Raigadas, Juan Ignacio Guijarro González and Amaia
Ibarraran Vigalondo

Universidad del País Vasco – Euskal Herriko Unibertsitatea, Universidad del País Vasco –
Euskal Herriko Unibertsitatea, Universidad de Sevilla and Universidad del País Vasco –
Euskal Herriko Unibertsitatea.

angel.chaparro@ehu.es, david.rio@ehu.es, jiguijarro@us.es and amaia.ibarraran@ehu.es

Abstract

When “imagining” the American West as a composite milieu in which several aspects and different cultures combine to prevent from resorting to a limited perspective, literature has monopolized academic attention. Here, we propose the examination of a different body of creative work. In the American West, different communities have been neglected a proper voice. Those neglected voices did also rely on neglected genres to expose their messages and emotions, thus establishing a parallel between their own neglected voices and those neglected genres.

Keywords: The American West – Western American Literature – Cowboy Poetry – Minority Literature – Film Studies – Music.

The American West has been traditionally associated with images of conquer and individualism and conceived as a “state of mind” rather than a region. In fact, this perception is still the one pervading in the imagination of insiders and outsiders to the region (Steiner 11). New Western history condemned that romanticized and mythic perception and vindicated the use of critical features previously skipped: West’s urban actuality, the uncertainty of borders, the interplay of cultures, ecocriticism or silenced voices. These new headways lead Nicolas Witschi to conclude that “the American West is place” (2011: 4), but complex and manifold: “a dynamic region of ever-shifting demographic, geographic, and cultural indicators” (Witschi 2011: 4). Today, the American West is perceived as a region “in constant state of flux” (Steiner 1997: 17); one that still evokes traditional prejudices but that needs to be understood as a place in which the interaction of cultures proves to be a key element: “already transnational, a more routed and complex rendition, a traveling concept whose meanings move between cultures, crossing, bridging, and intruding simultaneously” (Campbell 2008: 4).

For many years, minor cultures were neglected. In the twentieth-century, attention was drawn to them. Literature monopolized academic attention when, in fact, “a wide array of genres have proven useful in imagining the West” (Witschi 2011: 7). These *neglected* voices relied on *neglected* genres.

A good example of those neglected genres is cowboy poetry, traditionally undervalued by mainstream literary criticism. Part of this neglect may be linked to what Barbara Barney Nelson calls the “orientalization” of the rural West: “we rural westerners are imagined as primitive, exotic, a dying culture, and in need of watching by more civilized eyes” (2011: 298). Popular notions about cowboy poetry have contributed to damage the literary status of this genre, overemphasizing the stereotyped image of the cowboy poet as a mere, often illiterate, folk entertainer. The definition of this genre remains elusive because of its hybrid original condition and its formal and thematic evolution. Many of the earliest poems were

anonymous in origin, but signed poetry began appearing in western newspapers during the 1870s. After its flourishing in the first half of the twentieth-century, the genre was relegated to a long period of oblivion until its rediscovery at the First National Cowboy Poetry Gathering in 1985. Since that date cowboy poetry has developed a significantly larger presence in western American literature. Recent cowboy poets experiment with meter and deal with the so-called “non-cowboy world”, including subjects such as racism, environmentalism, 9/11, and war. At the same time, neglected voices in cowboy poetry, such as those of women, Native Americans, Hispanic Americans, and Asian Americans, play a larger role, testifying to the increasing openness to diversity and multiculturalism of a genre traditionally identified with the icon of the male cowboy in a white rural western America.

Films have played an important role in shaping our perception of the American West. Recent performances, even beyond the *western* genre, purposefully revisit certain stereotypes that defined how the American West had been portrayed in movies. Spike Lee’s *25th Hour* (2002) is a good example. Rather forgotten only ten years after its release, this movie is commonly regarded as Hollywood’s first attempt to deal with the tragic events of September 11, 2001. This early response to a national trauma came from the most prominent African-American director in film history, an artist who has never shied away from controversial subjects. Lee creates a heartfelt elegy to New York City, focusing on the last day of freedom of a young Irish-American drug-dealer (Edward Norton) who is going to prison. The film was based on a novel by David Benioff published before 9/11. Lee altered the plot to fit his purpose. In a surprising move, the narrative closes with an extended sequence about the West: “arguably the finest achievement in Lee’s career to date (...) envisioning a utopia untainted by bygone errors and pregnant with the possibilities America offers for the free, unfettered spirit” (Skerrit 2007: 148).

The West, a geographical and mental space historically unreceptive to the African-American presence, is depicted by Lee as an idyllic territory, a vast and unexplored land which offers the protagonist a last chance to start a new life and reinvent himself as a true man of the West. In this final segment, Lee explores the classic myth of the West as a land for male pioneers to explore and inhabit. Obviously, he does add a few racial and gender markers to prove that he has overcome most traditional limitations. As a result, the ending of a markedly urban film like *25th Hour* functions as a unique African-American Neo Western (radically opposed to Quentin Tarantino’s recent and controversial *Django Unchained*), depicting a world which stands in stark contrast to the apocalyptic image of New York City in the post-9/11 days.

Finally, Chicano literature emerges as an emblematic example of how certain cultures in the American West have struggled to regain a proper visibility and voicing. That process was founded during the times of the Movimiento and it shaped the “new Chicano/a identity,” using a wide variety of high and low forms of cultural and artistic expression: from literature to murals and songs. The sociocultural situation of the community has undoubtedly changed, as well as the means of communication and contemporary ways of cultural production. Taking into account the growing velocity of the flow of transmission of ideas/ideals and concepts, when defining the contemporary definitions of “lo chicano,” it is mandatory to look at some of the most popular, accessible, and thus easy to consume, means of communication, entertainment, education, and eventually, identity construction/formation. In this context, a combined examination of the all-latino/chicano PBS TV serial *American Family* and the widely acclaimed *corrido* production of the binational, bicultural band Los Tigres del Norte portrays “lo chicano,” offers fresh conclusions on the existence and essence of such a concept.

A brief overview of the contemporary representations of “lo chicano/lo latino/lo mejicano” in these two artistic productions through the analysis of the characters and situations in the serial, and the lyrics of some *corridos* by Los Tigres del Norte, offers

conclusions about a lower need of identification with a fixed, politically charged definition or group affiliation. The communal is less demanded and quested than some decades ago. The new modes of popular artistic production should now be regarded as one of the more real and valid sources for the understanding of the status of a community, because, “la cultura popular son los hechos reales,” paraphrasing Los Tigres del Norte, who state that “Los corridos son los hechos reales de nuestro pueblo... y en ellos se canta la pura verdad” (Los Tigres del Norte).

In conclusion, this triple approximation unveils that those neglected voices establish a parallel between their own neglected voices and those neglected genres. The combination of these extremes leads to an even more complicated reality. New and powerful conclusions can be addressed to show how the bridging of cultures and the merging of genres take us closer to a better understanding of the American West.

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Challenging masculinity and femininity in recent Anglophone texts: an insight into how literature and film are looking at gender abuse

Beatriz Domínguez García, Elena Jaime de Pablos, Auxiliadora Pérez Vides, and M^a Isabel Romero Ruíz
University of Huelva, and University of Málaga
beat@dfing.uhu.es, mjaime@ual.es, mariaaa.perez@dfing.uhu.es, mirr@uma.es

Abstract

This round table debated the preliminary results of our Research Project (FEM2O10-18142) by exploring some of the ways that heteronormativity and the human body as its locus is being challenged in contemporary literature and film. It also exemplified how the repression of sexuality, and the human body, is being subverted by exposing gender violence and abuse—in some texts—and by reclaiming new sexualities—in some others—. Each panellist focused on an example from the cultural products of the British Isles and the United States in which instances of gender and sexual abuse are being exposed and subverted at the same time that notions of the sexual body are changing our conceptualization of masculine and feminine identities.

Keywords: female body, sexuality, repression.

Women's sexual repression in Ireland has been epitomised in the system of Magdalene Laundries. Run by religious congregations and operating from the early XX century until the 1990s, these centres confined so-called "fallen women", usually for life, in order to avoid social stigmatization and further depravation. As part of their penitence, within the laundries the Magdalenes' bodies became the target of additional repression, with physical exploitation and sexual molestation being also rather common there. For a long time, much of the Irish population decided to ignore the existence of such places and what had been happening in them. However, in the last decades, a wave of adult survivor memoirs, historical accounts, critical approaches and artistic representations of these events have brought to light the terror regime suffered by the inmates. These cultural products have exposed a nation-wide conspiracy of silence while also interrogating the extent to which society, the Church and the State bear or not different degrees of responsibility for the perpetuation of such system. Several committees, associations and projects have been set up in order to shed some light on the actual events, achieve redress for the victims and restore social justice.

Two of the most engaging texts that portray this repressive ethos of female corporeality in Ireland's Magdalen Laundries are Peter Mullan's *The Magdalen Sisters* (2002) and Aisling Walsh's *Sinners* (2002). The two films offer a comprehensive outlook on the premises for which women were consigned to Magdalene laundries and the kind of reality that they lived there. The directors highlight the terrorization and abuse endured, with the description of several forms of psychological intimidation and battering on the part of the nuns. Thus, I argue, they coincide in depicting the Magdalenes' bodies as the physical archives whereby the nation's cultural anxieties were expiated. Yet, in line with the current trend of renegotiations of those traumatic moments of Ireland's recent past, these filmic texts become liberating expressions of that repression as the victimized female body is finally brought to a broad public space of analysis and critique.

Sarah Waters's *Affinity* (1999) is an example of a Neo-Victorian novel which tries to claim lesbian women's agency through two typically Victorian settings, the prison and the séance. The protagonists, Selina and Margaret, besides being lesbians, are spinsters and criminals. In particular, Selina was a medium and Margaret was a hysterical woman; both were deviant for middle-class standards, but, in their own way, both succeeded in subverting Victorian social and medical discourses in connection with the containment and regulation of the female sex. Notions of female surveillance come to the fore in a Foucauldian sense in relation to the female wards of Millbank prison, which was designed following Jeremy Bentham's *Panopticon*, and to the middle-class home, which was the place of confinement of women per excellence. Both settings allowed the supervision of female behaviour through the gaze, but the protagonists succeed in redirecting that gaze to gain agency and take control of their lives.

Affinity is a gothic novel where lesbian sexuality is presented as a kind of ghostly presence which is haunting the Victorian culture, where lesbianism simply does not exist, although its presence was suspected (Llewellyn 2004: 210-211). Spiritualism becomes a metaphor for lesbian sexuality, although lesbian desire materializes in certain moments. However, Waters resorts to heterosexual patterns of behaviour to describe lesbian sexual activity, which, I infer, presupposes the recognition of the prevalence of heteronormative modes of sexual patterns in our contemporary societies.

The role of the maid, Ruth Vigers, in the accomplishment of lesbian agency is essential to the plot, and Waters makes use of one of the prerogatives of the Neo-Victorian genre which is to give voice to those who were marginalised in the past. As a servant, she remains silent throughout the novel, but she is the one who controls and manipulates the lesbian gaze in her own benefit and the one who has the last word: "Remember [...] whose girl you are" (Waters 1999: 352). She is the one who is given the power and who subverts patriarchal control, fulfilling lesbian desire. However, Margaret encouraged by ghostly transgressions also betrays her sexual attraction for Selina while simultaneously becoming a ghostly figure herself: "My flesh is streaming from me. I am becoming my own ghost! I think I will haunt this room, when I start my new life" (Waters 1999: 389). She makes her own plans to start a new life with Selina in Italy, but her evolution is inextricably linked to the apparitional metaphor and she cannot eventually cross over to the real world. Although the resolution of the narrative is not positive for Margaret because she realises that lesbian love is not always rewarding like heterosexual love, and she cannot come out in the end because of her class, she eventually exerts agency by deciding to put an end to her life (Llewellyn 2007: 200-201). She asserts her lesbian nature choosing not to live as a spinster and a hysteric, because of her unconventional behaviour (Macpherson 2004: 218-219).

It is interesting to point out the literary representation of child sexual abuse and its psychological and psychical consequences in Irish contemporary narrative. Particular attention has been drawn to the way in which the bodies of victims of incest in Ireland are conceived by themselves, by their sexual offenders, and, in a more general sense, by Irish society in two novels: *Down by the River* by Edna O'Brien and *The Invisible Worm* by Jennifer Johnston, and one short story: "The Parting Gift" by Claire Keegan.

The protagonists of these three narratives are raped and forced to fellatio by their own fathers, who, benefiting from a patriarchal prerogative, regard them as properties to use at will. Edna O'Brien, Jennifer Johnston, and Claire Keegan provide their readers with intensely graphic representations of incest. They tend to follow a pattern: first, they depict the place and circumstances in which the sexual abuse takes place; second, they show the protagonist's fear and impotence when her father is approaching her; third, they portray the victim's sense of pain and of self splitting when being sexually assaulted; her conviction of having lost something irretrievable in the act, and finally, they describe the way the girl falls into a state

of trauma with devastating psychological and psychical effects. Due to their sense of alienation, of loss of love, of wound, the protagonists enter into a state of withdrawal in which they take refuge in grief, isolation, silence and inaction. Kristeva calls it “melancholia”: “an abyss of sorrow, a noncommunicable grief that [...] lays claims upon [a person] to the extent of having [his-her] lose all interest in words, actions, and even life itself” (Kristeva 1989: 3). Their melancholic attitude separates them from what seems to be “the normal category of normal people” (Kristeva 1989: 3-4). For “normal people”, these girls become objects, defined by Kristeva as that that “disturbs identity, system, order. What does not respect borders, positions, rules” and therefore must be rejected (Kristeva 1982: 4).

Abused by their fathers, neglected by their mothers, and rejected by society, the protagonists of these three narratives must work hard to overcome their traumatic experiences and become, what Julia Kristeva calls, “subjects-in-process”, people who are able to give a turn to their lives in order to experience a rebirth. By bringing father-daughter incest into the surface, recognizing its very existence and promoting debate over its causes and tragic consequences on the public arena, Edna O’Brien, Jennifer Johnston, and Claire Keegan aim at putting an end to it.

In her latest novels, which could be analysed as belonging to the genre of detection, Kate Atkinson is still portraying a social view of women's bodies which are constantly abused. In fact, the victimization of women introduced in Atkinson's second, *One Good Turn* (2006), and fourth Jackson Brodie's novels, *Started Early, Took My Dog* (2010), reflects the existence of a discourse which still presents the repression of female sexual identities. Moreover, both novels deal with prostitution as the particular place where these issues appear. Analyzing these texts together with Pierre Morel's film *Taken* (2008) and Mabel Lozano's *Voces (contra la trata de mujeres)* (2007) seems to clarify the appropriation of the female body and female sexuality within the victims of sexual trafficking in contemporary society.

These texts can be read together with Foucault's notions of heteronormativity and Kristeva's definition of abjection to explore how the female corpses of the murder victims are represented within a still dominating patriarchal system which punishes female sexual agency. At the same time, Bakhtin's distinctions between classic and grotesque bodies could be used to show how the female corpse is transformed into a grotesque body with repels because of its mortality and the violence suffered. Thus, a new classification, the “prostituted” body, seems to be necessary to explain the symbols and images used in these texts.

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Hispanic Influence in Denise Levertov's Poetics and Poetry

Cristina M. Gámez-Fernández, Anne Day Dewey, and José Manuel Rodríguez Herrera
University of Córdoba, Saint Louis University at Madrid, and University of Las Palmas de
Gran Canaria

cristina.gamez@uco.es, adewey@slu.edu, jrodriguez@dfm.ulpgc.es

Abstract

While most scholarship has focused on Levertov's European and US influences, her turn to Hispanic literature at crucial moments of poetic redefinition has gone relatively unnoticed. Analyzing the influence of Hispanic literature in Levertov's work opens the Europe-America binary outlined by Paul Giles on her transnationality into a triangle, shedding new light on these terms. This round table argued the centrality of Hispanic culture and language as a crucial, underexplored counterpoint to European and US influences in Levertov's poetic maturation from three different yet complementary perspectives: the role of the Mexican landscape in Levertov's becoming an American poet and her return to this landscape to reflect on her mother's death and visionary legacy; Levertov's attraction to Pablo Neruda's poetry and incorporation of Neruda's political views into her political poetry; and the unexplored range of Levertov's engagement with Hispanic authors based on extensive unpublished manuscripts.

Keywords: Denise Levertov, transnational poetics, Hispanic influence, Mexican landscape, Pablo Neruda.

Paul Giles argues that the fusion of European and American influences in Levertov's mature poetry questions belief in a natural connection between culture and place. Because Levertov often associates Europe with her childhood and literary tradition and the US with the present, her poetry blends these worlds in "a 'magical' transposition of past and present," "a transatlantic circuit linked by the disjunctive juxtapositions of surrealism" (2004: 39). Anne Day Dewey contended that Mexico as a place of exile in her 1978 *Life in the Forest* is central to Levertov's development of her poetics. While Giles' transatlantic circuit captures the beauty of Levertov's infusion of memory and artistic vision into the concrete presence of location, Mexico forms a significant though less fully developed site informing her poetics and introducing a third term into the Europe-US binary. Levertov's poems on the death of her mother, who moved to Mexico in January 1956 and stayed on 20 years in Oaxaca, portray Mexico as a place of exile, revealing the intense alienation underlying the magical synthesis of her later poetry. Coping with her mother's death in a sequence of poems in the volume, Levertov mourns the loss of an organic bond between motherland and mother tongue, the loss of a vital connection with her mother as the source of her poetic vision and language: "It was she / who taught me to look; / to name the flowers when I was still close to the ground" (24). The Mexican landscape figures prominently in these poems as a land inherently hostile and indifferent to human being—impoverished, ruled by "old gods" (33) who demand human sacrifice, challenging the romantic idea of the poet's bond to natural place as a source of poetic vision.

In comparing her mother's physical decline to the destruction of her untended garden by hostile nature and encroaching neighbors, Levertov recognizes the individual's tenuous, provisional hold on place. While the garden is art that domesticates nature, realizing artistic

vision in natural place and harmonizing culture and nature, Levertov's mother's 20 years of labor is destroyed in a few weeks, revealing her feeling of rootedness and belonging to be mere illusion. Unable to express her grief, she takes refuge in the impersonal demeanor of her nurse's training, reducing care for her mother to medical efforts to stave off her body's decay. Levertov's rejection of this alien body extends to revulsion against Mexico, rendering her mother's home and neighbors—once like family—"alien, deeply alien" and producing a panicked need to escape: "I gotta get outta here" (26).

The opening poem in the sequence, "A Mystery (Oaxaca, Mexico)", develops the emotional impoverishment produced by wandering. The poem portrays Mexico as the province of both the hostile "old gods" and a degraded tourist market that rends an idealized, organic fabric of cultural production as one with natural. In this alien place, the serape seller provides a figure of the artist as weary wanderer struggling to preserve a home in a land that never lets him rest. His success, by being identified as a seller rather than a maker of serapes, depends on charming tourists. The odd narrative perspective of this poem suggests Levertov's ambivalent identification with the serape seller. The narrator, focusing on this figure through an indirect free discourse ventriloquizing the serape seller's thoughts on the scene, occupies the position of a marginal observer and at the same time intensifies the isolation and alienation of the artist in this place of exile.

José Rodríguez Herrera examined the influence of Pablo Neruda in Levertov's political poetry. When Levertov published her first antiwar poems amidst the maelstrom of the Vietnam War, many literary critics and fellow poets who had praised her work criticized her harshly. For example, Roberta Berke, rebuked Levertov for abandoning her Neoromantic lyricism and misusing her lines as a vehicle for political concerns. Deeply influenced by Neruda, Levertov firmly believed that ethics and aesthetics could be conjoined in the poem. Her essay "On the Edge of Darkness: What is Political Poetry" cites William Carlos Williams: "the altered structure of the inevitable revolution must be *in* the poem, in it. Made of it. It must shine in the structural body of it . . ." (Levertov 1971: 127). Such union must be achieved through "conjunctions" of song with "patient courage" (1987: 189). Levertov echoes Neruda's slogan "Revolution or death" toward the end of "Relearning the Alphabet" (1987) to imply a Nerudian revolutionary love that reaches out to other creatures and imagines them in their suffering, a revolution that wants to transform itself into a (r)evolution, to move toward "continuance: into / that life beyond the dead-end" (1981: 98). Neruda's influence on Levertov's political poetry becomes evident in fusing the "lyrical" and "polemic".

Cristina M. Gámez-Fernández looked into Levertov's interest in Hispanic history, politics, culture and literature through materials in Stanford University's Archives. Levertov recalls her family following the Republicans' fate in the Spanish Civil War through radio broadcasts in her interviews (Estess 1998: 89). These interviews also show that her education at home was greatly shaped by her mother's literary favorites (Andre 1998: 52). The collection holds a notebook full of translations from Spanish poets made by her mother: Lope de Vega, Jorge Manrique, Francisco de la Torre, Luis de Góngora, Francisco de Quevedo, José Somoza, José Espronceda or Juan Ramón Jiménez. Mexican writers such as Salvador Díaz Mirón, Manuel Gutiérrez Nájera, Manuel Acuña, Manuel Navarrete, Sor Juana Inés de la Cruz are also translated from Guillermo Jiménez's 1947 anthology, *Los más bellos poemas de amor*.

Levertov's two-year period in Mexico (1956-1958) is portrayed in her letters to Williams, in which she enclosed poems written there and explained the events that inspired her to write them, seeking his guidance and advice. In such correspondence, she states: "I don't speak much Spanish yet but I have been reading some, with a dictionary" (MacGowan 1998: 33).

Levertov's attraction for Spanish literature is wide, as shown by her unpublished translations. The Spanish texts include: "Villancico a la Virgen" by Lope de Vega; Rima no. 73 by Gustavo Adolfo Bécquer; Unamuno's "Junto a la laguna del Cristo en la Aldehuela de Yeltes, una noche de luna llena"; Lorca's "El canto quiere ser luz" and "Arlequín"; Machado's "Canción de mozas", his poem no. 88 from *Galerías*, and his famous "La Tierra de Alvargonzález"; and Pedro Salinas's "Orilla". She also wrote on the poet's vision in 1956 by focusing on Gerardo Diego's poetics. Yet Levertov was also interested in Central & South American poets like the Uruguayan Mario Benedetti's "Kindergarten", Daisy Zamora's "La Mesera (I)" and "La Mesera (II)"; Rubén Darío's poems "Allá Lejos", "Sinfonía en Gris Mayor", "Poema Estival", "Del trópico" and "Tarde de trópico"; and Alfonso Reyes' "Fantasía del viaje" and "Tregua Espontánea".

Levertov's scarce published translations of Hispanic authors are of difficult access nowadays. Lope de Vega's "¿Qué tengo yo que mi amistad procuras?" (1961), Antonio Machado's "In Clear Lines" and "Olives" (1963), Juan García Ponce's short story "Tajimara" (1964), Nicanor Parra's "Women" and "Letters to an Unknown Woman" (1966 & 1967) reveal Levertov's ongoing interest after she moved back to the US in 1958. However, her epistolary relationship with Octavio Paz and her published translations of his "The Endless Instant", "Hymn among the Ruins", "Salamander", "Is there no way out?", and "Duration" would be much benefited from an in-depth scholarly approach.

This round table argued the centrality of Hispanic culture and language as a crucial yet underexplored counterpoint to European and US influences in Levertov's poetic maturation which deserve more attention from the academia.

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Some insights into longitudinal EFL written development under CLIL provision: Holistic assessment of language gains and attrition

Maria Juan-Garau¹, Joana Salazar-Noguera¹ and Maria Gené-Gil¹

¹Universitat de les Illes Balears

maria.juan@uib.edu

Abstract

This paper presents longitudinal results on the development of EFL writing in secondary education CLIL learners and their non-CLIL counterparts in the Balearic Islands, an under-researched field. Written compositions of EFL learners (N=33) are analysed by means of holistic assessment (rating content, organisation, vocabulary, language use and mechanics) at three data collection times over a three-year period. At T1-T2, participants are a group of CLIL learners and a group of comparable non-CLIL students. At T3, participants are three groups of EFL learners (i.e. non-CLIL, CLIL-2 and CLIL-3), since part of the T1-T2 CLIL pupils stopped receiving CLIL at the end of T2. Results show significant differences in overall written competence for CLIL learners along T1 and T2 and also between CLIL and non-CLIL learners to the advantage of the former. At T3, language gains are maintained and no sign of language attrition is observed for the CLIL-2 group.

Keywords: CLIL, EFL, writing, holistic assessment, language gains, language attrition

1. Introduction

European educational systems are attaching increasing importance to foreign language learning, since it is necessary to educate multilingual citizens in a context where the linguistic consequences of globalization are progressively more evident (Lasagabaster 2008). In this scenario the implementation of Content and Language Integrated Learning (CLIL) is becoming commonplace throughout Europe, as this semi-immersion approach is believed to significantly improve language performance in the target language without devoting extra time to its teaching.

Despite the existence of publications describing successful pilot CLIL experiences and the fact that research in CLIL has gathered momentum over the last years, more fine-grained studies on the effects of CLIL over foreign language competence are needed. Moreover, writing has received lesser attention than other language skills, its role in CLIL contexts has been largely unrecognized (Llinares, Morton and Whittaker 2012), and findings in this field are not definite (Ruiz de Zarobe 2010).

Thus, the present paper makes a contribution in this direction by presenting results on the longitudinal development of writing in English as a foreign language (EFL) by secondary education CLIL learners and their non-CLIL counterparts in the Balearic Islands. Additionally, we shed some light upon an under-researched area (Roquet 2011): the extent to which the effects of CLIL instruction over written competence (if any) are long-lasting.

2. Literature review

Dalton-Puffer (2008) summarizes the overall findings of CLIL research on learning outcomes by pointing out the areas of language competence that seem to benefit from CLIL and those that remain unaffected (see Table 1).

Favourably affected by CLIL	Unaffected or indefinite
Receptive skills	Syntax
Vocabulary	Writing
Morphology	Informal and non-technical language
Creativity, risk-taking, fluency, quantity	Pronunciation
Emotive and affective elements	Pragmatics

Table 1. Language competencies favourably affected by CLIL. Source: Dalton-Puffer (2008)

Results in writing are contradictory. While some studies suggest the existence of limited progress regarding writing both in CLIL and non-CLIL classrooms (Vollmer et al. 2006), others seem to confirm the benefits of CLIL on written competence. In line with the latter, in a study comparing overall linguistic proficiency of secondary CLIL learners with their non-CLIL counterparts, Lasagabaster (2008) found that CLIL learners scored significantly higher in all the scales of holistic assessment measuring writing skills, and that CLIL students surpassed older non-CLIL counterparts. Likewise, Ruiz de Zarobe (2010) focussed on written production under CLIL provision using a comparable approach and reached similar conclusions, but she found statistically significant differences only in content and vocabulary in favour of the CLIL group. According to Roquet (2011), who investigated the acquisition of EFL comparing CLIL and non-CLIL pupils, CLIL learners did significantly better in the written sub-competence of accuracy, but not in complexity or fluency when rated through analytical tools. However, when using qualitative measures, the CLIL group consistently tended to write better organized, more accurate, lexically richer and more purposeful compositions. Finally, it is worth mentioning Klampfl's (2010) study evaluating writing proficiency with regard to lexis (vocabulary range and related error categories). Her results stated that CLIL students outperformed their non-CLIL counterparts in different aspects of writing proficiency, such as lexical variation.

3. Method

3.1 Setting: the European Sections Programme in the Balearic Islands

The Balearic Islands are an officially Catalan-Spanish bilingual community located in north-eastern Spain. In the Balearic Islands CLIL programmes are called "European Sections" and were first implemented experimentally in 2004-2005. In a European Section a non-linguistic subject is taught through a foreign language following CLIL methodology (Borrull et al. 2008). The European Sections Programme has increased considerably year after year regarding the educational levels covered and the number of schools that have applied this approach (Pérez-Vidal and Juan-Garau 2010).

3.2 Participants

Participants in this research are a total of 33 Spanish-Catalan bilingual learners enrolled in three state-run high schools in the Balearic Islands, who have been grouped according to the type of instruction received at the three research times (covering three grades of Compulsory Secondary Education, CSE). One group of learners (N=10; CLIL-2) received three hours a

week of EFL instruction during the three grades and the same amount of weekly hours of a CLIL subject throughout the first two grades; a second group of pupils (N=10; CLIL-3) received three hours a week of a CLIL subject plus three hours a week of EFL during the three grades; and finally, a third group of students (N=13; non-CLIL group) received only three hours a week of EFL during the three school years (see Table 2 below).

	T1			T2			T3		
	Instruction in English (h/week)	Grade	Age	Instruction in English (h/week)	Grade	Age	Instruction in English (h/week)	Grade	Age
CLIL-2 (N=10)	3 CLIL + 3 EFL	2 nd CSE (start)	12-13	3 CLIL + 3 EFL	3 rd CSE (end)	14-15	3 EFL	4 th CSE (end)	15-16
CLIL-3 (N=10)							3 CLIL + 3 EFL		
Non-CLIL (N=13)	3 EFL			3 EFL			3 EFL		

Table 2. Overview of participants and research times in the study

T1 was the onset of data gathering and the moment when the CLIL students started to receive a CLIL subject (i.e. Science or Social Science) –the beginning of the 2nd grade of CSE.¹ T2 data gathering was conducted at the end of the 3rd grade of CSE (i.e. one year and nine months after T1). Finally, T3 corresponds to the last grade of CSE and data were collected at the end of this school year (i.e. one year after T2). For the purposes of this study, CLIL-2 and CLIL-3 students are considered CLIL groups at T1 and T2, as they received the same amount of CLIL and EFL instruction at these data collection times.

3.3 Data gathering and analysis

Data were elicited by asking students to write a 25-minute composition at every data collection time. Learners were requested to write a mail to an English speaking friend telling him/her about a film they had recently seen (including title, storyline, time, characters and personal opinion) and what they had done afterwards. This type of composition was chosen because it is a task typically practised in EFL classrooms.

Once transcribed, the compositions were rated by the authors of this paper using holistic assessment, as it enabled us to account for some features that are not captured by analytical measures, such as adequacy of the content. Furthermore, the holistic approach is not only “the most common way of measuring written proficiency among EFL teachers” (Roquet 2011: 142), but it has also been used in EFL and CLIL research (see, e.g., Lasagabaster 2008; Ruiz de Zarobe 2010; Roquet 2011).

The ESL Composition Profile, a holistic approach developed by Jacobs et al. (1981), was used here to obtain an overall account of the students’ written competence (measured as the total score of the five scales described below):

1. Content (development of the topic, task fulfilment and adequacy of the content of the text) – 30-27: excellent to very good, 26-22: good to average, 21-17: fair to poor, and 16-13: very poor.

¹ Data were also collected at the end of the 2nd grade of CSE, but are not reported on in this paper.

2. Organization (structure, cohesion and clarity of exposition of the paragraphs and ideas) – 20-18: excellent to very good, 17-14: good to average, 13-10: fair to poor, and 9-7: very poor.
3. Vocabulary (selection of lexis and expressions and their usage) – 20-18: excellent to very good, 17-14: good to average, 13-10: fair to poor, and 9-7: very poor.
4. Language use (morphosyntax) – 25-22: excellent to very good, 21-18: good to average, 17-11: fair to poor, and 10-5: very poor.
5. Mechanics (conventions, such as spelling, capitalization and punctuation) – 5: excellent to very good, 4: good to average, 3: fair to poor, and 2: very poor.

3.4 Objectives of this paper and research questions

The general objective of this paper is to unfold gains and attrition in written competence in EFL during and after a period of CLIL provision compared to those under traditional EFL only. This general objective will be pursued through a twofold goal: on the one hand, by analyzing the longitudinal development of written competence of CLIL students compared to non-CLIL learners and, on the other, by shedding some light upon the extent to which the effects of CLIL instruction on written competence (if any) are long-lasting (i.e. twelve months after having received a two-year CLIL treatment). To that end, the following research questions are addressed:

1. Do CLIL pupils attain better written performance longitudinally, compared to non-CLIL learners? How does CLIL and non-CLIL students' written performance compare when hours of exposure to the target language are kept constant?
2. How does the CLIL-2 group perform at T3 compared to CLIL-3 and non-CLIL students?

4. Results and discussion

4.1 Do CLIL pupils attain better written performance longitudinally, compared to non-CLIL learners?

There were not significant differences in written performance between the CLIL and the non-CLIL groups at the onset (T1). Nevertheless, between T1 and T2, CLIL learners improved significantly in all the scales (except for mechanics, in which the improvement was not significant)² as well as in the total score (see Table 3).

	T1	T2	
Content	19.3	21.85	*
Organization	13.2	15.95	**
Vocabulary	13.75	16	**
Language use	14.75	17.65	**
Mechanics	3.15	3.3	
Total score	64.15	74.75	**

Table 3. Longitudinal development of written competence (T1-T2) for the CLIL group

² For significance of means difference, we conducted either paired samples or independent samples *t* tests using the 0.05 significance level.

By contrast, non-CLIL students did not attain significant improved performance in any of the scales, as shown in Table 4.

	T1	T2
Content	18.92	17.92
Organization	11.54	11.69
Vocabulary	11.92	12.15
Language use	12.46	12.85
Mechanics	3	2.92
Total score	57.84	57.54

Table 4. Longitudinal development of written competence (T1-T2) for the non-CLIL group

When comparing the two groups at T2, significant differences could be observed in most categories rated in favour of CLIL learners, as depicted in Table 5.

	Non-CLIL	CLIL	
Content	17.92	21.85	* ³
Organization	11.69	15.95	**
Vocabulary	12.15	16	**
Language use	12.84	17.65	**
Mechanics	2.92	3.3	
Total score	57.53	74.75	**

Table 5. Comparison of the written competence attained by non-CLIL and CLIL students at T2

These longitudinal findings are partially in line with those by Ruiz de Zarobe (2010), since in our study CLIL students outperformed the non-CLIL group in almost every measure analyzed whereas she only found significant differences in content and vocabulary. Lasagabaster (2008) found very similar results to ours in the sense that CLIL students were better than non-CLIL learner in overall linguistic written performance.

4.1.1 How does CLIL and non-CLIL students' written performance compare when hours of exposure to the target language are kept constant?

As shown in Table 6 below, CLIL students at T2 significantly outstripped non-CLIL pupils at T3 in overall written competence as well as in each of the five categories rated. This finding is in line with Ruiz de Zarobe (2010) and it might be a piece of evidence towards revealing that language improvement under CLIL provision may not be so only by virtue of the semi-immersion approach having more hours of exposure to the target language.

	T2	T3	
	CLIL	Non-CLIL	
Content	21.85	17.69	**
Organization	15.95	12	**
Vocabulary	16	13.15	*

³ One asterisk (*) refers to statistically significant differences ($p < 0.05$), while two asterisks (**) stand for statistically highly significant differences ($p < 0.001$).

Language use	17.65	13	**
Mechanics	3.3	2.69	*
Total score	74.75	58.54	**

Table 6. Comparison of the written competence attained by CLIL and non-CLIL students –T2 vs. T3

4.2 How does the CLIL-2 group perform at T3 compared to CLIL-3 and non-CLIL pupils?

As depicted in Table 7, the performance at T3 for the CLIL-2 group did not show any significant difference compared to that at T2, with some of the scales being slightly improved and others decreasing slightly. No sign of language attrition was observed for the CLIL-2 group twelve months after having received two-year instruction within the CLIL programme. Longitudinal progress between T2 and T3 for CLIL-3 and non-CLIL groups was very similar to that reported for CLIL-2 students.

	T2	T3	T2	T3	T2	T3
	CLIL-3		CLIL-2		Non-CLIL	
Content	23.6	21.8	20.1	19.7	17.92	17.69
Organization	16.9	16.9	15	14.2	11.69	12
Vocabulary	16.7	16.9	15.3	15.8	12.15	13.15
Language use	18.7	19.3	16.6	16.6	12.84	13
Mechanics	3.7	3.9	2.9	3.3	2.92	2.69
Total score	79.6	78.8	69.9	69.6	57.53	58.54

Table 7. Longitudinal development of written competence (T2-T3) for the three groups of learners

5. Conclusions

Although the sample is small and thus our results must be interpreted with caution, our findings seem to suggest that CLIL offers a more successful approach to EFL overall written development than traditional EFL instruction. In that sense, greater gains in EFL writing were attained by students during the first two years of CLIL treatment, both longitudinally and when compared to their non-CLIL counterparts –especially in organization, vocabulary, language use and overall performance. Language gains in learners’ written competence appeared to be maintained twelve months after having received two-year instruction through the CLIL approach, which seems to confirm that CLIL benefits on written development are somehow long-lasting.

6. Acknowledgements

Our gratitude goes to the Spanish Ministry of Science and Innovation for their funding (FFI 2010-21483-C02-01/02) and to the competitive research group ALLENCAM, funded by the Catalan Government (SGR2005-01086/2009-140). Thanks are also due to all the students and teachers who so kindly participated in data collection sessions. We additionally acknowledge our fellow researchers and research assistants, who helped to administer and transcribe the compositions.

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The Lost Female Tradition II: Predecessors, Contemporaries and Successors of James Joyce in Irish Writing

María Jesús Lorenzo Modia, José María Tejedor Cabrera, José Manuel Estévez-Saá and
Margarita Estévez-Saá

University of A Coruña, University of Seville, University of A Coruña and University of
Santiago de Compostela

mlorenzomodia@udc.es, jtejedor@us.es, jose.manuel.estevez.saa@udc.es,
margarita.estevez.saa@usc.es

Abstract

The purpose of this round table was to share the initial results of the research project “The Lost Female Tradition: Predecessors, Contemporaries and Successors of James Joyce in Irish Writing” (FEM2010-16897). This was the second part of a previous round table, in which we presented the objectives, hypothesis and methodology of the project. On this occasion, we focused on academic results. Therefore, the members of the round table explained the thematic and formal features of texts by Irish women writers that have clearly influenced James Joyce’s literary production, as well as the impact of the great Irish genius on the work of Irish women writers who came after him. Maria Edgeworth, Sydney Owenson (Lady Morgan), Somerville and Ross, Julia O’Faolain and Emma Donoghue were some of the authors whose literary output was assessed with James Joyce’s figure and work as referents.

Keywords: James Joyce, gender studies, Irish literature, Maria Edgeworth, Sydney Owenson (Lady Morgan), Somerville and Ross, Julia O’Faolain, Emma Donoghue

The purpose of this round table is to present the initial results of the research project “The Lost Female Tradition: Predecessors, Contemporaries and Successors of James Joyce in Irish Writing” (FEM2010-16897).

As we exposed in a previous round table, our main aim is to outline a lost tradition of Irish women’s writing in the English language, whose origin can be traced to the first half of the nineteenth century, a tradition which has influenced and has been influenced by the figure and work of the Irish writer, James Joyce, something which is our intention to demonstrate. The significance of these writers with regards to Joyce’s work has not been studied before, in spite of the fact that female predecessors are mentioned in his fiction, private letters and critical essays; it is known that Joyce had many contacts with some contemporary women writers; and, above all, that later female novelists, poets and dramatists paid homage to him as their literary forerunner.

It is our intention to study the connections between a series of Irish women writers and Joyce so as to do justice to those among them who were ahead of their time on a formal level or as regards the content of their works. Literary critics have not always recognised women’s contribution to Irish literature due to some prejudices and critical stances which are erroneous in our opinion, namely the unfounded consideration that Irish women writers have opted for conservative non-experimental forms and have dealt with the private sphere of experience.

In the case of those Irish women writers who came after Joyce, little has been done with regards to a fair assessment of their formal and thematic contribution to the history of Irish literature, and comparisons with the Irish genius have been avoided, probably due to the late critical appraisal of their contribution to Irish literature (basically from the 1990s onwards)

and, above all, because of the still on-going debate that separates critics who see Joyce as a misogynist author from others who signal his interest for gender studies and go as far as to interpret his aesthetics as representative of “écriture féminine”.

Our project intends to be a contribution to the rewriting of the history of Irish literature written by women and to dismantle critical prejudices towards it which have led to its being undervalued thematically and formally. Our research will also mean an advance in Joycean studies, since his work has not yet been analysed in relation to the literary output of Irish women writers.

On this occasion, the chair of the round table, Margarita Estévez-Saá recalled briefly the objectives, hypothesis and methodology of the research project. The first and second speakers referred to the interest of taking into account the formal and aesthetic contribution of nineteenth-century Irish women writers and their more than plausible influence on Joyce’s work, exemplifying it very briefly with Maria Edgeworth and Sydney Owenson (María Jesús Lorenzo Modia) and Somerville and Rose (José María Tejedor Cabrera).

The third and fourth speakers succinctly indicated how twentieth- and twenty-first-century Irish women writers allude to Joyce’s contribution to Irish literature, how we detect his influence on their works and how critics have avoided linking their production to the work of Joyce due to certain prejudices that have not favoured a fair evaluation of Irish women writers’ technical mastery and innovative aesthetics. The twentieth- and twenty-first-centuries was illustrated with the cases of Julia O’Faolain (José Manuel Estévez-Saá) and Emma Donoghue (Margarita Estévez-Saá).

In this year’s presentation mainly two women writers were used as antecedents of James Joyce’s fiction. María Jesús Lorenzo Modia studied how whereas Maria Edgeworth’s *Castle Rackrent* (1800) may antedate Joyce in her early use of stream of consciousness narrative techniques, Sydney Owenson’s (Lady Morgan) *The Wild Irish Girl* (1806) could be impaired with the twentieth-century novelist due to her particular use of allusion, and her highly conscious style –full of polyglottal terms, and various linguistic registers. James Joyce’s characteristic connection between Celtic ethnicity and Greek culture and literature were also clearly traced in Lady Morgan’s narrative texts.

José María Tejedor Cabrera analysed the contribution to Irish literature by the Anglo-Irish Edith Somerville and Martin Rose, reviewing seven of their novels to argue that while the early ones (*An Irish Cousin: An Experiment* [1889], *The Real Charlotte* [1894] and *Some Experiences of an Irish R. M.* [1899]) may exemplify gender identity subversions and the adaptation of different styles and of diverse narrative perspectives as points in common with Joyce’s works, their later work (as exemplified in *All on the Irish Shore* [1903], *Further Experiences of an Irish R.M.* [1908], *In Mr Knox’s Country* [1915] and *Mount Music* [1919]) becomes surprisingly more conservative in form and content, perhaps in an attempt to imitate successful contemporary male writers.

José Manuel Estévez-Saá offered an example of Joyce’s influence in twentieth-century Irish women writers focusing on the figure of Julia O’Faolain and on first novel, *Godded and Codded* (1970). He demonstrated how O’Faolain’s portrait of two aspiring artists in Paris should be related to Joyce’s portrait of young artist Stephen Dedalus both in *A Portrait of the Artist as a Young Man* and in *Ulysses*. He analysed thematic and formal concomitances but, above all, the similar ironic distance adopted by the two Irish writers in relation to their country and, most prominently, to their young protagonists.

Emma Donoghue’s novel *Hood* (1995) was studied by Margarita Estévez-Saá, who assessed the thematic and aesthetic implications of Donoghue’s rewriting of Joyce’s *Ulysses* and of her intertextual dialogue with both Homer and Joyce.

The Chair concluded the session pointing out twenty-first-century works by Irish women writers in which Joyce's name and work is evoked. Very recent examples, such as the novel by Christine Dwyer Hickey, *The Cold Eye of Heaven* (2011) and Claire Kilroy, *The Devil I Know* (2012) were pointed out as two works in which Joyce's portrait of Dublin and of the Dubliners is evoked (Hickey) and the influence of Joyce's aesthetics can be appreciated (Kilroy).

The round table intended to share our project with the audience, to exchange opinions with our colleagues, to advance the first results of our work in progress, and to invite other specialists to contribute to it in the near future.

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Lexicon-Based Sentiment Analysis¹

Antonio Moreno Ortiz and Chantal Pérez Hernández
Universidad de Málaga
amo@uma.es, mph@uma.es

Abstract

In recent years, *sentiment analysis* or *opinion mining* has become an increasingly relevant sub-field within text analytics that deals with the computational treatment of opinion and subjectivity in texts. The fact that emotions and opinions condition how humans communicate and motivate their actions explains why the study of evaluative language has attracted a great deal of attention from a wide range of disciplines. Evaluative language, on the other hand, has been the object of study of many linguistic studies, but no clear consensus exists as to where it stands in relation to other subareas of study.

Keywords: sentiment analysis, evaluative language

1. Defining Sentiment Analysis

Within the field of Sentiment Analysis it has become a commonplace assertion that successful results depend to a large extent on developing systems that have been specifically developed for a particular subject domain. This view is no doubt determined by the methodological approach that most such systems employ, i.e., supervised, statistical machine learning techniques. Such approaches have indeed proven to be quite successful in the past (Pang & Lee 2004; Pang & Lee 2005; Aue & Gamon 2005). In fact, machine learning techniques, in any of their flavors, have proven extremely useful, not only in the field of sentiment analysis, but in most text mining and information retrieval applications, as well as a wide range of data-intensive computational tasks. However, their obvious disadvantage in terms of functionality is their limited applicability to subject domains other than the one they were designed for. Although interesting research has been done aimed at extending domain applicability (Aue & Gamon 2005), such efforts have shown limited success. An important variable for these approaches is the amount of labeled text available for training the classifier, although they perform well in terms of recall even with relatively small training sets (Andreevskaja & Bergler 2007).

On the other hand, a growing number of initiatives in the area have explored the possibilities of employing unsupervised lexicon-based approaches. These rely on dictionaries where lexical items have been assigned either *polarity* or a *valence*², which has been extracted either automatically from other dictionaries, or, more uncommonly, manually. The works by

¹ This work has been sponsored by the Spanish Government under grant FF12011-25893 (Lingmotif project, <http://tecnolengua.uma.es/lingmotif>).

² Although the terms *polarity* and *valence* are sometimes used interchangeably in the literature, especially by those authors developing binary text classifiers, we restrict the usage of the former to non-graded, binary assignment, i.e., positive/negative, whereas the latter is used to refer to an *n*-point semantic orientation scale.

Hatzivassiloglou & McKewon (1997) and Turney (2002) are perhaps classical examples of such an approach. The most salient work in this category is Taboada et al. (2011), whose dictionaries were created manually and use an adaptation of Polany & Zaenen's (2006) concept of Contextual Valence Shifters to produce a system for measuring the semantic orientation of texts, which they call SO-CAL(culator). This is exactly the approach we used in our Sentitext system for Spanish (Moreno-Ortiz et al. 2010). We expand these concepts in sections 4 and 5 below.

Hybrid, i.e., semi-supervised, approaches have also been employed, as in Goldberg & Zhu (2006), where both labeled and unlabeled data are used. Extraction of lexical cues for semantic orientation (i.e., polarity) is usually performed semi-automatically, for example by Mutual Information scores obtained from adjectives or adverbs, which are the most obvious word classes to convey subjective meaning. To a lesser extent, nouns (e.g. Riloff et al. 2003) and verbs (e.g. Riloff & Wiebe 2003) have also been used to identify semantic orientation.

Combining both methods (machine learning and lexicon-based techniques) has been explored by Kennedy & Inkpen (2006), who also employed contextual valence shifters, although they limited their study to one particular subject domain (the traditional movie reviews), using a "traditional" sentiment lexicon (the General Inquirer), which resulted in the "term-counting" (in their own words) approach, adding little to the better performer, the ML analyzer, which had been trained on a domain-specific dataset of 900 documents and used a test set of 100.

The degree of success of knowledge-based approaches varies depending on a number of variables, of which the most relevant is no doubt the quality and coverage of the lexical resources employed, since the actual algorithms employed to weigh positive against negative segments are in fact quite simple.

To summarize, supervised, statistics-based approaches tend to be of limited application in terms of subject domain, and tend to achieve good recall, but low precision, whereas unsupervised, knowledge-based approaches display the opposite results: they are good at precision but may miss many sentiment-laden text segments (Andreevskaia & Bergler 2007).

Another important variable concerning sentiment analysis is the degree of accuracy that the system aims to achieve. Most work on the field has focused on the *Thumbs up or thumbs down* approach, i.e., coming up with a positive or negative rating. Turney's (2002) work, from which the name derives, is no doubt the most representative.

A further step involves an attempt to compute not just a binary classification of documents, but a numerical rating on a scale. The rating inference problem was first posed by Pang & Lee (2005), and the approach is usually referred to as *seeing stars* in reference to this work, where they compared different variants of the original SVM binary classification scheme aimed at supporting n-ary classification. Shimada & Endo (2008) and Gupta et al. (2010) further elaborated on the multi-scale issue by tackling multi-aspect, i.e., pinpointing the evaluation of multiple aspects of the object being reviewed, a feature we regard as essential for high-quality, fine-grained sentiment analysis, but one that requires very precise topic identification capabilities.

2. Evaluative language

The kind of finesse that is aimed at in Linguistic studies is far from being achieved by automatic Sentiment Analysis systems. However, it is interesting to analyse linguistic approaches if only to obtain a rough idea of what it means to the evaluative aspect of human languages. The number of different approaches that have been proposed to analyse evaluative language features are summarized below.

- The *cognitive approach*, that focuses on the study of words that refer to emotions, on how emotions are conceptualized and the relation between emotions and their linguistic labels (i.e., Kövecses 2000).
- The *cross-linguistic approach*, focussed on the study of emotion terms across languages and the cultural values that determine the expression of emotions (Harkins & Wierzbicka 2001).
- The *functional approach*, that corresponds to the well established tradition of research on the functions of language dating back to Bühler (1934) and more recent studies of expressive language (Leech 1994).
- The *syntactic approach*, exemplified by the work of Dirven (1997), concerned with the syntax of emotion terms and, to some extent, by the grammatical descriptions of attitude that can be found in Quirk (1985), Biber et al. (1999) or Huddleston & Pullum (2002).
- The *conversation analytic approach*: these studies focus on the display of emotions in discourse and its structural organization (Goodwin & Goodwin 2000).
- The *psycholinguistic approach*, concerned, among other things, with the study of the development of emotion-related language in childhood (Painter 2003).
- The *pragmatic/textlinguistic approach* is, perhaps, the most varied, active and heterogeneous of all the approaches proposed by Bednarek (2008: 9). Studies in this area are interested in many aspects of language and emotion, from the conventional displaying of affect through linguistics means (Ochs & Sheieffelin 1989), to the analysis of the influence of attitude on communicative decisions (Caffi & Janney 1994), the emotive prosody of texts (Bublitz 2003) used by the speakers to convey attitudes or the connection between emotion and speech acts (Weigand 2004).
- The *systemic-functional approach*, which could fit perfectly under the general umbrella of functional approaches mentioned above, although it is listed separately, to refer specifically to *appraisal theory*, the systemic-functional theory proposed by Martin & White (2005, *inter alia*) to describe the interpersonal metafunction of language, modelled in terms of systems of choices that impress attitude, emotion and evaluation in discourse.

Obviously, this dissection is not real, in the sense that scholars have used one or more of these together. For example, Van Dijk's model to account for the structure of journalistic discourse (Van Dijk 1998) can be regarded as both *functional* and *textlinguistic*. Similarly, many other areas of research that deal with language and emotions are excluded from this brief outline, such as studies on intonation and prosody, on the interaction between verbal and non-verbal characteristics of emotions and their expression (Selting 1994).

The complexity of the area of study is also apparent in the confusing terminology, since different authors employ different terms in different ways. In fact, most linguistic studies on evaluation include a preliminary note on the relevant terminology they are going to use, together with a definition of their understanding and delimitation of the object of study, which is an indication of how little agreement there is on the topic.

Natural Language Processing has paid little, if any, attention to purely linguistic studies, since no approach offers a systematic, computationally tractable model of analysis, and have focused on developing system that offer acceptable performance rates.

4. Sentitext³: a sentiment analysis system for Spanish

³ The application can be accessed and tested online at <http://tecnolengua.uma.es/sentitext>

Sentitext is a web-based, client-server application written in C++ (main code) and Python (server). The only third-party component in the system is Freeling (Atserias et al. 2006, Padró 2011), a powerful, accurate, multi-language natural language processing suite of tools, which we use for basic morphosyntactic analysis. One client application is available, developed in Adobe Flex, which takes an input text and returns the results of the analysis in several numerical and graphical ways, including visual representations of the text segments that were identified as sentiment-laden. For storage, we rely on a relational database (MySQL), where lexical information is stored.

Being a linguistically-motivated sentiment analysis system, special attention is paid to the representation and management of the lexical resources that Sentitext uses for its analysis. The underlying design principle is to isolate lexical knowledge from processing as much as possible, so that the processors can use the data directly from the database. The idea behind this design is that all lexical sources can be edited at any time by any member of the team, which is facilitated by a PHP interface specifically developed to this end (GDB). This kind of flexibility would not be possible with the monolithic design typical of proof-of-concept systems.

Sentitext uses three major linguistic data sources: the individual words dictionary, the multiword expressions dictionary, and the context rules set, which is our implementation of Contextual Valence Shifters.

The individual words dictionary contains over 9,400 items, all of which are labeled for valence, which were obtained semi-automatically from several lexical databases and subsequently manually refined using corpora. Lexical items in both dictionaries in our database were assigned a valence marking their orientation and degree (from -2 to 2). The most similar sentiment analysis system to ours (Taboada et al. 2011) uses a scale from -5 to 5, but we believe it makes it more difficult to decide on a specific valence while maintaining a reasonable degree of objectivity and agreement among different (human) acquirers, especially when there is no obvious graded set of related words, which is very often the case.

The Sentitext multiword expressions lexicon contains over 19,000 entries, most of which are, as expected, noun phrases. The larger figure is due to the fact that this dictionary contains also neutral-polarity items, which are needed in order to block polarity-laden words that are part of them.

The final key component of our system is the Context Rules database. Simply accounting for negative and positive words and phrases found in a text would not be enough. There are two ways in which their valence can be modified by the immediately surrounding context: the valence can change in degree (intensification or downtoning), or it may be inverted altogether. Negation is the simplest case of valence inversion.

The idea of Contextual Valence Shifters (CVS) was first introduced by Polanyi & Zaenen (2006), and implemented for English by Andreevskaia & Bergler (2007) in their CLaC System, and by Taboada et al. (2011) in their Semantic Orientation CALculator (SO-CAL). To our knowledge, apart from Brooke et al.'s (2009) adaptation of the SO-CAL system, Sentitext is the the only sentiment analysis system to implement CVS for Spanish natively.

Context rules are applied after polarity words and multiword expressions have been identified and account for the many ways in which these can be modified by the immediate context to either intensify their valence or to invert it. Our system allows us to define fairly elaborate context rules. For instance, having multiword modifiers such as those in (1) and (2) below,

- (1) no tener nada de + negative adjective
“Ese no tiene nada de tonto/estúpido/...”
- (2) (ser) un completo + negative adjective

“Es un completo inútil”

a context rule for type (1) constructions would cause the polarity of the negative adjective to be inverted, whereas a rule for type (2) constructions would intensify de valence of the negative adjective.

There are many ways in which this scheme falls short of desired results. For example, there is no way to account for text-level pragmatics. Aspects such as irony or sarcasm fall well beyond the capabilities of automated Sentiment Analysis in general. Even disjuncts and extra-sentential modifiers can be used to modify the semantic orientation of evaluative expressions. From a NLP point of view, however, our system performs fairly reasonably, as we have shown in past work (Moreno Ortiz et al. 2010, 2011). From a purely linguistic perspective, our system serves the purpose of calling to attention such subtle aspects of language.

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