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SEDUCTION AS INSTRUCTION: THE FEMALE AUTHOR AS PYGMALION IN LONG EIGHTEENTH-CENTURY QUIXOTIC NOVELS

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ABSTRACT. *Don Quixote played a crucial role in the shifts in taste and ideology that occurred during the long eighteenth century, being an instrument for authors to validate their own work in contrast with the production of others. New didactic works displayed the need to overcome the romantic supersystem that previous authors offered and even the patriarchal or colonial canon that had been established. The present article will focus on two women writers, Tabitha Tenney and Mary Brunton, who with a story of literary and literal seductions raised their pens against a non-questioned romantic integration in didactic novels and who even converted prior canonical cervantean authors in the origin of their heroines' quixotism.*

Keywords: Quixotism, mimetic reading, intertextuality, didactic novels, women writers, literary criticism.

SEDUCCIÓN COMO INSTRUCCIÓN: LA AUTORA COMO PIGMALIÓN EN NOVELAS QUIJOTESCAS DEL LARGO SIGLO XVIII

RESUMEN. *Don Quijote ha jugado un papel fundamental en los cambios estéticos e ideológicos que tuvieron lugar en el largo siglo XVIII al convertirse en un instrumento en manos de diferentes autores para validar su trabajo artístico en contraposición a la producción de otros. Nuevas novelas didácticas alegan la necesidad de superar los suprasistemas románticos que ofrecen otros autores e incluso el canon patriarcal o colonial que se había establecido. En concreto, este artículo se centrará en dos novelistas, Tabitha Tenney y Mary Brunton, quienes desarrollan una historia de seducción literaria y literal para alzar su voz contra una indisputada integración romántica en novelas didácticas, y quienes incluso convierten a los anteriores autores cervantinos en el origen del quijotismo de sus protagonistas.*

Palabras clave: Quijotismo, lectura mimética, intertextualidad, novelas didácticas, escritoras, crítica literaria.

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1. INTRODUCTION

Eighteenth-century Britain is an important time and place to understand the impact Miguel de Cervantes' masterpiece has had on literature outside Spanish borders.¹ At this time, Don Quixote came to play a crucial role in the shifts in literary taste and morality, being an instrument in the hands of very different authors to validate their own work to the detriment of others. The undeserving works object of such an attack were, in the former authors' opinion, aesthetically or morally inadequate, or even unquestionably pernicious for their readerships. Under the pen of these literary emulators, the quixote became a reader deluded by the latest literary craze, whether Gothic romances, sentimental novels or even Scottish historical novels, who was in need of some form of cure.² Ironically, this antidote was administered through the same means by which they had become quixotic in the first place: literature. Reading became, thus, an important ideological and educational tool, the source of both madness and the restoration to one's senses. This metaliterary comment on reading evinced the immense power of the written word as it echoed the concerns of contemporary moralists on the effects the uncritical perusal of certain books could have on the shaping of a young reader's beliefs and notions of the word.

¹ See Brean Hammond (2009); Wendy Motooka (1998); P.J. Pardo (2007) or P.J. Pardo (forthcoming).

² See Miriam Borham-Puyal (2015).

Throughout the long eighteenth century, many novelists faced the recurrent accusation of being, in fact, seducers who aimed to entrap young readers, a fact which placed the latter in a quixotic position. Although “all genres of reading” could “upset some commentator in this period”, romance, as happened in Cervantes’ novel, is perceived as a particularly dangerous genre, in this case owing to its attraction for young women readers (Pearson 1999: 43, 82). At this time, it was feared that the implied female reader concluded her reading immersed in the fictional world, sympathising and/or identifying herself with the heroine of romance who lived extraordinary adventures and obtained her happy ending. Consequently, the quixotic reader aimed to translate the epistemological system of her romances into the real world she inhabited, in order to culminate in the world outside the text the desire that she, unlike the textual heroine, could not fulfil at a diegetic level.

Given that romances implied such a danger for young women readers, authors declared that their texts had been written to counteract this risk by developing a metaliterary game which exposed the dangers of certain genres or modes of reading. Hence, innumerable works were published in which a young woman had her perception of the world altered by an excessive perusal of a particular genre or author and, subsequently, started to act in the real world according to the semiotic code acquired from her obsessive reading. Her delusion would be twofold. On the one hand, it would be epistemological in nature, as she will believe that what is impossible can come to be, and, on the other hand, it would be axiological, as the quixote could develop new ethical principles based on her readings (Pardo 2005: 358). The awakening of the quixote would address both forms of delusion and the consequences in these novels varied from the most tragic to those ridiculously comic. Quixotism became, thus, an instrument for certain aesthetical theories and ideologies that employed the novel with didactic purposes to criticise those works of fiction which were considered implausible or immoral, a criticism that could be found in the original work by Cervantes. The quixotic novel was indeed the perfect vehicle to become a literary critic and to validate one’s stance as a writer, both in matters of genre and even gender, with well-known women writers of their time, such as Charlotte Lennox, also writing in a cervantean manner in her renowned *The Female Quixote, or the Adventures of Arabella* (1752) (Borham-Puyal 2015: 39-70).³

Notwithstanding the claim that those novels constitute an antidote to the literary venom that poisons the mind of readers, most of these didactic texts display the same objective: to somehow *seduce* their audience so that their readers adopt what has been termed the text’s “narratorial ideological supersystem” (Wood 2003: 66),⁴

³ In this chapter the author explains Lennox’s response to prior literature, including Richardson’s and Fielding’s.

⁴ In her analysis, Wood employs Susan Rubin Suleiman’s use of the term “ideological supersystem”

understood as the novel's moral or political basis. The defence of such supersystem, or the sustainment of the reader's interest in it, required authors to develop certain strategies of authorial control that implied a thorough rhetorical execution, for example, in the use of narrative voices or prefatory material (66). In Wood's words, authors employed these strategies to underscore the "lessons taught by the narrative" (66); however, it could be argued that they did so while building enough empathy for heroine and author alike to ensure that the faithful readers would continue to buy similar novels by the same author. That is, the audience is once again expected to become malleable in its convictions, but also in its *taste*. In this line, it could be stated that some of the most representative authors of novels in England, and, more specifically, of relevant mid-century didactic novels, seek to achieve what has been termed "absorptive reading" and an extreme "automatic imitation" (Warner 1998: 213-214). In particular, Samuel Richardson claimed that the instruction he had devised by means of his moral precepts in *Pamela* (1740) exonerated him from the charge of promoting the same kind of seduction among his readers as that fostered by romances. However, his prescriptive generalizations still call for the application of his semiotic code to the reader's experience. Therefore, the author still assumes a great influence over his readers. Richardson and his reader become, respectively, pygmalionic mentor and literary Galatea (Raff 2006: 466). Ironically, then, the ideal reader of this kind of didactic fiction could be a quixotic one.

Moreover, despite his criticism, Richardson employs the same romance he condemns to achieve that particular attraction over his devoted readers. In this sense, the instruction/seduction that the novel exerts over the reader is allegorically reflected in the literal and literary seduction that Pamela undertakes with Mr. B in the novel (Raff 2006: 474). Mr. B concludes the novel seeing the world as Pamela does, and acting according to her romantic principles, in the same manner Richardson's devoted readers would adopt his supersystem, transforming him into the epitome of the moral novelist that would become so popular in the mid-eighteenth century. Pamela's use of the romance to build her own story –her "romantic emplotment"– within the frame of the novel is an instrument that enables Richardson to write a work morally imbued with the high ideals of romance at the same time that he creates a work of fiction in which the romantic and realistic narratives are in constant dialogue, evincing his nature as a cervantean writer (Pardo 1996: 331). Both, Pamela and Richardson, employ romance to seduce their readers for moral purposes, as well as to obtain more material objectives: marriage and publishing success, respectively.

(1993: 76). The concept of the "supersystem" is better known in the fields of engineering, architecture, or even medicine, where it could be defined as an organic whole; a definition that befits the notion of a moral or aesthetic message that supports the whole text.

Richardson's influence is undeniable. However, well-known dissenting voices were also raised, among them Henry Fielding's, who, with *Shamela* (1741) or *Joseph Andrews* (1742), highlighted the consequences of becoming a victim of Richardsonian quixotism, that is, of the application of the romantic code of his novel in real life. In contrast with Richardson, Fielding, employing parodic and metanarrative techniques learnt once more from Cervantes, advocated his own ethical and aesthetic discourse about what the novel should be, and awoke his readers from their quixotic absorption and imitation. Nevertheless, Fielding himself develops in *Tom Jones* (1749) a romantic plot similar to Pamela's, at least in one matter: the final romantic wedding to conclude the plot of the reformed rake turned ideal husband. Somehow, in this work romance triumphs in an anti-romantic context, characterized by its realistic and picaresque nature (Pardo 2006: 82-83). While in *Don Quixote* the romantic vision is crushed or relegated to secondary stories, in Fielding's novel the romantic plot is validated. Jones and Pamela, therefore, share their romantic destiny and, more relevantly, the fact that their happy ending somehow sanctions a romantic vision of reality.

The triumph of this vision will cause other didactic works to display the need to overcome the romantic supersystem that these authors offer and the canon by which Richardson and Fielding become the moral and literary models to imitate. That is, new novels will aim to seduce their readership into new forms of what could be termed *moral aesthetics*, the taste for a particular genre that also reflects a certain approach to the world from a political, cultural or religious point of view. Authors would then appropriate what made Richardson so popular –his equation of formal realism with what was later termed his “moral realism” (Ballaster 1992: 198)⁵–, would scrutinize his works or Fielding's under it, and would find them wanting. In particular, the present article will focus on two women writers who, with a story of literary and literal seductions, will raise their voices against that non-questioned romantic integration in didactic novels and who will convert those cervantean authors in the origin of their heroines' quixotism, placing them at the core of their own comment on fiction and the power of reading. By so doing, they would become literary critics who would also challenge the canonical status of these two authors and propose an alternative form of didacticism and dialogue with romance.

Reading for these authors was a politically and morally charged activity, for you could become what you read. As conservative women writing in America and Scotland, respectively, they would, hence, oppose the patriarchal and colonising influence of these epitomes of British middle-class writing. From their perspective, reading was best put to use if it enabled young readers a safer transition into

⁵ As Ballaster explains, in Richardson's works “formal realism had come to be equated with moral realism,” therefore “the accusation of improbability had come to stand for that of immorality” (1992: 198).

the society in which they lived, rejecting romantic or foreign notions on virtue, marriage, or social climbing, which were perceived as particularly dangerous for young women. Therefore, their novels aimed to expose the effects of unquestioning adherence to literary values foreign to their own. In addition, they would prove that no text was safe from developing a quixotic audience, not even their own novels, unless those readers were educated to become critical thinkers that were aware of the aesthetic and moral limitations of the textual worlds they tried to inhabit in real life. Ironically, this awareness would be raised by recurring to the same author that had inspired Richardson and Fielding themselves, Cervantes.

2. TABITHA TENNEY AND THE DANGEROUS NARRATIVE OF THE OLD WORLD

In the awakening of the new American nation, politics and literature fed their respective discourses with the adoption of certain *topoi* from Richardson's works.⁶ As the virtuous woman, the Republican wife and mother, become the emblem of the developing nation, the over-zealous but cunning virgin or the fallen woman gained importance in literary, cultural, moral and political messages.⁷ At this time, moralists and authors develop the same debate on the novel and its appropriateness which had taken place in Britain some years before, especially concerning women. While there would still be dissenting voices which absolutely condemned fiction, American novelists would often defend the inclusion of reading in any educational programme undergone by young women. In order to support this last argument, novelists would adopt the self-condoning argument of the need to counteract the poison with its own appealing form. Once again, romance would be under attack, and it would become intertwined with the plot of seduction: once the young reader's fancy was inflamed, the rake had only to employ her delusion to his advantage. In opposition to romances, the novel would respond to a more "truthful" and hence "useful" representation of reality, which would in turn answer to the New England Puritan heritage (Mulford 1996: xxi). Novels could therefore counteract the extravagant, old-fashioned and morally questionable notions epitomised by romance. In addition, for American authors, as for British ones before them, romance would appear as something foreign and subversive to their own nationalistic and moral values. However, it is not only romance, but

⁶ Some of President John Adams' statements include the following: "Democracy is Lovelace and the people are Clarissa [...]. The artful villain will pursue the innocent lovely girl to her ruin and her death," while early novels such as William Hill Brown's *The Power of Sympathy; or, The Triumph of Nature, Founded on Fact* (1789) and Hannah Webster Foster's *The Coquette; or, The History of Eliza Wharton; a Novel; Founded on Fact* (1797), develop a plot based on the seduction and ruin of a young reader. See Miriam Borham-Puyal (2013: 356-372).

⁷ See Eva Bannet (2000); Linda Kerber (1976); or Jan Lewis (1987).

also novels which can be associated with foreignness and moral decay. Novels imported from Britain were considered to be dangerous for the emblem of the *status quo*, female virtue. Quixotic women are then conceived as cautionary figures who appear misguided in their mimetic approach to literature. Yet, it is not the fact that they mimetically reproduce what they read that is dangerous, it is the unsuitability of the models they have chosen which renders them aliens to their own society and, finally, ineffectual citizens (Brown 1999: 259). Given this fact, there could be a hope of curing the female quixote by developing a plot in which the quixote's senses were restored and she was happily accepted within a society again congenial with her own expectations. That is, early American quixotic fiction searched for a positive pattern of female development that reinforced the discourse of unity and uniformity as this new society emerged, so "ultimately quixotic mimeticism leads to social mimeticism, with the quixotes joining and affirming a common reality" (Brown 1999: 260). Therefore, one form of seduction and imitation replaces another, one model of female conduct replaces a previous one.

In this sense, even the epitomes of British moral narrative fiction could appear as the source for the delusion and ulterior ruin of the young readers portrayed by American authors. For instance, the American poet John Trumbull wrote in 1773: "Harriet reads, and reading really/ believes herself a young Pamela" (qtd. in Brown 1999: 251). The main problem of believing oneself a Pamela or a Clarissa, the most recurrently mentioned literary female models, was that women could "forget the circumstances of life in America" (Brown 1999: 251). The foreign narrative fiction American quixotes read leads them to fantasise about a self and a society that is not in accordance with the one in which they live. Although the political implications are subtly conveyed in the threats women's loss of virtue has for their families and their estate, the novels revolve around feminocentric plots of courtship and seduction and how their quixotic delusion ultimately enables their fall. These novels recurrently establish the connection between female virtue and reading, and how literary seduction may preclude a physical one.

In this scenario, Tabitha Tenney (1762-1837), author of a conduct book for young women and wife of a senator, published her novel *Female Quixotism: Exhibited in the Romantic Opinions and Extravagant Adventures of Dorcasina Sheldon* (1801). From the very title, Tenney states her intention of emulating *Don Quixote*. In the preface, she introduces the idea that Cervantes' novel, like her own, was written for the benefit of their readers, so that by looking into the mirror of fiction they could avoid the fate of the quixotes portrayed in them. From the very start, then, she plays the role of mentor to her readers. Adopting the role of a "compiler", in an epistolary preface addressed to "all Columbian Young Ladies, Who read Novels and Romances", the narrative voice states that she is merely repeating Dorcasina's own

account of her adventures “for the advantage of the younger part of her sex” so that by observing the destructive effects of novels and romances on Miss Sheldon they “may avoid the disgraces and disasters that so long rendered her despicable and miserable” (3). Moreover, she hopes they will read it also for her own sake as an author. Tenney then uses a persuasive appeal to engage her readers’ attention, both for her own publishing success and their moral growth. The strong terms in which she condemns the effects of Miss Sheldon’s reading of novels ironically highlights the fact that she is recommending to peruse yet another novel to be cured from such dangerous addiction. In this sense, Tenney plays with the idea of a Richardsonian realistic prose, by asserting that her novel is something different: not “a mere romance”, but rather a “picture of real life” (3). And still, she then explicitly links her novel to Cervantes’ masterpiece and to his own metaliterary game involving a compiler and an alleged truthful biography of the knight: “when you compare [this novel] with the most extravagant parts of the authentic history of the celebrated hero of La Mancha, the renowned Don Quixote, I presume you will no longer doubt its being a true uncoloured history of a romantic country girl, whose head had been turned by the unrestrained perusal of Novels and Romances” (3). Tenney’s intention is thus to present a tale as didactic and realistic as possible, while highlighting the fictionality of her own production and warning her audience from the very beginning that what they hold in their hands is just fiction written in a realistic manner, but fiction, nevertheless. She follows Cervantes’ formula of writing a realistic novel that parodies romance and highlights its dangers, while avoiding those dangers in her own fiction by exposing that it is merely a construction. In addition, she employs the cervantean filter of a compiler or narrator to gain distance from the absorbed readers and control over that parody. Instead of having Dorcasina retell her story, as Pamela does, Tenney builds a strong narrative voice that is heard throughout the novel, from the preface to Dorcasina’s final recantation from her quixotic folly.

In a clearly cervantean manner, then, Tenney describes the quixotic adventures of Dorcas Sheldon from her adolescence to her old age, and focuses on her obsession with British sentimental novels, in particular Richardson’s, and on her enactment of the romantic plots she finds in them. Dorcas is a true quixote: she changes her name to Dorcasina, and dresses and acts in the fashion of romantic heroines, despite an unfavourable appearance; she has a Panzaic companion in her faithful Betty, who also becomes immersed in her lady’s quixotism; and, above all, she undergoes innumerable jocular adventures in which her deluded vision of the world transforms her into a victim not only of her own illusion, but also of the manipulation of others. She constantly falls in love with whom she perceives as romantic heroes, and rejects an American suitor sanctioned by her father for being too un-romantic. In the end, Dorcas never marries and concludes the narrative single and disappointed.

Throughout her comic and at times sad quixotic story, Tenney aims to criticise both the aesthetic and moral qualities of Dorcasina's readings and to provide an alternative. By including and subverting the romantic elements found in previous fiction, she parodies a wide range of situations common to romances which are also employed in eighteenth-century British narrative fiction; that is, she mocks any element which she perceives as implausible, ridiculous or condemnable, often highlighting the similarities between romance and the new species of fiction that had been developed. Imitating as well the episodic structure of Cervantes, Tenney builds a parodic gallery of mock lovers and romantic situations –such as amorous encounters in solitary woods, kidnappings, elopements, cross-dressing, secret correspondence, or fake identities–, which highlight the implausibility of the literary models adopted by Dorcasina, as well as the lack of morality displayed by some of them. These literary sources are easy to identify, as Tenney's text brims with direct allusions to British novels: from references to the title of some of Dorcasina's readings, such as Tobias Smollett's *Roderick Random* (1748), to the employment of names taken from Richardson's novels. Very early in the novel, for example, Dorcasina names the daughter of her neighbours "Harriet Caroline Clementina, being the names of persons, whose history she had taken great delight in reading" (15), persons who happened to be the heroines of Richardson's *Sir Charles Grandison* (1753). More importantly, Richardson's or Smollett's characters are employed by the female quixote as example to sanction her conduct, including Harriot Byron, Sir Charles Grandison or Roderick.

Several are the passages in which Tenney parodies Richardson's work and places examples extracted from his novel in a more realistic context. For example, she includes and subverts a typical scene in British sentimental fiction: the kidnapping of the heroine, this time by a fake lover who only intends to have fun at her expense. After exchanging clandestine passionate love letters, Dorcasina agrees to meet her lover in the garden. She is then kidnapped and incarcerated in an isolated house, where she is given pen, ink and paper to write to her father, mirroring Clarissa's situation (134). Dorcasina's letter, full of sentimental clichés, parodies her predecessor's and exhibits Tenney's mock-sentimental tone. As she narrates her comic adventures in a serious mode, Dorcasina allows herself to flourish her language and sentiments as any other heroine before her: "As well might he have insisted that the loadstone should no longer attract the needle, as that the graces and virtues of O'Connor should cease to attract my fondest affections!" (135). The striking contrast of her situation and the nature of her lover with her flamboyant language highlight the artificiality of romantic prose and sentiment, while the scene also underlines the compromising situations in which women are placed in these novels.

In addition to the mock-style, Dorcasina's reaction also defies the sentimental conventions of a languid and passive heroine, conspicuously present in Richardson (Bannet 2007: 563): she escapes through a window and walks for miles to arrive home. This adventure serves Tenney's parodic intentions well. Dorcasina, battered and bruised after her scrape, reflects on her experience in the following manner, comparing her circumstances with those of the heroine of *Grandison*:

[...] the very same accident has formerly happened to Harriot Byron, though she was, to be sure, rescued in a different manner; and Dorcasina's satisfaction would have been complete, had O'Connor chanced to have been her deliverer. Her vanity, which before needed no addition, was now raised to the highest pitch; and she began to think, if she thus killed people, at a glance, it would be her duty, whenever she appeared in public, to veil her charms. (140)

Once more, the disparity between the anti-romantic heroine and her romantic reading of the events clearly resembles Cervantes' ludicrous humour. Later in the novel, for example, Dorcasina will once more refer to Richardson's work when she finds herself pursued by two suitors and she exclaims that she is in the same position that Sir Charles Grandison was, with a double love (276). However, both are a delusion –one exists only in her imagination and the other one is her friend Harriet in disguise. Dorcasina, as Lennox's Arabella, has learned the vanity and self-centredness of romantic heroines –one of their greater defects according also to Lennox and a self-absorption that one could also ascribe to Pamela– even if in the case of Tenney's heroine this vanity is obviously misplaced.

Together with these references to *Clarissa* and *Sir Charles*, Tenney also parodies the romantic vision and plot that Pamela builds. First, when the increasingly quixotic Betty assumes that a gentleman has come to woo her instead of her lady. The maid justifies her illusion with the argument that “there has (sic) been such things in the world before now, as a gentleman's marrying a servant maid” (208), which, of course, is a veiled reference to Pamela. Secondly, Tenney takes her parody further and subverts the roles in Richardson's plot. John, a servant with whom Dorcasina falls in love, is expected to behave and speak as romantically as Richardson's heroine, but he is, more realistically, an uneducated and rustic servant who hilariously disappoints Dorcasina's expectations. John also aspires to marry above his position, but the change in gender and social status between seducer and seduced, together with the age and ugliness of the former, increases the humour of the ridiculous consequences such a relationship will have for both of them, as well as of Tenney's mockery of her predecessor.

This reference to John also serves to parody another British work. After her father's death, Dorcasina is confined to bed for a long time and the first sign of her

recovery is when she asks for her novels. Having recently found *Roderick Random*, which had “lain untouched in her closet for more than twenty years”, and having perused it with great avidity, she finds that the eponymous hero of Smollett’s novel had, under the very same name of John Brown, lived with Narcissa as a servant only to finally marry her. From this she concludes that her servant, also named John Brown, “must likewise be a gentleman in disguise” (227). By taking the name of the servant from Smollett and certain elements of the plot from Richardson –such as Dorcasina’s gift of her father’s clothes to her servant, which imitates Mr. B’s gift of her mother’s clothes to Pamela– Tenney mocks both by means of her quixotic heroine. She also highlights the hypertextuality of said British novels, as the idea of a gentleman employing a disguise to be close to his beloved one is a well-known convention of historical romances.⁸ While mocking such idea, nevertheless, the parody also emphasizes the danger of such a union to Dorcas’s state and reputation. Tenney would stress this fact by exposing her heroine to many inappropriate suitors who come from the Continent and who employ her literary delusions to take advantage of her, among them an Irish emigrant and a Francophile radical, who both echo the revolutionary tensions of the Old World.

As later Jane Austen would do, in all these examples Tenney places her quixotic heroine in a context similar to the ones found in her readings only to put them to the test of reality, of a more plausible development and outcome. Novels are, in consequence, mainly reproduced in order to demonstrate how different fiction proves from the more debased reality of Dorcasina’s experience. Tenney’s heroine, as Don Quixote, Joseph Andrews or Lennox’s Arabella, believes she can conduct herself in society with her readings as guide and, consequently, she interprets the surrounding world and herself under her romantic epistemology and will ultimately stand corrected in a much harsher fashion than in prior quixotic narratives. The greater punishment contrived for her quixote is an indication that Tenney will not be as benevolent with the effects of romantic or sentimental readings as Fielding or Lennox had been. While the latter described an early awakening and a traditional happy ending for their quixotes –the marriage to the deserving hero–, Tenney’s heroine reaches old age unrepentant and unmarried. Whereas she escapes the more terrible fate of an unsuitable wedding, Dorcas has still rejected her unromantic but sound American suitor, which would have been her equal in social status and values.

Her negative vision of the long-lasting effects of the wrong kind of reading explains why Tenney obviously wishes to detach her work from her British

⁸ In fact, the parody of such conventions is recurrent in many cases of female quixotism, being the most prominent Lennox’s novel, in which Arabella also believes her gardener is a nobleman in disguise. For other instances of quixotic women believing their servants to be disguised gentlemen and acting in accordance, see Borham-Puyal (2013: 217-18; 233-34; 735).

novelistic predecessors, both from a moral and an aesthetic point of view. On one occasion, Dorcasina and one of her fake beaux meet in the middle of the night, challenging paternal authority and all sense of propriety. At this time the narrator states that “it would require the pen of a Richardson to describe the ecstasy [sic], and raptures of this meeting: but as mine pretends to no such powers, they shall be passed over in silence” (85). Tenney aims to develop a more anti-romantic narrative, more strictly didactic, including parodies of Richardson’s plots and style, to expose the dangers of his narrative and his validation of the romantic vision.

While reproducing the episodic structure and the rich gallery of rascals from Fielding as well as Cervantes, Tenney also detaches her work from the former’s, underlining the impossibility of fulfilling Dorcasina’s romantic aspirations: she does not become a romantic heroine in the end, nor do the rakes transform into knights in shining armour. In Tenney, as in Cervantes, romance dies as characters return to reason, and the consequences of quixotism, while also hilarious, are not as benevolent as in Fielding’s comic romance. Tenney’s didactic and realistic narrative, in this sense, comes closer to the Spaniard’s anti-romantic novel. Even the subplots reinforce this overcoming of romance by means of the mocking of Betty’s aspirations or the more prosaic courtship and marriage of the realistic Harriet, who has not lived up to her sentimental and literary name. Her courtship takes place without hyperbolic sentimental rhetoric or the romantic convention of several years of devotion, service and separations, and her marriage is characterized by real-life problems: little thefts from the servants, some financial penuries, etc. That is, despite the inclusion of a romantic perspective through her use of parody, Tenney, differently to her predecessors, never validates it and rejects it in favour of a clearly anti-romantic genre that seeks to awake both heroine and readers from their sentimental illusions. Her romantic quixote dies and a philanthropic heroine awakes at the end, and Harriet and the reformed Dorcas end the novel as two variants of the praised Republican model, the wife and the matron, for the benefit of Tenney’s American readers.

Coherent with her didactic intent, her novel concludes with a letter of recantation from the heroine herself, where she states the errors in which she has incurred owing to her obsessive reading of fanciful novels and her resulting “ridiculously romantic and absurd conduct” (323). She compares her experience to a dream, a delirium, a shadow and a spell: all shattered by reality. She blames the authors of her readings, and, more specifically, “their fascinating influence on [her] young and inexperienced mind” for her misery (324). In this accusation Tenney, then, resumes the seduction trope at the same time she provides the antidote: “a taste for books of real instruction and utility” and a watchful eye on what little girls read, so that they will not adopt “false ideas of life”, “illusory expectations” or become “ignorant of every thing really worth knowing” (325). This, of course, leaves the reader

wondering about the worth of Tenney's own novel. The key is in Dorcas's final piece of advice to Harriet as a mother and instructor of her daughters: "Describe life to them as it really is, and as you yourself have found it, chequered with good and evil" (325), which is precisely what Tenney has attempted to do in her novel. This is the reason why Dorcasina returns to being Dorcas, or why it is Harriet who achieves her happy ending: what the reading Galateas have learnt is what life looks like and what is truly important from Tenney's moral point of view. Quixotic mimeticism is now social mimeticism, and Tenney has fulfilled her role as Pygmalion, emulating whom she saw as a great novelist and pedagogue, Cervantes. In addition, she has validated her own literary and moral authority. She has acted as a literary critic towards previous British fiction and has superseded her American female voice to that of previous male authors on what a woman's readings and conduct should be.

3. MARY BRUNTON AND ROMANTIC EVANGELISM

In the aftermath of the French revolution, quixotism in Britain became an ideological instrument to be used by both the Jacobin and anti-Jacobin parties. Quixotes became embodiments of the main principles of their adversaries' political agenda, and their cure meant the restoration to what authors from one side or the other considered *reason*.⁹ Just as it was in American novels, in the end the quixotes renounce their initial supersystem in order to adopt the one condoned by the novel. However, as the century progressed, this political use of a quixotic character was replaced once more by parodic appropriations that targeted different genres or authors. The reasons why these particular works of fiction were parodied or their authors satirised in quixotic fictions would vary: it could be owing to remnants of political criticism, to the lack of plausibility or quality found in them, to the purpose of highlighting a certain literary vogue that had taken over the market, or to the intention of exposing the moral dangers posed by certain readings (Wilson 2007: 39). All these motives are exemplified in works such as Eaton Stannard Barrett's *The Heroine* (1813) or Sarah Green's *Romance Readers and Romance Writers* (1810). These novels share a conservative discourse focused on the need to preserve the British *status quo* by defending traditional ideals and combating revolutionary ideologies. In particular, they return to the trope of an intellectual seduction prelude to a physical one, and to the role of reading as an agent of madness or reason.

At this time, female virtue continued to be linked to the preservation of the state, the family, and the national church (Wood 2003: 36), and a highly ideologically or morally charged courtship plot permeated many novels as an emblem of the dangers of women's seduction by the wrong suitor. By developing a quixotic plot of literary

⁹ See Miriam Borham-Puyal (2012) and Matthew O. Grenby (2001).

seduction, these two novels thus transform a young woman reader in the *locus* for the debate on politics, morality and literary taste. In both novels, romances, French fiction and Francophile pamphlets are the cause of their young characters' quixotism. Once more, inappropriate readings are associated with foreignness, with difference, with the wrong kind of mimeticism and its consequences. Both introduce villainous seducers who aim to use the young readers' delusion to ruin their reputations, a fall with disastrous results in Green's novel, while remaining only a threat in Barrett's. These two novels, moreover, use other readings as antidote to the quixotizing poison: Green portrays virtuous and wise readers that peruse moral novels and poetry, whereas Barrett employs *Don Quixote* as suggested healing text for his quixote, once more emphasising this idea that an implied quixotic reader might be cured by means of a diegetic one. In addition, they highlight the abovementioned idea that the quixote's fault was sometimes not being too mimetic, but failing to be mimetic enough when it came to the acknowledged ideology or code of conduct of the people around her. These novels will conclude with the integration of the heroine into her social circle, by returning to reason, to different forms of reading and to a condoned form of collective mimeticism. Barrett and Green seem to hope to offer better models of reading and behaviour, so that their own implied readers could have a mimetic model opposite the revolutionary or liberal one of the romances or novels that had triggered the character's quixotism at the start of the novel.

Writing at around the same time as these authors, Mary Brunton (1778-1818), a Scottish and Methodist novelist, publishes a relevant quixotic novel: *Self-Control* (1811). With it, she claims a place in the British cervantean tradition by introducing not one, but two quixotes, and by highlighting the dangers of any form of uncritical reading. Her intentions are clearly stated in her preface to Joanna Baillie. Speaking on the usefulness of her fiction, she claims: "If my book is read, its uses to the author are obvious. Nor is a work of fiction necessarily unprofitable to the readers. When the vitiated appetite refuses its proper food, the alternative may be administered in a sweetmeat [...] I am not without hope that [...] the avowal of a useful purpose may be an inducement to tolerate what otherwise might be thought unworthy of regard" (Brunton 1811: n.p). Throughout her work, Brunton will come back to the idea of reading as a disorderly appetite that needs to be provided with wholesome food, a recurrent topic in the moralistic discourse on reading.¹⁰ Her novel is then

¹⁰ For example, in her 1802 novel *The Infidel Father* Jane West writes: "The *rage* for novel does not decrease; and, though by no means think them the best vehicles for 'the words of sound doctrine'; yet, while the enemies of our church and state continue to pour their *poison* into unwary ears through this channel, it behoves the friends of our establishments to convey an antidote by the same course; especially as those who are most likely to be infected by false principles, will not search for a refutation of them in profound and scientific compositions" (emphasis added, 1802: I, ii.). As shown in this example, conservative discourse built a series of metaphors to describe the differences between both

presented as a remedy for poisonous and unprofitable fiction. To reinforce the moral cure that her fiction provides, Brunton will develop a contrast between her heroines' perceptions and that of the other characters, the narrator or even the implied reader. Similarly to the interplay between internal and external focalization that Austen would later master in her novels, Brunton shifts from her character's consciousness to the narrator's insightful comments to contrast the limited and the thorough knowledge they respectively hold; that is, this authoritative and at times very intrusive narrator is used to "indicate the appropriate readerly response" and to emphasise the ideological supersystem that reassesses the systems represented by the characters (Wood 2003: 66). Gaining control of distance, she achieves to detach both the implied reader's and the author's perception from her heroine's to evidence how deluded the intrinsically romantic and inexperienced heroine is. What Laura sees or perceives, then, is filtered and exposed to the informed scrutiny of the reader, who shares the omniscient narrator's complete vision of the characters' motives and desires and can learn from their mistakes.

These lessons in proper reading are developed by means of the abovementioned two quixotes. First, Brunton depicts a very obvious quixotic character, Julia Dawkins, an avid reader of novels, who interprets the world and acts according to the literary principles she has acquired. Julia is seduced by any novel, including those considered impeccably moral, or, more surprisingly, even by those that portray another female quixote seduced by sentimental literature, such as Jane West's well-known didactic novel *A Gossip's Story* (1796), as is made evident in the following description:

Having no character of her own, Julia was always, as nearly as she was able, the heroine whom the last read novel inclined her to personate. But as those who forsake the guidance of nature are in imminent danger of absurdity, her copies were always caricatures. After reading *Evelina*, she sat with her mouth extended in a perpetual smile, and was so very timid, that she would not for the world have looked at a stranger. When *Camilla* was the model for the day, she became insufferably rattling, infantine, and thoughtless. After perusing the *Gossip's Story*, she, in imitation of the rational *Louisa*, suddenly waxed very wise—spoke in sentences—despised romance—sewed shifts—and read sermons. (I, 131)

This adoption of different supersystems or "models for the day"—an expression which also emphasizes the idea of passing literary taste—leads to a form of quixotism in which Julia literally and uncritically imitates the heroines of the novels she reads and, thus, assimilates the epistemological and axiological discourse of the author as the one that models her behaviour. Brunton, therefore, highlights that, no matter

kinds of novels, for instance, the contrast between novelistic poison and antidote, between foul and nurturing literary food (Wood 2003: 14-15).

how morally proper a novel is –or how popular, as is the case of Burney’s two bestsellers–, it can trigger some form of quixotism in its readership. The author’s satirical humour in the description of Julia’s close imitation of the languid behaviour, childishness or even extreme morality of heroines, continues in the conclusion of Julia’s quixotic tale: “Miss Julia, having lately read the life of a heroine who in the capacity of a governess captivated the heart of a great lord, had been seized with a desire to seek adventures under a similar character; but finding that recommendations for experience were necessary to her admission into any family of rank, she had condescended to serve her apprenticeship in the tuition of the daughters of an eminent cowfeeder” (II, 73). With this unromantic setting challenging Julia’s romantic expectations, it is easy to see how Brunton parodies popular plots of sentimental fiction and mentors her young readers towards a more critical approach.

Understanding quixotism as the adoption of certain generalizations of a literary origin and their application to everyday experience, Brunton’s novel possesses a less obvious quixote, the heroine, Laura Mandeville, an exemplary woman and skilled painter. The novel starts with the young Laura receiving the attentions of her suitor, Hargrave, a voracious reader of romances and picaresque novels. This gentleman, instead of proposing, suggests making her his mistress. Horrified but still in love with him, Laura casts him out for a time, in which she expects him to reform. Throughout the novel, Laura must defend her honour from Hargrave’s intrigues, until he kidnaps her and takes her to America. Laura escapes, first fleeing her confinement and then sailing alone down a dangerous river. Hargrave dies after clearing her reputation, and Laura marries the anti-romantic and moral De Courcy, a reader not of romances but of moral poetry, who has loved her from the beginning.

Echoes of Richardson’s novels can be traced. To start with, Laura is an exemplary heroine whose virtue is endangered by Hargrave, in the manner of a Pamela or a Clarissa. Moreover, similarly to Pamela, Laura’s art is, at the same time, her most intimate and exposed expression: her paintings are created in her study, a private and feminine space, although they are exhibited and open to interpretation, as are Pamela’s romantic letters, which enable her reader and her suitor to know her intimately. Laura manages to reject Hargrave at first, but then her romantic or even *pamelian* vision makes her trust a reform and a future proposal of marriage. This is made obvious not only in the time frame she offers for his transformation, but also, more subtly, in her own artistic production. Laura portrays Hargrave as Leontine parting with his family to fulfil his duty. Representing Hargrave as a *pater familias* is a symbol of the romantic expectations Laura has. However, as the novel progresses, it is clear that the positive influence that Laura has over Hargrave will not be enough to produce the moral improvement of the rake that Richardson, and even Fielding, introduce in their respective novels.

In this sense, Brunton also criticizes Fielding's romantic plot. For example, the painting in which Hargrave appears as Leontine triggers the following conversation:

"But why were you so offended, that I compared your Leontine to Tom Jones?—Is he not a favourite of yours?"

"Not particularly so," said Laura.

"Oh why not?—I am sure he is a delightful fellow—so generous—so ardent. Come, confess—should you not like of all things to have such a lover?"

"No, indeed," said Laura, with most unusual energy; for her thoughts almost unconsciously turned to one whose character she found no pleasure in associating with that of Fielding's hero.

"And why not?" asked Miss Julia.

"Because," answered Laura, "I could not admire in a lover qualities which would be odious in a husband." (I, 133-134)

This dichotomy between the lover and the husband that Laura claims, runs parallel to the one between inappropriate and appropriate readings and supersystems: Hargrave, the lover, represents romantic heroes and rakes, whereas De Courcy embodies the values of the realistic and moral poetry he reads and even lends Laura. Brunton is very obvious in this association. In a conversation in which Julia and Laura compare their favourite literary heroes, while the former mentions Lord Orville, Delville, Valancourt, Edward, Mortimer, Peregrine Pickle, and a list that "sounded like a page of the catalogue of a circulating library", Laura chooses Jane Porter's very moral Thaddeus of Warsaw, a picture of man so perfect that her father says it can barely be considered natural (I, 136-137) –and a man who has much in common with De Courcy. On Hargrave, Brunton writes: "he, by accident, stumbled on a volume of Peregrine Pickle, which he devoured with great eagerness; [...] Hargrave could boast an intimate acquaintance with all the plays, with almost all the poetry, and [...] with all the myriads of romances in his mother tongue" (I, 85-86). In this passage, Hargrave is described as displaying a disorderly appetite for fiction that his mother failed to direct to "food wholesome and invigorating", providing her son instead with romances, novels and plays and mistaking "their intoxicating effect for the bursts of mental vigour". Brunton explicitly warns of the results of that course of reading: the young man is ruined, for a "taste for works of fiction, once firmly established, never afterwards yielded to the attractions of sober truth" (I, 86). On the other hand, De Courcy reads *The Pleasures of Hope: with other poems* (1799), a well-reviewed work by Scottish poet Thomas Campbell, which combines sentimentalism with an exalted spiritual tone to discuss the matter of the triumph of

hope over misery. *Peregrine*, by Tobias Smollett, and the poem are both by Scottish authors. In this case, the condoned or condemned readings have nothing to do with nationality, but with the type of principles offered by them.

This conclusion is supported not only by the respective literary tastes of the male characters, but by the constant parallelism that Brunton establishes between Jones and Hargrave in the first part of the novel. This comparison could mean that their end might be similar. However, Brunton states that her intention is very different to that of her predecessors when she claims that in this novel she “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” (Brunton 1819: xlii). As the novel unfolds, this didactic purpose supersedes the romantic plot of the reformed rake, and Brunton clearly aims to teach her otherwise rational heroine that to expect such a reformation is just as foolishly romantic a notion as any of Julia’s sentimental readings of reality. Answering to criticism towards Laura’s resilient feelings for Hargrave, Brunton writes: “It is alleged, that no virtuous woman could continue to love a man who makes such a debut as Hargrave. All I say is, that I wish all the affections of virtuous persons were so very obedient to reason” (xlix). As did the American novelists of the late eighteenth century, Brunton chastises her heroine’s unruly desire for an unworthy object, but also plays with the acquired literary expectations of her implied female readers and exposes them as romantically-deluded as Laura by her reversal of the romantic plot of the reformed rake. Their delusion, as hers, is caused by the adoption of a supersystem that cannot, and should not, be transferred from fiction to reality. In the same way Laura must awake to the impossibility of achieving her romantic hopes, Brunton’s readers will see their own expectations thwarted when Hargrave not only fails to reform and marry Laura, but also commits suicide. Instead of the happy integration of romance within the anti-romantic reality of *Tom Jones* or *Pamela*, Brunton more radically denies the validity of these novels as axiological supersystems by which the behaviour of young women readers could be ruled. As an alternative to the romantic Hargrave, Brunton offers her very appropriate suitor: with a happy and uneventful marriage, Laura, as most female quixotes, renounces her mistakes and becomes an ideal role model within the new moral system that the author introduces in her fiction.

In addition, Brunton provides an aesthetic comment on romantic fiction. By assigning the most implausible passages in the story to those scenes that result from Hargrave’s seduction plot, Brunton once more highlights the dangers of Richardson’s incredible romantic plot, especially because of its inscription within an otherwise verisimilar narrative. Evoking Pamela’s kidnapping and her attempt to run away, Brunton takes it to the extreme with Laura’s imprisonment in America

and her subsequent improbable escape down the river. Literary critics, and even Jane Austen, mentioned the extraordinary nature of these passages, which broke the image of realism. Brunton herself described it as a patch in a sober narrative (xlviii), which may indicate the parodic nature of such a hyperbolic allusion, its nature as a caricature, like the undiscerning imitations of the quixotic Julia.

And just as she did with Julia, Brunton highlights with Laura that sentimental fiction is prone to draw characters that come too close to a caricature. Another criticism, relating once again to Richardson and the romantic elements of his work, is the extremely idealized nature of his characters. Brunton writes:

“You have such strict notions,” said [Julia], “that I see Tom Jones would never have done for you.”

“No,” said Captain Montreville, “Sir Charles Grandison would have suited Laura infinitely better.”

“Oh no, papa,” said Laura, laughing; “if two such formal personages as Sir Charles and I had met, I am afraid we should never have had the honour of each other’s acquaintance.” (I, 136)

While the morality of Sir Charles is unquestionable when compared with the more plausible but morally flawed character of Jones, the propriety of the former is so perfect that the action could not have even taken place. On the contrary, the narrator describes Laura as a prim and extremely moral character who, nevertheless, is not perfect as her ideas are contaminated by her romantic vision of the world. This vision manifests itself in how she reads about martyrs and would like to become one of them, or how her image of Hargrave is “a creature of her own imagination”, an “ideal being” (I, 14). This romantic vision leads to a passionate love for Hargrave, which almost ruins her reputation and her chances to achieve the traditional fairy-tale ending of a happy marriage to the hero. Differently to Richardson, Brunton does not praise her character’s romanticism nor does she use it to transform her rake, but rather develops a process to awaken her quixotic heroine from the romantic illusion that qualifies her. As part of her overcoming of romance, Laura makes mistakes that not only illustrate the lessons of the novel, but that also contribute to its psychological realism (Wood 2003: 129). Laura possesses a romantic notion of the world, the one displayed in mid-century moral novels, therefore she is fallible and must overcome her errors of judgement regarding her suitors and herself, anticipating the psychological realism of later coming-of-age novels and inscribing her in the tradition of female quixotism that scholars have traced from Lennox to Austen.¹¹ What is more, this fallibility is

¹¹ See Borham-Puyal (2015) and Elaine M. Kauvar (1970).

not only more plausible, but it also allows her heroines to be more active and attractive characters, as it is that overcoming of their romantic expectations which enables the existence of a feminocentric story of personal awakening and success.

This use of Laura's foibles to give her visibility is emphasised in the final paragraph of the novel in which, as happens with most quixotic heroines, once she has been restored to respectability, she does not return to art, but to the unnarratable state of wife as "the tranquil current of domestic happiness affords no materials for narrative" (II, 296). Having concluded her toils and adventures, having learnt the value of her truly worthy lover, having reached her maturity, her narrative concludes in the accustomed way: in marriage and invisibility. Moreover, it ends in the habitual manner for quixotic plots of female development, with an overcoming of romance and the inscription within a different form of narrative. A narrative that paradoxically proclaims invisibility for virtuous women, but that hopes to gain visibility and popularity among its women readers for its author, also a woman, by providing them with an attractive surrogate heroine so they might live through fiction the adventures that they could not experience themselves without peril to their virtue (Ballaster 2000: 198). Being mimetic, then, means living romance only through Brunton's fiction but not applying it to real life. It means accepting the paradox of fiction and not believing that the extraordinary can survive the test of the everyday. The surrogate heroine or fictional self thus entertains and teaches, and Brunton's moral lesson is transmitted in a pleasing form that dialogues with romance, that resembles it or is nurtured by it, but which at the same time hopes to overcome its limitations or flaws.

This overcoming, as advanced above, is obvious when it comes to the heroes of the story. Hargrave, from his early association with romance and his embodiment of the implausible plot of the reformed rake, represents the form of fictional illusions that the young quixote must reject. On the other hand, De Courcy, with his connection to sentimental moral poems, his role as Laura's mentor, or his portrayal as a truly sentimental, domestic and moral hero, epitomises the didactic fiction that Brunton herself is developing. Moreover, he represents the type of novel that Brunton defends against criticism and aims to achieve: a narrative fiction that combines noble sentiments, lively descriptions, natural characters, unity of action and an irresistible moral; a probable story that conducts to "a useful and impressive moral lesson" (Brunton 1819: lxxiv). De Courcy represents all the good qualities Brunton hopes to find in a novel. Therefore, although Brunton's novel has much of the fable construction of *Tom Jones*, with her villains and heroes and her American adventures, and of the Richardsonian story of virtue miraculously preserved and rewarded, she hopes to achieve moral but full characters "like Miss Edgeworth's" (Brunton 1819: lxxiv). However, the tension between didacticism and naturalness is not completely

resolved in this first novel, and Brunton's genius shines more distinguishably in her next work of fiction, which also conveys the dichotomy between virtue and pleasure, the domestic and the romantic, in an engaging *bildungsroman* heroine and plot.

In the light of these considerations, it is possible to state that Brunton does not radically reject romance as a genre, but rather, as Cervantes, Richardson or Fielding, she dialogues with it and uses romantic elements to develop a didactic purpose that she conceives as more appropriate than the one introduced by her predecessors. Combining the attractiveness of romance –the exemplary heroine, the story of female virtue put to the test, the adventures and unexpected turn of events, the happy ending–, with her wish to portray woman's character in detail, plus her own Methodist vision of reality, Brunton creates a new form of moral aesthetics, what scholars have termed an “Evangelical romance” (Wood 2003: 28), a highly didactic work enveloped in the pleasing form of a romance that seeks, once more, to put quixotic seduction and cervantean generic hybridism at the service of moral indoctrination.

4. CONCLUSIONS

Tabitha Tenney and Mary Brunton, then, have learnt the lesson taught by Cervantes: by means of a quixotic narrative you can have your cake and eat it too, you can become a literary critic and a validated author. Both prescribe a cure for poisonous reading by means of their own novel, hoping to achieve a new form of mimeticism. Dialoguing with Cervantes and his heirs, Richardson and Fielding, through the quixotic illusion of her heroine, Tenney becomes not only an important link in the tradition of female quixotism, but also a novelist that deserves the title of cervantean. Her evocation of Cervantes himself, the parallelisms with his novel, and her obvious parodic intention evince the influence of *Don Quixote*, especially in its critique to literary antecedents. By means of her quixotic fiction, with its generic and gendered, aesthetic and moral, dialogue with the sentimental novel written by British authors, Tenney builds a form of fiction perceived as more realistic, returning to its cervantean origin.

Brunton emphasizes in her novels the danger implied in the fact that Richardson did not learn from Cervantes and did not cure Pamela's romantic aspirations. Brunton also criticizes Fielding for allowing a romantic, and in her terms somewhat immoral, ending in *Tom Jones*, in which the *pícaro* and libertine Jones marries virtuous Sophia. From her point of view, it would seem that Richardson creates a narrative fiction as implausible as the amatory romances he so openly criticized, while Fielding is cervantean in his conception of the novel as an eminently anti-romantic and realistic space, but allows the picaresque to overcome the moral

idealism that romance enabled in Richardson's work. Brunton, with her hybrid prose and her Methodist discourse, preaches a genre at the same time anti-romantic and anti-picaresque, uniting an aesthetic and moral purpose, although her formal experimentation finds itself limited by her didactic message.

Both authors become thus a link in the tradition of the reception and assimilation of Cervantes in literature written in English, creating quixotic fictions that dialogue with previous genres and authors to create a narrative they consider aesthetically and morally superior, and to warn their audience of the dangers of undiscerning reading. Of course, this validation of their own fiction and their obvious didactic ambition transform them in turn into pygmalionic figures that aim to sculpt their reading Galateas with their own moral, religious or artistic precepts. Their novels become, thus, possible targets of new quixotic fictions in the infinite game of mirrors that is the cervantean tradition.

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**CHARITY INSTITUTIONS AS NETWORKS
OF POWER: HOW ANZIA YEZIERSKA'S CHARACTERS
RESIST PHILANTHROPIC SURVEILLANCE**

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ABSTRACT. *At the end of the nineteenth-century, American private institutions took the charge of spreading national values due to the massive wave of eastern European immigration. These institutions, especially charitable organizations, supported the integration of immigrants, however, from a classist perspective. According to the Polish-American author Anzia Yezierska (1885-1970), their apparently inclusive programs actually hindered the fulfilment of the discourse of the American Dream, which is based on the premise of preserving individual differences. By comparing those charitable institutions to Michel Foucault's panoptical prison, this research attempts to demonstrate how the similarities between both structures help understand up to what extent the benefactresses in charge accurately managed to influence the newly arrived immigrants. The hierarchy of power established between them would determine the latter's difficulties to achieve the recognition of their individualities from their intersectional experiences. The alternative to the monitoring network, thus, appears in the act of solidarity, a kind of resistance that allows ghettoized characters to perform their cultural distinctiveness away from Americanization.*

Keywords: Anzia Yezierska, "My Own People", "The Free Vacation House", charity, power, ghetto, surveillance.

INSTITUCIONES DE LA CARIDAD COMO REDES DE PODER: LA RESISTENCIA DE LOS PERSONAJES DE ANZIA YEZIERSKA ANTE LA VIGILANCIA FILANTRÓPICA

RESUMEN. *A finales del siglo XIX, una serie de instituciones privadas norteamericanas se encargaron de difundir valores nacionales debido a la oleada masiva de inmigrantes provenientes de Europa del Este. Estas instituciones, especialmente las organizaciones de la caridad, apoyaban la integración de las inmigrantes, sin embargo, desde una perspectiva clasista. Según la autora polaco-americana Anzia Yezierska (1885-1970), sus programas aparentemente inclusivos realmente obstaculizaban la satisfacción del discurso del Sueño Americano, basado en la premisa de preservar las diferencias individuales. Al comparar estas instituciones caritativas con la prisión panóptica de la que Michel Foucault hace referencia, este estudio pretende demostrar cómo las similitudes entre ambas estructuras ayudan a entender hasta qué punto las benefactoras consiguieron eficazmente influir a las inmigrantes recién llegadas. La jerarquía de poder establecida entre ellas determinaría las dificultades de estas últimas para alcanzar el reconocimiento de su individualidad desde su experiencia interseccional. La alternativa a la red de vigilancia, pues, aparece en el acto de solidaridad, un tipo de resistencia que permite a los personajes guetizados representar su distinción cultural fuera del proceso de americanización.*

Palabras clave: Anzia Yezierska, “My Own People”, “The Free Vacation House”, caridad, poder, gueto, vigilancia.

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1. INTRODUCTION: PHILANTHROPIC ETHICS

After the second massive wave of Eastern European immigration to North America at the end of the nineteenth-century, the power relations that kept the high classes on the apex of the social pyramid were strengthened for fear that their cultural values would be jeopardized by the new experiences gathering on the large coastal cities. To avoid this situation, and according to the historical passage rescued by the Polish-American author Anzia Yezierska, several private institutions took the charge of spreading American standards, such as the ones inspired by The Henry Street Settlement, founded by the German-Jewish middle-class nurse Lillian Wald (Hoy 1995: 100), or The Clara De Hirsch Home for Working Girls in New York, where the author temporarily moved into with uplifting expectations. These institutions, also known as “philanthropic homes” (Glenn 1990: 62), facilitated

the integration of immigrants, however, from a classist perspective since they supported a presumably propitious program to get the social recognition of which the immigrant Jewish women had dreamt.

Like many Eastern European Jewish families at the end of the 19thC looking for a more prosperous and religiously tolerant future in America, Anzia Yezierska's parents also decided to set out on a journey from their native Polish town on the Vistula River towards such prospective expectations. However, her father, committed to the "Old Ways" (Berch 2009: 13), would rather represent for Yezierska the shadow of traditional Judaism with which any Americanizing attempt had to deal eventually. Eager to find expression for the disappointing experience she underwent as a low-class immigrant woman still searching for an opportunity to make herself "for a person" (Yezierska 2003: 172), Yezierska boarded in The Clara de Hirsch Home to qualify for Home Economics and, thus, be able to earn a living and give voice to such early discontent. What she did not expect, though, was that the class hierarchy she intended to overcome was actually the social engine that maintained the philanthropic machinery functioning.

The cultural clash among the different migratory waves was fueled by the stable identity already established by those who had arrived a few decades earlier. In other words, immigrant women had already arrived from the former German Empire between 1840 and 1860, and the newly arrived women from eastern Europe, bringing with them instability and located in the Lower East Side ghetto, had to face their exclusion (Payant 1999: xvii). The philanthropic institutional network, thus, would be promoted by those German-Jewish middle-class women whose main concern was to create easily recognizable archetypes for immigrants to quickly adapt to the new American standards. By participating in such philanthropic projects, the already Americanized women achieve to approach themselves to the public arena so as to enlarge their experiences beyond the private and domestic contexts (Antler 1997: 40). Besides, the settlement workers in charge of facilitating such adaptation, also referred to as *benefactresses* or *friendly visitors* in Yezierska's fiction, also spread a specific message: the only way to eradicate that exclusion would be through the formation and participation in the charitable programs intended to foster certain working ethics to avoid laziness and potential begging: "pauperism [...] was [...] a natural illness that marked the poor as a special class of the sick" (Pimpare 2004: 30). Subsequently, "American Jews responded to the social problems created by immigration by engaging in large-scale philanthropic projects [...] to aid the immigrants upon their arrival and to facilitate their rapid assimilation" (Baum 1976: 165). In this way, both the benefactresses and the newly arrived women would be at different privileged stages when the time came to establish their relationships, reaffirming

the hierarchy of power between both sectors of society. Concerning the lack of public recognition of the ghettoized women, the hierarchy would determine the ineffectiveness of those institutions represented by the first wave immigrants.

At that time, American society was already influenced by discourses whose only purpose was to thoroughly explain how to eradicate certain social decadence that could be apparently felt after women started gaining ground in the public space. In 1873, Edward H. Clarke published a compilation of essays – *Sex in Education or a Fair Chance for Girls* – where the contemporary educational methods are considered to be the main cause of such decadence. In the book, he states that women's physical specificity must be taken into account when designing learning strategies, so that American individuals can make the most of each instructive experience. By strategically resorting to sexually divided educational methods in schools, his argumentation shaped the idea that women's capability to maintain a successful career could not be equated to that of men's. Since their specific physiological traits required from them special attention and care, women had to be prevented from dealing with their academic requirements as efficiently as their male counterparts did. For this reason, female students in North America were regarded as indirect victims of a common national threat which consisted of their achieving public recognition by deliberately emulating men: "the identical education of sexes [...] will introduce the element of emulation" (1873: 30). Dr. Clarke warns the American audience not to equate women's learning methods with that of men's in an attempt to clarify the reasons why female individuals cannot cope with their domestic duties and, consequently, tend to become mentally disordered: "Later on, when marriage and maternity overtake these girls, they live 'laborious days' in a sense not intended by Milton's line, they bend and break beneath the labor, like loaded grain before a storm, and bear little fruit again. A training that yields this result is neither fair to the girls nor to the race" (1873: 25). Although the accomplishment of domestic tasks, such as caregiving or cleanliness, was directly conferred to women, those belonging to middle- and high classes found escape from the private sphere by occupying both the management and instructor positions within charitable organizations. Furthermore, the spreading of female archetypes was made possible by the benefactresses' influence on the immigrant women's daily lives. When becoming aware of the social recognition that the former group enjoyed, the latter concentrated their efforts on complying with gendered norms in an attempt to achieve the same social status as their instructors.

The teaching of domestic tasks on the part of the charitable institutions was a prolongation of gender roles broadly implemented within American families at the beginning of the twentieth century. The newly arrived women, mostly belonging

to lower classes, understood domesticity as the only way to get the recognition of their individuality outside the Lower East Side. However, those tasks, as Yezierska describes in the short story "The Free Vacation House" (1920), or in the novel *Arrogant Beggar* (1927), actually reduced the potential of the individual to the gloom of the private context. In this way, the immigrant's prospective recognition would be exclusively confined to the act of serving an elitist group. By hiring their services in exchange for a small salary, the upper classes successfully maintained class hierarchy, not allowing the Lower East Side immigrants to escape from their social exclusion:

The organized charity movement of the late nineteenth century was funded, staffed, and led not by neutral reformers seeking to improve the lot of the poor, but by business and professional men who sought, often explicitly, to limit charity so that the working classes would be less powerful and more dependent upon their employers. (Pimpare 2004: 80)

Regarding the author's experience as an immigrant, which dated from her arrival in the early 1890s onwards, Delia C. Konzett states that Yezierska herself rejected the charity activities depicted in her stories: "She resented the Americanization programs sponsored by reform-minded Americans of the Progressive Era, particularly the affluent and established Americanized German Jews" (Konzett 1997: 596). Taught to serve through training courses aimed at mastering the usage and layout of the domestic sphere, the Jewish immigrants participated in the charity network and learned their position in North American society from discrimination. Thus, upward mobility and public recognition, aspects which had previously encouraged their trip to the New World, would eventually be devoid of any credibility.

Although the training courses were designed to encourage inclusion in the labor field – "(Anzia Yezierska's) rich patronesses (Sarah Ollesheimer among others from The Clara de Hirsch Home) agreed to pay her tuition as long as she enrolled in a vocational training program in domestic science at Columbia Teachers college (Ginsberg 2016: 93) –, other types of services can be found, such as the routine supervision of each family's resources or the provision of some staple food. Although the supervision was necessary, as these institutions were supported by the altruistic side of the affluent classes and could not afford to provide help without some fixed criteria (Pimpare 2004: 68), it would also determine the ghettoized women's adaptation. As Judith W. Leavitt states, since they lacked any economic stability, the Eastern European immigrants inhabiting this specific context in New York could have put the North American hierarchy of classes at risk: "People with no home or family had been particularly vulnerable to official control, because they did not have the social and physical supports to convince authorities that they could care for themselves and not endanger others" (Leavitt 1995: 158).

As women, the benefactresses had to confine their social labor within the domestic sphere as well. Belonging to the first wave of immigration from eastern and central Europe, they thought that their social recognition in the public space could be obtained by showing concern for the instruction and care directed towards the less privileged society sectors. As Janet H. Burstein states,

Jewish women were encouraged to withdraw from the marketplace [...] But to aspiring middle-class women America also offered an opportunity to expand their caregiving beyond their families, because philanthropic concern, particularly on a personal level, was considered one of the few activities that might legitimately draw a middle-class woman [...] from her home. (Burstein 1996: 79)

Although Burstein bases her argument on Charlotte Baum, Paula Hyman, and Sonya Michel's research (1976), she also focuses on the tendency of already Americanized women, most of whom described by Yeziarska as middle-class and Jewish, towards reproducing stereotyping models of behavior determined by gender. Thus, the fact that the benefactresses acquired social significance when carrying out charitable programs is the result of the accurate execution of a set of imposed gendered norms. In other words, compliance with these norms allowed these women to receive public recognition, which was apparently forbidden in their domestic confinement. However, taking into account the extent to which they were related to caregiving and teaching of domestic tasks, performing female roles actually brought immigrant Jewish women closer to anonymity and servitude and excluded them from every position of relevance beyond socially invisible spaces.

In her novel *Arrogant Beggar*, published in 1927, Yeziarska portrays this situation from the perspective of a young immigrant, Adele Lindner, who, like the author, decides to lodge in a charitable organization to get trained in the field of "domestic sciences." The Home for the Working Girls, inspired by The Clara de Hirsch Home for Working Girls (Ginsberg 2016: 76), represents the network of power that watches over the boarders to both shape an American female type and transform their cultural differences. In this institution, the boarders, constrained by their social class limitations, are intended to assimilate into the American female standard. When Mrs. Hellman, the benefactress in charge, explains to Adele the utility of the courses offered, she reveals the actual classist intention of the discourse with which they describe their social commitment: "It is my hope that this training in domestic science will enable you to become a leader among your people. You can teach them that the joy of living consists on serving others" (Yeziarska 2010: 46). In this way, although this type of institutions defined themselves as the most accurate means for immigrant women to transcend their exclusion, the truth, according to the author, is that they actually reinforced the social class hierarchy: "Those with wealth and power who sought to protect their status and enlarge their gains needed, among

other things, some cohesive rationale, a dominant story that could explain the need for what might seem to be unjust and undemocratic outcomes" (Pimpare 2004: 21). Presenting servitude as the objective to reach, upper classes' strategic altruism eventually contributed to the maintenance of social hierarchy and, therefore, to the impossibility of performing their desired ideal of class equality.

2. PHILANTHROPIC SURVEILLANCE WITHIN THE PANOPTICAL STRUCTURE

2.1. *THE "FREE VACATION HOUSE" AS A REFORMING EXPERIENCE*

Given the lack of recognition that the eastern European women faced on the public arena in New York, they initially trusted domesticity as a means of escape from the Lower East Side. However, there is another pressing issue they had to deal with: surveillance. To this respect, the charity institutions depicted by Anzia Yeziarska find support in Michel Foucault's theoretical basis on how the institutional networks of power manage to achieve control by turning to panoptical building structures. By referring to Foucault's panoptical theoretical framework, Yeziarska's philanthropic organizations can be more accurately approached as they structurally work in a similar way. The author sets out this situation by showing an exhaustive depiction of control exercised upon the characters, which affects most of them throughout her literary production. In one of the short stories, firstly published in 1915 and entitled "The Free Vacation House," the Polish-American author demonstrates to what extent the charitable institutions offer these ghettoized women a way out of their poverty; that being the case, she also wonders what they are forced to renounce in order to enjoy their services. In the story, Yeziarska decides not to bring to light the name of the main character. In this way, the vulnerability becomes more evident since the character's situation is not reduced to a specific individual, but can be extrapolated to multiple contexts.

The first scene shows the arrival of a visiting teacher to the anonymous main character's tenement flat in response to her apparent lack of attention to her children's school schedule. Realizing the mother's hard living conditions as a consequence of fulfilling both domestic tasks and maternal responsibilities, the woman from the charity recommends her to attend one of their programs in the countryside for two weeks. The institution's purpose is advertised as an altruistic strategy by hosting women whose limitations destabilize their duties as mothers and householders: "I know of a nice country place for mothers and children that will not cost you anything. It is free" (Yeziarska 2010: 43). Furthermore, the benefactress's unexpected visit denotes both a lack of intimacy, which can be considered as a typical high class privilege, and the existence of a monitoring network present throughout the New York Jewish ghetto.

Once the case is reported, a supervisor is sent the following day to coordinate the inclusion of the young girl in the program that the institution – “Social Betterment Society” – endorses. The intrusion of higher-class characters in the urban low-class context under the premise of ensuring stability enhances the young woman’s vulnerability since she becomes the target of a strategically paternalistic purpose. The main character’s experience becomes a subject of study monitored by figures such as the friendly visitor, whose unexpected presence does not take into account the ghettoized women’s will. This is depicted in the story, when the young girl states, “The lady take herself a seat, and then takes out a big black book from her satchel. Then she begins to question me. What is my first name? How old I am? From where come I? How long I’m already in this country?” (Yeziarska 2010: 44) In addition, the fact that these charitable organizations had a limited income at their disposal, mostly coming from private benefactors, such as the wealthy banker Henry Ollesheimer (Ginsberg 2016: 76), implies the need to discriminate some situations in favor of those more propitious for receiving their services: “Charity organization societies urged that relief be administered privately to reduce the power of patronage in relief giving and to lodge its administration in institutions that would better discriminate than government or the churches between the ‘worthy’ and ‘unworthy’ poor” (Pimpare 2004: 48). Besides, to manage their duties, it became essential to record every candidate’s situation in order to carry out an accurate selection by following previously fixed criteria. In the story, this is noted as, “We must make a record of all the applicants, and investigate each case [...] There are so many who apply to the charities, we can only help those who are most worthy” (Yeziarska 2010: 44). A hierarchy is established when it is time to select which candidate fits best, which determines behavior inasmuch as the ghettoized women feel compelled to shape their experiences according to the institutions’ requirements. Such influence, though not precisely shown in this short story, appears in another work entitled “My Own People,” which is discussed further in the following section.

For the young girl, the program designed by the Social Betterment Society means the acceptance of her social invisibility and the assumption that she is to participate in a rescue plan for which only the beggars are apparently considered. The young woman states, “Ain’t the charities those who help the beggars out? I ain’t no beggar. I’m not asking for no charity” (44). Rejecting the services offered by this type of organizations is a recurrent theme along Yeziarska’s fiction. The rejection takes place once the ghettoized characters unveil the charity’s actual purpose, which widens, rather than narrowing, the cultural chasm between eastern European women and those already settled decades before. Despite her initial refusal, though, the main character finally accepts their help so she can dissociate herself for a short period of time from the domestic duties with which she cannot cope. After a second phase of

interrogation, during which the same questions are formulated with the aggravation of being asked before the other female candidates, the benefactresses lead them to a health examination room: "A man doctor with a nurse comes in, and tells us to form a line, to be examined [...] From the way he was afraid to touch us or come near us, he made us feel like we had some catching sickness that he was trying not to get on him" (46). This scene is reminiscent of Mary Antin's experience depicted in her autobiography, *The Promised Land*, published in 1912. She and her family were compelled to pass through a medical examination when they reached the frontier between the former Russian and German empires to check whether they could put at risk the public health in the territories they had to travel across: "At Versbolovo, the last station on the Russian side, we met the first of our troubles. A German physician and several gendarmes boarded the train and put us through a searching examination as to our health, destination, and financial resources" (Antin 1997: 135). The Jewish families belonging to the former Russian Empire had to fulfill certain hygiene and health expectations influenced by the discourses of the higher classes, scared of seeing their perdurability destabilized. Likewise, the main character in "The Free Vacation House" is thoroughly examined to check if she is suitable enough to receive the charitable services. Both medical examinations, thus, are intended to classify and judge the individual according to classist and discriminatory interests.

In Yezierska's works, the strategy followed by the charitable institutions deals with the survival of the predominant values of the elitist society (North American, in this context), which decides what aspects should be taken into account regarding the inclusion of individuals with different cultural backgrounds in the public space they supervise. Moreover, the intrusion of these institutions in the ghettoized women's lifestyles encourages, as Yezierska displays, their stay on the margins and not their actual inclusion. The discourse that judges each individual's health standards at the European borders and the one which allows the benefactresses to judge the individual's level of poverty have been both designed on the basis of social discrimination. In fact, the latter is not addressed to get access in the public space. Rather, it concretely confines women within the urban ghetto they have purposely been located in.

Once the anonymous protagonist arrives at the place in the countryside, she connects the benefactresses' surveillance with her feeling imprisoned inside categorization: "When she already got through asking us out everything, she gave to each of us a tag with our name written on it. She told us to tie the tag on our hand. Then like tagged horses at a horse sale in the street, they marched us into the dining-room" (Yezierska 2010: 47). Being labeled and classified in minute detail clearly implies the character's dehumanization process as the type of social network the benefactresses intend to establish; the boarders themselves feel forced to be

defined by a serial difference – that is to say, their personal details and economic status. In addition, the young girls must obey certain norms shaped to understand individual behavior in terms of collectivity; subsequently, their individuality is called into question and constantly monitored, being also restrained throughout the period when the services are offered. In this respect, it is relevant to point out what Michel Foucault states in his analysis of the mechanisms of control, especially those associated with what is currently known as a prison. Foucault refers to the need of institutionalized systems of registering and taking notes on those individual conditions that have originated crimes. As Foucault argues, “A whole corpus of individualizing knowledge was being organized [...]. The prison functions in this as an apparatus of knowledge” (1977: 126). In the same way, the Social Betterment Society, though a private institution, also appears as an “apparatus of knowledge” inasmuch as it records each candidate’s profile and establishes standards of poverty upon which it judges the boarders’ suitability. Although the French philosopher focuses on the public organizations supported by a governmental supervision, the charitable institutions to which Yezierska refers can be understood as equally productive in terms of structural providers of information. Due to their interest in making the American female archetypes last, these institutions have the mission of transforming the individual, something reminiscent of the corrective pretensions of the prison described by Foucault. In this way, the three interrogations they have to go through take part in the structural framework of power with the only aim of surveilling the correct compliance of the norms upon which it has been built.

As soon as the ghettoized Jewish women arrive at the countryside house, one of the benefactresses makes them aware of the rules that must be fulfilled during their stay, again emphasizing the indoctrinating nature of the institution: “When she got through with the rules, I was wondering which side of the house I was to walk on. At every step was some rule what said don’t move here, and don’t go there, don’t stand there, and don’t sit there” (Yezierska 2010: 48). In spite of this, after experiencing how the facilities show the cleanliness and hygiene typical of the higher classes, the girl apparently forgets the strict obedience she denounced moments before: “I soon forgot again all my troubles” (47). Well aware of the influence the display of cleanliness has among the immigrant girls, the benefactresses take advantage of such longing in order to spread high-class archetypes. By compelling the ghettoized women to keep the facilities clean, they are at the same time using that workforce to maintain American standards of hygiene, being the only beneficiaries of the outcome. In this way, the main character witnesses how the power relationships are established between a group of low-class women and those belonging to a more well-to-do sector, and how these local relationships indirectly help to globally maintain class differences:

On every few days there came to the house swell ladies in automobiles. It was for them that the front from the house had to be always perfect. For them was all the beautiful smelling flowers. For them the front porch, the front sitting-room, and the easy stairs with the carpet on it. (48)

Therefore, in contrast to the boarder's poverty, the benefactresses enjoy a set of privileges that their status as middle-class women provides them with. Joyce Antler brings to light the consequences of these Jewish immigrants taking part in the high-class dynamics: when they "Leave the poverty and despair of the ghetto behind them, this triumph is mitigated by the loneliness they find" (Davidman 1994: 197).

The external part of the house remains under uninterrupted surveillance so as to guarantee cleanliness and turn such standards of hygiene into a pleasant experience. By making sure that the exterior space does not incur any damage, the directors can enjoy the visual pleasure perceived when looking at it. Likewise, the emerging female stereotypes spread throughout North American society at the time were also intended to provoke satisfaction and pleasure in potential recipients or observers. Unable to purchase the outcome of their effort, the boarders are compelled to produce visual pleasure indirectly participating in the American consumption market strategies: "To guide that purchasing stores worked assiduously to make women want to be the beautiful, stilled, highly decorated creations they saw in the windows there" (Adams 2012: 67). In the same way as the products displayed in the shop windows along large New York avenues and the female archetypes created to satisfy consumption needs, the external part of the charity building also participates in a marketable process. As a result, the building's external part becomes a symbolic consumer good that, though it is not put on sale under a monetary transaction, is displayed in a way that raises pleasure in the observer. Once its value is perceived and acknowledged by the elitist group, the purpose of its exposition is eventually fulfilled – that is to say, it is acquired and consumed. To make this process of acquisition last, the immigrant women are dehumanized and subjected to specific rules that aim to prevent them from trespassing the limits of their conditioned identity as Jewish, immigrant, low-class women:

Always when the rich ladies came the fat lady, what was the boss from the vacation house, showed off to them the front. Then she took them over to the back to look on us, where we was sitting together, on long wooden benches, like prisoners. (Yeziarska 2010: 48)

As the New York Jewish ghetto of that period can be understood as a space where the individuals whom the dominant classes despised were crowded together, the backyard of the depicted charity building also represents a border of exclusion. Given their cultural differences and lack of social status in comparison

with the normalized identities of the benefactresses, the ghettoized individuals are once more forced to experience the public space in the background.

Alienated and devoid of the attention they expected to receive, the Jewish boarders face exclusion from a very subtle perspective. Having their basic needs covered offsets the servitude of the tasks required against the distance taken away from the ghettoized context from which they come, turning their toiling into something less explicit: “Life at the vacation house is an accumulation of rules that imprison the poor mother in more ways than life in the tenements ever could” (Billeter 2011: 63). The main character eventually reveals and denounces the humiliation she has gone through by alluding to all ghettoized women enduring that experience. Her identification with the rest of the boarders shows the character’s need of taking distance from American strategies of social integration, which Yeziarska steadily demonstrates in this story:

If the best part of the house what is comfortable is made up for a show for visitors, why ain’t they keeping the whole business for a show for visitors? For why do they have to fool in worn-out mothers, to make them think they’ll give them a rest? Do they need the worn-out mothers as part of the show? I guess that is it, already. (Yeziarska 2010: 49)

As it has been previously stated, the constant surveillance upon the individuals belonging to a specific community enhances the maintenance of controlling structures to ensure submissiveness towards the standard. In this context, the benefactresses’ main concern is not only the instruction of American behavioral codes to newly arrived immigrants, but also the maintenance of their social status. Thus, to support this situation, it becomes necessary for them to rely on the female boarders’ workforce and commitment.

With the purpose of transforming the behavior that has led the female boarders to such an apparently unstable situation, the Social Betterment Society focuses on classifying ghettoized women’s profiles to prevent any upcoming signs of potential rebellion. As a result, they would avoid the rise of a collective denouncement that may destabilize the social hierarchy. It is worth noting Foucault’s statement regarding the corrective nature of the reformatories in opposition to the corrective sentences applied in prisons, since the charity network also intends to transform the individual’s behavior: “Individual correction must, therefore, assure the process of redefining the individual as subject of law, through the reinforcement of the systems of signs and representations that they circulate” (1977: 128).

Taking the Social Betterment Society as a reformatory structure, and following Foucault’s argument, it can be stated that the low-class female boarders, whose crime is the failure to fulfill their role as mothers when simultaneously attempting to cope with domestic tasks, eventually rectify their rebellious attitude and gladly

go back to their ghettoized routine. When the main character expresses her happiness on returning to the Lower East Side, which previously she despised, she is actually confirming the extent to which these institutions influence their candidates and how their methods are accurately enough conducted to transform an individual's behavior:

How good it was feeling for me to be able to move around my own house, like I pleased. I was always kicking that my rooms was small and narrow, but now my small rooms seemed to grow so bug like the park [...] All these ugly thinks was grand in my eyes. Even the high brick walls all around made me feel like a bird what just jumped out from a cage. (Yeziarska 2010: 49)

In addition, when Foucault refers to “representations,” what he attempts to show is these institutions’ need of publicly spreading the representations of the sentence to generate a kind of collective knowledge that would eventually prevent lower classes from repeating rebellious acts.

The Social Betterment Society, therefore, is characterized by two main aspects, directly connected to Foucault’s panoptical prison. On one side, its reformatory purpose, which persuades the individual who commits an offense not to make it happen again. On the other side, its use of disciplinary techniques, which turns the individual into a passive observer of their dehumanization, referred to as “forms of coercion, schemata of constraint, applied and repeated. Exercises, not signs: time-tables, compulsory movements, regular activities, solitary meditation, work in common, silence, application, respect, good habits” (Foucault 1977: 128). When the young girl denounces either the abuse coming from the large number of prohibitions or the strict rules to which they have to submit themselves, what she actually does is report a network of power minutely designed to alienate the ghettoized low-class Jewish women. By taming their behavior, the Social Betterment Society corrects their temperamental deviations and prevents them from future rebellions.

According to the definition with which Foucault refers to those individuals serving a life sentence as their corrective punishment – “the obedient subject, the individual subjected to habits, rules, orders, an authority that is exercised continually around him and upon him, and which he must allow to function automatically in him” (1977: 129) –, the immigrant woman portrayed by Yeziarska also experiences her own routine subjected to the whims of others. Obedience would be one of the key aspects when it comes to understand these charitable institutions’ functioning, since the fact that the female boarders consent to their dehumanization and obey the orders they are given allows the class hierarchy to keep reproducing inequality. The domination of some groups by others is based on the assumption that social determinism lies behind the accuracy with which the charitable power structure

accomplishes its task. Thomas Kelley makes reference to how Andrew Carnegie and John D. Rockefeller, early twentieth-century American magnates and philanthropists, supported such hierarchical structure on moral grounds: “Steeped in Social Darwinism, they believed it was a waste of time to defy the evolutionary process by supporting the weaker of the species, those who in earlier generations would have been referred to as the ‘undeserving,’ ‘idle,’ or ‘sturdy’ poor” (2005: 2455). As long as Yeziarska’s characters continue submitting themselves to the domestic tasks, attributed to them because of their being women and poor, that model of domination will keep being reproduced. Within this social circle of interdependence, where some members struggle to maintain the class hierarchy, the Americanization process is continually producing new discourses and taking different shapes to be acquired as a lifestyle. Therefore, the public integration that the ghettoized Jewish women wish to achieve cannot be attained through the act of servitude, which is euphemistically hidden under the accomplishment of the domestic science courses.

The Social Betterment Society, in this way, delivers an attractive discourse that proposes the newly-arrived immigrants a temporary solution to the possible inconveniences that their life in the ghetto may suppose. However, as Susan A. Glenn stated regarding the domestic tasks as a way of escape from exclusion, the servitude appears as a paternalistic means that imprisons the ghettoized women within their social class cell:

Whatever material comforts and security were afforded to domestics, the benefits scarcely compensated for the humiliation associated with servitude. Not only did it imply a loss of independence and an acknowledgement of inferiority, but it meant cleaning, sweeping, laundering, and other tasks labeled “dirty work.” (1990: 16)

The short story “The Free Vacation House” shows how, after experiencing servitude while at the countryside, the main character finally values the private space of the Lower East Side and adjusts herself to the lifestyle she has been allocated, reinforcing the corrective nature of such philanthropic American institutions.

2.2. “MY OWN PEOPLE” AS AN EXAMPLE OF EFFECTIVE SURVEILLANCE

Along Anzia Yeziarska’s fiction, topics dealing with controlling structures of power within the urban context of America are recurrently found. However, the author also offers an alternative to take distance from that strategically classist structure. To exemplify this alternative, it is relevant to mention another short story, “My Own People,” which belongs to the same collection, *Hungry Hearts* (1920). In this story, Yeziarska describes how the omnipresence of the charitable institutions’ surveillance comes into conflict with the solidarity associated with the Jewish background of Lower East Side inhabitants.

Sophie Sapinsky, a young girl who aspires to become a writer, boards in a room that Hanneh Breineh, a Jewish mother and peddler, has inside her tenement flat. In the same way as the anonymous mother in “The Free Vacation House,” Hanneh complains about the impossibility of fulfilling her duties as mother, finding relief in expressing her despair before her new boarder: “The president from America should only come to my bitter heart [...] Let him try to feed his children on the money the charities give me and we’d see if he wouldn’t better send his littlest ones to the shop better than to let them starve before his eyes” (Yeziarska 2010: 102). Her statement discloses both the constant surveillance coming from the charitable institutions and the insufficient quantity of provisions that ghettoized women receive, which prevents Hanneh from raising her social status and compels her to depend on street trading.

While in “The Free Vacation House” the alternative offered means the participation of ghettoized Jewish women in the corrective programs sponsored by the Social Betterment Society, here Yeziarska shows a way of escape that does not necessarily pass through charity, but takes place thanks to the generous gesture of Shmendrik, a Lower East Side inhabitant that lives next to Hanneh’s tenement flat. After an acquaintance has given him a bundle of food, he decides to share it with Hanneh and her children. While the solidarity act is being carried out, though, a benefactress suddenly appears, which symbolically confirms the vulnerability of ghettoized inhabitants in terms of privacy – “Unannounced, a woman entered – the “friendly visitor” of the charities. Her look of awful amazement swept the groups of merry-makers [...] ‘I came to my monthly visit – evidently I’m not needed’” (105) –. The intrusion of the friendly visitor in the private spaces the characters dwell is a direct consequence of the invisible surveillance to which these Jewish women are exposed. The fewer their means, the larger the extension of knowledge needed around their experiences becomes. A science of knowledge is therefore produced, which feeds on an unforeseeable surveillance: “Most of the COS (Charity Organization Societies) reformers implemented a charity that, whatever its intent, was in effect an attempt to monitor and change the behavior of their poor petitioners” (Pimpare 2004: 70).

The characters, forced to remain unaware of the time when the surveillance starts, feel the pressure of the power hierarchy that persuades them not to reject the behavioral stereotypes associated with their social status, such as enjoying Shmendrik’s cake, which they are not presumably able to afford.

Taken from Jeremy Bentham’s panoptical construction (Bentham 1791), the French philosopher’s redefinition of the contemporary prison and its effects points out the accuracy with which surveillance takes over rebellion by inducing “in the inmate a state of conscious and permanent visibility that assures the automatic functioning of power” (Foucault 1977: 201). The sudden appearance of the benefactresses in the ghettoized tenement flat acts as a warning that compels their inhabitants

not to surpass what they are socially expected not to. Otherwise, it would imply expulsion from the charitable programs, thus increasing their vulnerability: “One of the principal functions of friendly visitors was to recommend whether a family should receive assistance, and in what form, which was clear to those visited: among their challenges, then, was to at least appear to be comporting with the desired behavior of their visitor, since fewer than one in three applicants was eventually deemed worthy of relief” (Pimpare 2004: 70). In the same way as the prisoner within the panoptical structure pays for his crime by being constantly exposed before one or more overseers, whose activity is unknown by the prisoner, so are the ghettoized women receiving charitable aid, as if they were serving a sentence for having committed a crime. Thus, the crime for which these characters are forced to constrain their experience under the surveillance of such institutions implies two premises.

On one side, the crime would be related to denouncing or complaining about a situation that is no longer bearable, as is the case of the anonymous mother in “The Free Vacation House.” To reform rebellious behaviors, these New York charitable institutions recreate prison policies inside a shelter with the purpose of persuading the boarders to leave their will of change and discomfort behind. The servitude that the female characters have to endure inside those shelters is such that they prefer to go back to the Lower East Side, which confirms the efficiency of the programs in pursuit of fulfilling Americanness by hindering upward immobility.

On the other side, the wish to achieve Americanization by lacking the means to maintain what would be the new identity also determines their being steadily watched over, as if they have, once more, committed a crime. In order to avoid the punishment of constant surveillance, they feel compelled to take part in that process. By completely Americanizing themselves and not displaying any remaining feature from their cultural heritage, they supposedly get rid of their oppression. To ease the Americanization the charitable institutions suggest the participation in the “domestic sciences” courses. Places such as the Home for the Working Girls in the novel *Arrogant Beggar*, or the Manning Settlement House in *Salome of the Tenements*, teach immigrant women domestic tasks as the fastest way to gain access to the labor dynamics of the city and, thus, to the recognition of their individuality in the public space. According to Yeziarska, however, these institutions intentionally teach them how to become high-class servants instead, which leads them back to the Lower East Side once they have realized of the deception. An accurate performance of the Americanized identity would therefore allow them to be released from the influence of the charity network inasmuch as they could enjoy economic autonomy, though that does not mean to elevate social status.

The outcome resulting from both possibilities confirms the efficacy of the charitable programs inasmuch as they strategically cause the characters' return to the ghettoized context from which they have attempted to escape.

On the whole, the prison as a panoptical building and the strategies carried out by the charitable institutions here depicted need surveillance to maintain their functioning. In Foucault's words, "any panoptic institution, even if it is as rigorously closed as a penitentiary, may without difficulty be subjected to such irregular and constant inspections" (1977: 207). Both the criminals and the boarders find themselves under supervision of an authorized group that is at the same time observed and analyzed by its own members. Understanding Hanneh Breineh's tenement flat as a place where certain discipline has to be obeyed and whose access is free to be unexpectedly supervised, it symbolically functions as a cell belonging to a panoptical structure, such as that described by Foucault.

The social invisibility of the ghettoized Jewish families is understood as a consequence of their not being able to properly Americanize, which would imply both the acceptance of the consumption market values and the rejection of the Jewish tradition. In other words, their exclusion represents the sentence to which they have been condemned. Likewise, the friendly visitors symbolize the guards that monitor the fulfilment of the sentence inside the prison by registering the low-class experiences in favor of a scientifically sociological interest. As long as surveillance and expulsion from society are the unavoidable consequences of committing a crime, then the same structural punishment manages both Foucault's prison and Yezierska's institutions.

Therefore, the sudden arrival of a friendly visitor to Hanneh Breineh's flat when an infraction is being committed reveals the incompatibility of her neighbor's generosity with the institution's regulations. The benefactress's departure with the pretext of reporting about what has just happened causes Hanneh to give expression to her despair once again, denouncing their lack of understanding: "Will we get no more dry bread from the charities because once we ate cake?" (Yezierska 2010: 105) For her disobedience, Hanneh gets expelled from the charitable program, a kind of punishment that would accentuate the one already sentenced for not getting involved in the American labor dynamics: poverty. This corroborates the ghettoized character's need of fulfilling expectations related to her social class context. In this regard, Elizabeth Ewen makes reference to the labor carried out by Mabel Kittredge, born in North America and dedicated to teach cleanliness and hygiene archetypes performed by middle and high-class women. Her argument explicitly shows how the charitable institutions in charge of spreading the "domestic sciences" followed a specific educational strategy,

which would consist of teaching ghettoized women to Americanize their home without that implying an increase of their incomes:

Mabel Kittredge, a leader of the scientific housekeeping movement, was upset about the furnishings that immigrant women used in their fight against the ugliness of tenement living [...] Kittredge wanted to tear down all the home decorations in immigrant households and replace them with 'scientific knowledge regarding food, air, sun, and cleanliness.' To do this, she established what she called 'model tenement apartments,' decorated in austere style along the lines of a hospital room where immigrant women were given demonstrations of clean, uncluttered 'scientific' living. (1985: 157)

This extract is relevant to understand the reasons why Hanneh eventually reveals the fake nature of those training courses to provide Jewish women from the Lower East Side with the necessary tools to escape from their exclusion: "She's a 'friendly visitor!' She learns us how to cook cornmeal. By pictures and lectures she shows us how the poor people should live without meat, without milk, without butter, and without eggs. Always it's on the end of my tongue to ask her, 'You learned us to do without so much, why can't you yet learn us how to eat without eating?'" (Yeziarska 2010: 105) Described as such, teaching to imitate high-class dishes when lacking the means to cook them supports the acceptance of the social class differences for two main reasons. Firstly, these women are taught to reduce the time spent accomplishing the domestic tasks so they can gain enough confidence to apply what they have learnt when working as servants for the higher classes. And secondly, they are also taught to reduce living expenses and make the most of low incomes so that they are able to maintain a more comfortable life and, thus, a less rebellious attitude.

When getting in contact with the benefactresses, friendly visitors and the boarding directors, Yeziarska's main characters become aware of their vulnerability after witnessing their being treated as prisoners. In this way, the class differences are constantly perceived since they become more and more evident once both female groups share the same spaces: "Charity ladies? – gladness? [...] 'For poor people is only cornmeal. Ten cents a day'" (105). Furthermore, the subsequent arrival of some benefactresses at Hanneh's flat inside an ostentatious vehicle while wearing expensive clothes points out again the different lifestyles between both social classes: "The soft sound of a limousine purred through the area grating and two well-fed figures in seal-skin coats, led by the 'friendly visitor,' appeared at the door" (106). The exam to which these women are submitted inside their home demonstrates the defenselessness they suffer in comparison with the power exercised by institutions such as the Social Betterment Society. As part of its committee, Mr. Bernstein, headmaster of the center and responsible for carrying out the investigation, thoroughly scrutinizes Shmendrik's letters so as to check the

times that the infraction may have been committed. After confirming the recurrence of the disobedience, he charges the ghettoized character with reporting them to the institution: "You are charged with intent to deceive and obtain assistance by dishonest means" (106). Using the same discursive strategies with which the criminal is charged at the law court, the headmaster, accompanied by a friendly visitor in charge of recording everything, participates in the structure of power to which Foucault refers in his writings.

In this sense, the French philosopher states that those individuals submitted to the same set of regulations tend to unintentionally surveil each other's actions as part of their duties, turning themselves into their own prosecutors: "He who is subjected to a field of visibility, and who knows it, assumes responsibility for the constraints of power [...] he becomes the principle of his own subjection" (1977: 203). By making reference to the reproduction of the "coercions of power," he leaves little room for the criminals to generate any kind of resistance due to their not being aware of those moments when the system of surveillance turns itself vulnerable—that is to say, those moments in which criminals can perform a transgression without being observed. In contrast, inside the private context of the Lower East Side that transgression would be represented in Shmendrik's act of solidarity when sharing the bundle of food and sweets he was given with Hanneh's family. This act symbolically becomes a resistance within the surveillance network carried out by the Social Betterment Society. Given the fact that this resistance does not come from any Americanizing strategy, the institutional justice exercises its punishment by preventing them from receiving any charitable aid, depending only on the community's supportive ties. By establishing solidarity as an alternative different from the strategies proposed by those institutions, the ghettoized Jewish neighborhood is able to relieve its inhabitants from the burden of exclusion.

3. SOLIDARITY AS AN ALTERNATIVE TO CHARITY

Although early twentieth-century American charitable institutions made use of different types of strategies, such as the surveillance and the training courses on domestic sciences, to facilitate the adaptation of Eastern European immigrants, the power they exercised upon lower classes urged the creation of different alternatives regarding urban survival. Owing to their disciplinary habits, along with their corrective programs, these institutions share some features with Foucault's panoptical structure. As they both exercise punishment towards certain individuals that do not comply with what they are socially expected to, they have to guarantee that those individuals receive an accurate treatment so they do not repeat the offense once they retake their previous routines. Therefore, the strategies spread

by the charity network are built upon paternalistic foundations and influenced by the female stereotypes of the period, which were determined by the consumption market rules and the classist discourses that attempted to exclusively confine the lower class's experiences within the privacy and invisibility of the urban ghettos.

Anzia Yeziarska provides her literary production with the sufficient amount of experiences so as to be able to analyze the different strategies that American philanthropic institutions put into practice to build a prototype around which the New York higher classes perpetuated their status on behalf of accurate integration. By considering solidarity between the ghettoized neighbors of the Lower East Side as a resistance, the author displays an alternative different from the servant-like model established by the Settlement projects. In this regard, when Katherine Stubbs refers to Jewish tradition, she highlights the importance of the *tsdokeh*, originally Hebrew, which defines what in the western societies is understood as "charity", but in terms of social justice (Yeziarska 2004: xxix). Both the one who begs and the other who gives deserve the same value, being the latter directly dependent upon the former to win the heavenly grace. Therefore, the resistance Shmendrik carries out in "My Own People" may be directly influenced by that Jewish practice, in which the individual gets voluntarily involved, following Lori Merish's definition, in "a communitarian model of anonymous and reciprocal giving" (2012: 222). Although related to giving to the poor, *tsdokeh* also exemplifies the solidarity with which these low-class ghettoized characters understand their social commitment, considering privileges as commodities they mostly enjoy by sharing with others.

In another Yeziarska's major work, *Arrogant Beggar* (first published in 1927), Adele, a former boarder in the New York settlement "Home for the Working Girls", also experiences solidarity when she encounters with Muhmenkeh, an old Jewish woman that offers her home to the young girl as a temporary shelter without asking anything in return. After discovering that Muhmenkeh spent her savings in Adele's recovery, the young girl realizes that the charitable network previously promoted by the American settlement does not solve the immigrant's lack of economic resources. Besides, according to Merish' argumentation, the need of individual recognition typical of philanthropic institutions – as Mrs. Hellman embodies when being advertised in the American papers as the founder of the Settlement and a role model of benevolence (Yeziarska 2004) – may conflict with the Hebrew concept since this takes place from an altruistic urge based on an anonymous generosity: "it is they who name the home 'Hellman Home' after its founder, a clear contrast to the shtetl tradition of *tsdokeh*, a communitarian model of anonymous and reciprocal giving" (2012, 222). As well as Hanneh in "My Own People" denounces the friendly visitors' paternalistic strategies, Muhmenkeh also prevents her street-peddling profession from being controlled by the Hellman's philanthropic discourse.

When Arthur intends to give Muhmenkeh an amount of money that clearly exceeds the one she proposed in exchange of her stock, the old Jewish woman rejects his offer, which undermines the American act of charity in favor of the solidarity her actions represent: “No, Mister. Your heart is good. But *Gott sei dank*, I got yet my hands and feet to earn me my every cent” (Yeziarska 2004: 110).

According to Yeziarska's fictional works, therefore, while the discourses supporting charity enhance the individual's loss of agency as a consequence of complying with the philanthropic agenda, the acts of solidarity she depicts serve as a means through which her characters are more likely to find personal fulfilment in a place where the new standard of living seemingly undermines their earlier future prospects.

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ROALD DAHL'S LOOK AT THE BRITISH EMPIRE THROUGH HIS TWO SHORT STORIES "POISON" AND "MAN FROM THE SOUTH"

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ABSTRACT. *The aim of this paper is to analyze two of Roald Dahl's short stories, "Poison" and "Man from the South", beyond the classical approach to Dahl's fiction. If Dahl's adult fiction is most often read in terms of its extraordinary plots, as well as its macabre nature and unexpected endings, my intention is to look into both stories in the light of postcolonial studies. Not only is this approach justified on account of the setting where the stories take place, India and Jamaica, once part of the British Empire; the pertinence of such a reading is underlined by the presence of a number of elements that are commonly found in colonial travel narratives and which therefore place Dahl's stories in relation with a very different literary tradition, colonial literature.*

Keywords: Roald Dahl, short stories, British Empire, colonial(-ist) literature, postcolonial studies.

LA MIRADA DE ROALD DAHL SOBRE EL IMPERIO BRITANICO A TRAVÉS DE LOS RELATOS “POISON” Y “MAN FROM THE SOUTH”

RESUMEN. *El propósito de este artículo es analizar dos de los relatos de Roald Dahl, “Poison” y “Man from the South”, más allá del tratamiento clásico que suelen recibir sus relatos para adultos. Si en estos se suele destacar la existencia de unos argumentos fuera de lo común, así como la presencia de acontecimientos que se definen por su naturaleza macabra y unos finales sorprendentes, mi intención aquí es llevar a cabo una lectura a la luz de los estudios postcoloniales. Tal aproximación se justifica no solo por el entorno en el que se desarrollan las dos historias, India y Jamaica, que fueron parte del Imperio Británico, sino también por la presencia de una serie de elementos que con frecuencia aparecen en los textos coloniales de viajes y que de esta manera sitúan estos dos relatos en relación a una tradición literaria muy diferente, la de la literatura colonial.*

Palabras clave: Roald Dahl, relatos, Imperio Británico, literatura colonial, estudios postcoloniales.

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When Roald Dahl published his first collection of stories, *Over to You: Ten Stories of Flyers and Flying*, there was very little in it to predict the path that his literary career would follow as a short-story writer. Apart from signaling his inclination to work on the genre of the short story, this first collection stands alone in its extreme variety of backgrounds and diversity of plots. Indeed, this very carefully arranged collection begins in the skies of Europe, then moves to the Nairobi Highlands and the Libyan Desert, touches upon Cairo, Greece, Palestine and finally returns to France and England. It goes without saying that this volume of stories is heavily autobiographical and that all plots develop inside, and are conditioned by, the most important event of that time, World War II, of which Dahl was an active participant. The approach to such tragic events is carried out from a realistic perspective, though it is true that there is some room for fantasy and narrative experimentation.

Someone Like You, his next collection, published first in the USA in 1953 and one year later in Great Britain, is very different. One of the main differences probably lies in the repetitive nature of the stories, which has led West to underline the similarities in terms of plot (“seemingly respectable characters are confronted with peculiar problems or opportunities and respond by committing, or at least, contemplating, cruel or self-destructive acts” (West 1992: 36) as one of the most conspicuous elements. The same feeling of repetition would apply

to a string of elements which have become staple features of his narratives, among others black humour, the grotesque, subliminal violence, unexpected twists of plot and surprise endings. It is precisely on the basis of these recurrent features that critics have agreed that with these stories Dahl was shaping his very personal short-story pattern — whether understood in terms of its macabre nature (Grigsby 1994: 44) or its uncanniness (Makman 1987: 215).

Another significant difference in this second collection, perhaps as a result of the priority given by Dahl to shocking and surprising his readers, is the attempt to avoid, to a large extent, any explicit references to the socio-political context in which they were set. Understandably, the war is no longer a central element of this collection — still present in a couple of stories, the role it plays is rather parenthetical — although it is a little more striking to find no references to the war's consequences; not only do the 18 stories that make up this collection refuse to reflect on the state of emergency in which it left the country — conditions of war that would last until early 1950 (Marwick 2003: 3) —, but they also seem to avoid referring to the huge transformations Great Britain underwent in the 1950s, both internally and externally (Lloyd 1989). Indeed, sixteen of the stories, what we could label as his domestic tales, show very little of the most significant developments that marked this period of rapid social change (Royle 1994: 9-ff). This being true, my interest lies in his remaining two stories, "Man from the South" and "Poison", what I have called his two Empire stories, where Dahl simply averts reflecting the country's loss of status as an Empire, as well as any references to the complex relationship between the metropolis and the colony, let alone the issue of independence.

And although it is true that anyone familiar with Roald Dahl's life would have been surprised to find that his fiction was participating of the project to critically and subversively scrutinize the colonial relationship and therefore resisting in one way or another colonial perspectives (Boehmer 1995: 3), the writing of both stories was simultaneous to the process of decolonization that swept the British colonies after World War II, reached its most symbolic moment in 1947 — when Britain was forced to grant India, the crown jewel, independence — and continued for a couple of decades. That Dahl refuses to refer to aspects inherent to processes of independence does not mean that he succeeds in silencing other related issues. As I will try to show throughout this paper, I believe that both stories do say a lot about the British Empire and imperialism, about issues central to the colonial experience and practices which supported it, "including unequal power relations, nationalism, race, cultural confrontations, economics, warfare and ideology" (Jackson 2013: 3-ff.).¹

¹ Although Dahl's Children's books were the first to be subjected to this type of analysis — this is especially the case of *Charlie and the Chocolate Factory* (Bradford 2001; Corbin 2012) — his adults' stories are also opening to similar ideological readings (Butler 2012).

Indeed, Dahl, a beneficiary himself of the imperial project, cannot have remained unaware of the process of decolonization and the impact it was having, especially, on the British Empire. The reasons for his silence are probably to be found in his affinities and sympathy with the Imperial project, expressed in his autobiographical *Going Solo*. Written in 1986, this second autobiographical account sheds light mostly on his beginnings as a writer, on his first collections of stories, but our interest is here with the first quarter of the book, which provides details about both his apprenticeship and work for Shell Company. To the first voyage of this modern version of the chartered companies, Dahl refers in the following terms:

What I still remember so clearly about that voyage is the extraordinary behaviour of my fellow passengers. I had never before encountered that peculiar Empire-building breed of Englishman [sic] who spends his whole life working in distant corners of British territory. Please do not forget that in the 1930s the British Empire was still very much the British Empire, and the men and women who kept it going were a race of people that most of you have never encountered and now you never will. I consider myself very lucky to have caught a glimpse of this rare species while it still roamed the forests and foot-hills of the earth, for today it is totally extinct. (1986: 1-3)

I believe that this open confession, a heavily ideologically-charged statement which openly expresses Dahl's truthful opinion and feelings towards the British Empire — that of unbounded pride towards a project, the building of the Empire, which is defined mainly as a male experience and which is possible thanks to the amalgam of concepts such as breed, race, class and nation — is a good starting point to approach his two Empire short stories.

It is therefore my initial contention that both short stories, “Man from the South” and “Poison”, are much more interesting and complex if read in relation to what Boehmer has labelled colonialist writing, “the literature produced in and about the British Empire” (2009: 10). It would certainly be difficult to argue that both stories were produced *in* the British Empire, unless one was willing to extend the concept in time and include former colonies like the United States of America, which is where both stories were written and published (both in New Yorker based *Colliers*, in 1948 and 1950 respectively). It is less problematic to agree that both stories are *about* the Empire: “Man from the South” is set in India, which received the first East India Company ships in the 17th century and remained under British control until 1947, and “Poison” is located in Jamaica, part of the Empire from 1655 until its independence in 1962. In fact, each story might be read as a different example of the non-settler colonialism, whether it is the mode of the Indian Empire or that of the scores of territories dispersed

throughout the globe (Jackson 2013: 22-ff): "Poison", a story which features the interaction between the Indian character, a doctor, representative of the Indian middle-class, and two Englishmen, seems to mirror the Indian model of colonization, which resulted from the colonizer's arrival at a land with a large local population, socially organized and with an existing political system, and which therefore had to be taken into account; "Man from the South", which unfolds at a holiday resort in Jamaica and whose action concerns only non-local people, seems to reflect a very different model, as the Caribbean island, taken from the Spaniards in 1655, was centre and paradigm of the slave trading system for over 200 years, a process that dramatically changed the demographic constitution of the island.

Given this unequivocally colonial background, it is my intention to read both stories as narratives that connect and make use of some of the most relevant features of colonialist literature, in particular, the encounter between the First world and the Third world. If in "Poison" this encounter is openly staged through the tense relationship between the two Englishmen and the Indian doctor, in "Man from the South" the clash of these two worlds takes place in an implicit (darker and more brutal) way, through a bet that brings face to face the white man and the cannibal.

"Poison" seems a rather simple story both in terms of characters (only two other characters besides the narrator) and plot (based on the apparently false belief that a serpent has sneaked into a house). Timber Woods tells the story of Harry Pope, motionless in bed because he believes that under the covers a poisonous snake is lying asleep on his stomach, and Dr Ganderbai, called by Woods to try and help his English companion. The anti-climax with which the story threatens to end (when Harry Pope stands up and discovers that no serpent is to be found) gives way, at the very end, to a bitter confrontation between Harry Pope and the Indian doctor, through which we unexpectedly seem to access one of the hidden and dark facets of Pope's personality.

Indeed, Pope's abuse of Dr Ganderbai, to whom he first refers as "you dirty little Hindu sewer rat" and immediately after that as "you dirty black", may be interpreted in terms of personal instability, a common element in Dahl's stories, thus proving Grigsby's contention that Dahl's "skillfully composed plots [...] convey powerful insights into the frequently negative depths of the human psyche" (1994: 43). In a similar line of argumentation, West has suggested that "it seems quite possible that the crisis with the snake brought out Pope's true personality" (1992: 39), which would be that of a hostile, aggressive, unthankful and, especially, racist person. This psychoanalytical reading, which focuses on one of the characters, that of Harry Pope, and moves the other two to secondary

positions (his friend Timber Woods is little more than a witness, as well as narrator, to the events taking place, and Dr Ganderbai plays the role of passive victim of Pope's verbal abuse) makes little of the story. However, by considering the nationalities of the characters, two British and one Indian, and especially the confrontation that takes place between them, "Poison" may be seen as a story that explicitly problematizes the encounter between the West and the non-West by giving voice to "experiences of exclusion, denigrations, and resistance under systems of colonial control" (Boehmer 2009: 340), a story that reveals the project of colonization in terms of the inequality and exploitation by white upon non-white peoples (Thorn 2000).

If we therefore acknowledge that "Poison" does address issues typical of postcolonialism, there are a number of elements in the story that deserve a second reading. First of all there is the krait, a highly venomous snake of the Cobra family to be found in the jungles of the Indian subcontinent, which may be interpreted as a multi-layered symbol. The krait may be said to represent India, and the way it manages to sneak into Pope and Woods' place could work as a reminder that no absolute control of the colonized space is possible; furthermore, its deadly presence does question the sentence with which the story begins, "It must have been around midnight when I drove home" (p. 117), a word "home" now heavily charged with irony. Likewise, the last sentence of the short story "'All he needs is a good holiday,' he said quietly, without looking at me, then he started the engine and drove off." (p. 128) might deserve some further comment. Timber Woods closes the narrative by quoting the Indian doctor and referring to his behaviour: Dr Ganderbai's understanding statement that all Harry Pope needs is a good holiday must perforce be seen in the light of the political context and the independence achieved by India in 1947, one year before the short story was written. Furthermore, Dr Ganderbai's gesture of not looking at the narrator when leaving — "as though neither of us was there" (128) —, seems to speak loud and clear about the abyss that separates English and Indians, colonizer and colonized, thus addressing one of the central issues of postcolonial studies, which is the gulf between West and non-West.

Naturally, it is the very confrontation between Harry Pope and Ganderbai, the native doctor, which becomes the most relevant element in this reading. In this sense, West's statement becomes very appropriate:

[t]he stories in *Someone Like You* suggest that the modern world is not nearly as civilized as it makes itself out to be. Most of Dahl's characters, though they at first appear to be paragons of civilization, are really savages at heart. An element of savagery can also be found in most of the social and cultural institutions that figure in Dahl's stories (43).

West's comment was probably done more in relation to his other stories, his domestic short stories, and the people that inhabit them: whether it is the nobility of "Nunc Dimittis", which ends with the narrator suspecting that he has been poisoned after humiliating one of his own social ranks; or the high classes of "Taste", where host and guest, two leading elements of high society bet on the former's daughter in marriage; or the middle classes of "Lamb to the Slaughter", which recounts the murder of a husband by her model housewife. And yet, when applied to "Poison", the choice of words is extremely revealing: indeed, his reference to Dahl's characters as "paragons of civilization" is most appropriate when referring to both Harry Pope and Timber Woods, whose presence in India cannot but be interpreted in their role of representatives of the British Empire, that is, in their role of settlers, agents of colonialism, bringers of progress and civilization. If this is so, it seems most convenient to recall that the whole process of colonization was reasoned and defended in terms of the assumed superiority of the Western world: the nineteenth-century European empires were built and sustained upon an overwhelming industrial and technological preponderance, as well as on the military power that underpinned it; inevitably, these ventures of conquest and dominion were backed by explicit ideologies of moral, cultural and racial supremacy (Boehmer 2009: 24).

This tendency of Western thought to look at the world in terms of binary oppositions is of course a central element in imperial ideology (Ashcroft *et al* 2000: 19), one which lends itself extremely well to establish relations of dominance. This way of conceptualizing the world, through binary oppositions, works horizontally, by suppressing any state or activity that does not fit, and also vertically or downwards, creating collective oppositions: the West is thus connected with colonizer, white, civilized, advanced, good, human... whereas the non-West becomes fixated with colonized, black, primitive, retarded, evil, bestial... Following this same line of argument, Boehmer has pointed out that "in their representation of the colonized peoples these were represented as lesser, less civilized in a variety of ways, as opposed to the white man, archetypal worker and provident profit maker, paradigm of a European language of reason" (2009: 76). Harry Pope's personal breakdown, his losing his mind, his very *unreasonable* behaviour must be seen in the light of these anthropological theories that justified Western superiority: ironically, it is Pope who loses control and behaves contrary to reason, whose cruelty towards the Indian doctor defines him as less human; though one must assume that only temporarily, Pope's losing his head brings him closer to the stereotypical images of the colonized peoples, whether "child or savage, wild man, animal, or headless mass" (Boehmer 2009: 76). Conversely, Ganderbai — the indigenous character, the native, the savage

— remains calm and patient, uses reason and understanding and shows himself as a most civilized human being, thus reversing the classical picture completely.

In this final scene — which subverts the traditional stereotypes ascribed to colonisers and colonised, and thus questions the supposed superiority of white over non-whites — there is yet another element which should be taken into account, and that is Timber Wood, the narrator. His inability to fully acknowledge the racism implicit in the scene he witnesses can only be interpreted in terms of a shared interest: Wood is blind to Pope's racism because he partakes of the same feeling of superiority, though this time expressed through a very different behaviour, a paternalism implicitly acknowledged by himself when stating that "Ganderbai went out of the room as though neither of us was there and I followed him and put my arm around his shoulder as he walked across the hall and out on to the balcony" (128). Wood might believe that his arm around Ganderbai's shoulder reveals true concern for the native character, but readers should remain suspicious of a behaviour that was central to the colonialist ideology: a condescendence and paternalism that resulted from directly accepting the superiority of white over non-whites (Young 2003) and justified the need for the colonial project (Jackson 2013). That Timber Wood does not lose control and seems to behave in a civilized way does not mean that he fares any better: Pope's explicit racism and Wood's open paternalism are to be understood as just two faces of the same coin, two attitudes which stem from the same assumed feeling of Western superiority.

"Man from the South" — "the quintessential Dahl story: civilized, unexpected, even savage, yet perfectly assured and balanced, the ending shocking yet entirely appropriate" (Warren 1985: 122) — is a different story, much more complex and extremely disturbing. In "Poison", readers are transported to the domains of the British Empire, India, to witness an explicit and telling confrontation between the West and the non-West while in "Man from the South" we are taken to another extreme of the British Empire, the West Indies, to read about a (most extraordinary) bet, as is customary in Dahl (Makman 1987: 217). After listening to a young American sailor boasting that his cigarette lighter never fails to work, an elderly south American gentleman suggests that they make a little bet on that: after some hesitation on the American's behalf, it is agreed that if the latter strikes the lighter ten times successfully the old man will give him his Cadillac but if he fails, the south American man will chop the little finger on his left hand! The bet, in fact, provides the peculiar atmosphere and tone which has led critics to define his stories as macabre, or, to use Warren's terminology, *conte cruel*, but minus the bloodshed (p. 120), never truer than here.

Just like "Poison" may be said to be a tale about racism, "Man from the South" could be a story about greed. The bet becomes from the very beginning

the element around which the story spins: it completely destabilizes what has been until that moment a pleasant and peaceful afternoon at a holiday resort, and threatens with a bloody and messy finale. And despite the old gentleman's protestation that he only wants to "have some fun" (38), there seems little doubt that the wager works as a symbol of greed, and both the finger and the Cadillac are external representations of that greed. Thus seen, "Man from the South" may be defined as a moral tale, a cautionary tale that warns against the dangers of this capital sin; the bet is the central element in as much as it establishes a clear opposition between the American sailor and the south-American man, between youth and adulthood, and therefore works as a rite of passage that signals the transition from innocence to experience: the inexperienced and young naval cadet looks at his finger and sees little else ("Come to think of it, I can't remember ever in my life having had any use for the little finger on my left hand" [42]), and therefore feels there is no need to worry. In line with his most well-known writings, his books for children, this change of status is not perceived in the story as positive or beneficial but as rather harmful and dangerous. Dahl's tales for children have been recurrently analysed in terms of the confrontation between children and parents, whereby children, profoundly unsatisfied with their parents, must dispose of them in one way or another and adopt parental substitutes. The children's disappointment with parents reflects a wider frustration with adults in general and the society they run, and that's why children not rarely establish new relationships with non-human beings. Hollindale's statement that in Dahl's fiction "clearly the status of adult humanity is under fierce attack" (1999: 143) fully applies to "Man from the South", whether it is by considering the presence of Carlos, an adult who threatens to chop one of his fingers off, or the unnamed narrator, unable to provide some kind of protection or warning.

But Carlos stands for something more than, and different from, a menacing and castrating adult. From the very beginning there is something mysterious about him. In what is mostly a realistic narrative, the character of Carlos, the south-American gentleman, significantly stands out more as a caricature, thus underlining his symbolic nature. The narrator's first reference to him is as follows:

Just then I noticed a small, oldish man walking briskly around the edge of the pool. He was immaculately dressed in a white suit and he walked very quickly with little bouncing strides, pushing himself high up on to his toes with each step. He had on a large creamy Panama hat, and he came bouncing along the side of the pool, looking at the people and chairs (p. 36).

Despite his immaculate white suit, there seems to be something devilish about this character, whose origin remains uncertain: from his accent the narrator

cannot say more than he is either Spanish or Italian, but his wife's comment as to living "down" could also be read in symbolic terms, thus stressing their connection with some kind of hell or underworld. Likewise, apart from constantly being referred to as "a little man", his physique is defined by two significant features: transparency ("with the colourless eyes standing there in his immaculate white suit drinking his Martini" [41-2]) and invisibility ("she shook him so fast you couldn't see him anymore. He became a faint, misty, quickly moving outline, like the spokes of a turning wheel [45]). Inevitably, his diabolic and demonic nature becomes more relevant when his wife enters the hotel room and reveals that Carlos' intentions were real, and not just part of a game; when getting a finger chopped off is not any longer just a theoretical possibility but a real menace and the shedding of blood is also a genuine threat.

Carlos' wife's sudden and unexpected appearance works as an extremely disturbing event. If suspense has been the key element of the story, her entering the room and taking control of events puts an end to the bet and cancels all tension: "I'm sorry,' the woman said. [...] where we live at home he has taken altogether forty-seven fingers from different people, and he has lost eleven cars" (45). Although it is true that her entering the story seems to bring about an anti-climax, she definitively gives the story more than she takes, as both her words and, especially, her presence are highly unsettling:

"He hasn't anything left to be with,' the woman said. 'He hasn't a thing in the world. Not a thing. As a matter of fact I myself won it all from him a long while ago. It took a time, a lot of time, and it was hard work, but I won it all in the end.' She looked up at the boy and smiled, a slow sad smile, and she came over and put out a hand to take the key from the table."

"I can see it now, that hand of hers; it had only one finger on it, and a thumb" (p. 46)

The mutilated hand, apart from being an extraordinarily powerful and unsettling image with which to close the narrative, is also the element that opens the story to new readings; the maimed limb is to be seen as part of what Piatti-Farnell has defined as Dahl's tendency to include in his fiction images of exploration, discovery and horror, which are a key to the narrative formula in colonial tales of cannibalism. In her enlightening reading of one of Dahl's less known short stories, "Pig" — which tells the story of Lexington's journey from a bucolic farm in Virginia to New York, where the main character is slaughtered and thrown into a boiling cauldron together with the other pigs — one of Piatti-Farnell's working hypothesis is that by considering the hint of "undiscovered" territories and exploration in the plot, it is possible to read "Pig" as a mock colonial

travel narrative (2010: 9). In "Man from the South" there is no such colonial travel, but the story does contain some of the ingredients of colonial travels; it is precisely a close analysis of the last scene of the story which reveals that Dahl's tale does include at least two elements which unmistakably connect this narrative with colonial literature, the island and the very cannibal himself. Indeed, it is my claim that this last scene, "this hand of hers [with] only one finger on it, and a thumb" should be seen as a variant of the archetypal cannibal scene, thus introducing the concept of cannibalism and shedding new light on the story. If this is so, Dahl's choice of the Caribbean (one of the classical American sites inhabited by cannibals, the other being the Pacific islands of New Guinea and Fiji [Hulme]) as the geographical *topos* in which to set his story seems rather appropriate.

In his introductory chapter to *Cannibalism and the Colonial World* Peter Hulme refers to Burroughs' famous novel and the moment when Tarzan finds some human skull on the floor when entering a native house, and defines such scene as the archetypal cannibal scene. In his analysis of such scene, Hulme points out two interrelated aspects: first, that the act of cannibalism is never actually witnessed, "the primal scene of 'cannibalism' as witnessed by Westerners is of its aftermath rather than its performance; secondly, that the evidence that allows for this reconstruction of cannibalism are the discarded human bones" (1998: 2). In "Man from the South" Dahl puts an end to his story with what we could call a very particular cannibal scene, one that does include both characteristic elements, though with an important variation. As to the first of these elements, Dahl's story moves within a traditional approach: the eating/consumption (in this case acquisition) of flesh is never actually witnessed and can therefore only be recreated, either retrospectively, by trying to recreate the way in which Carlos chopped off his wife's fingers (as well as the other forty-seven fingers from different people!), or hypothetically, by imagining the way in which Carlos would have chopped off the young American's little finger. Much more relevant is the second of these characteristic elements, the presence of the human discarded bones which, as a rule, function as evidence of the cannibal act: on this occasion, however, such a "presence" is problematic, since it is the bones (the fingers) that are missing, while the rest of the body is very much present, and alive; and yet, it is the absence of the fingers — what may be termed as an inversion of the cannibal scene — that works as evidence of the cannibal act.

This last scene reveals itself as a heterodox version of one of the paradigmatic elements of colonial narratives, and in doing so unexpectedly signals the meeting between the West and the non-West. The encounter between these two worlds

in not carried out through an explicit confrontation between a Westerner and a native — as happens in “Poison” — but in a more subtle, and brutal, way. Indeed, coming to terms with the nature of Carlos, the agent of this macabre scenario, is a slow process; yet, in the light of the amputated hand, an accomplished fact by the time we reach the end of the story, the south-American man reveals himself to be something more than a devilish and comical figure, he is a very peculiar anthropophagus, a consumer of fingers, and although we do not know what he does with the fingers and there is no reference to actually eating them, his wife has proved that he does chop off the fingers he wins, thus making of him a modern version of the cannibal. All of a sudden, the little man has become an atypical version of the non-Westerner, the primitive other, the demonized savage, the man-eater cannibal, face to face with a number of Westerners.

The opposition between these two concepts is not as clean and neat as it may initially seem; very much like in “Poison”, where it is the Indian who behaves most civilized and therefore best represents the alleged values of the Western world, in “Man from the South” Dahl seems again to reverse the stereotypical representations of these characters. Most ironically, this modern version of the cannibal is the only character who has been given a name, Carlos. And not surprisingly, his way of behaviour lies far from the stereotype: his consumption of flesh is not carried out through the cruel exercise of physical strength and violence, but rather through reason, intelligence and cunning, very humane qualities; likewise, the brutal amputation of the fingers is carried out through an expert use of basic technological tools: “He never hesitates. Table, nails, hammer, kitchen chopper. He knows exactly what he needs and how to arrange it” (p. 43). Facing him stand the group of white Westerners, the girl, the narrator and the naval cadet, the three of them significantly devoid of a name, as if underlining their dehumanized nature. Naturally, it is their involvement to different degrees — as mere witness, as referee, and as participant — in this cannibal scene which further underlines their savage, that is, uncivilized, behaviour.

Nevertheless, the element that truly underlines the encounter between the West and the non-West is the concept itself of cannibalism. Truly, if we look into the trope of cannibalism as an element that is commonly used to speak about the accumulation of wealth (Jerry Phillips 1998: 183), “Man from the South” results in a much more interesting and complex narrative: not only does it reflect on the material/economic nature of both colonialism and its sequel neocolonialism, but it also seems to denounce the consumerist tendencies of capitalist societies. In the first place, the encounter between Carlos and the young American unavoidably relates to the supposedly true encounters between white Westerners and indigenous savages, between the colonizing metropolis

and the colonized territory, that is, between the West/First/civilized world and the non-West/Third/uncivilized world. Indeed, the bet, a moment of extreme tension between both the cannibal/Carlos and the white naval cadet, may well work as a metaphor that reflects on the difficult and complex relationship between the West and the non-West, both of colonialism and neocolonialism. The presence of the cannibal, by inevitably evoking the dangers and fears of the white man when arriving at the new world, may well work as a reminder of the times in which the different colonial powers were forged, and especially of the different reasons that justified/explained the subjugation, control and exploitation of new lands and the people that inhabited them (Ferro 1997, Chamberlain 1999). Given that the story revolves around the bet, it would seem that "Man from the South" is underlining the economic argument as one of the main motives behind colonialism and would thereby seem to allude to the process of exploitation carried out by the Western powers and which was an integral part of the program of colonization (Judd 2001).

Whereas the concept of cannibalism points into the past, thereby defining the relationship between colonial powers and colonized territories in terms of (mostly economic) exploitation, the presence of this very modern cannibal would seem to suggest that this unequal relationship is still a very contemporary issue. Certainly, if readers expect to read about an exotic tropical island, characterized by exuberant vegetation and a varied wildlife, there is none of it: the contact with the cannibal does not take us into the wilderness, as the meeting takes place at a holiday resort, initially at the swimming-pool and later in the hotel room, what may be termed as a small recreation of Western standards of comfort and wealth. Indeed, the presence of the holiday resort may be read as a comment on the phenomenon of decolonization that was to follow a couple of centuries later: thus, the presence of the vacation centre, only setting where the story unfolds, may also be understood in terms of this new status quo between the metropolis and the colonised lands, between the First and the Third World; a new world order that does not depend any longer upon direct rule (Loomba 2001), but where the different processes of independence have led to a position of in-dependence, of subordination to the colonial powers, mainly in terms of economic inequality (Young 2003). Similarly, the nationality of the characters could also be taken into account; apart from Carlos and his wife, who come from the South ("down where we live"), the rest of the characters in the story belong to first-world countries, and may be said to represent different modes of neo-colonialism: whether it is economic, represented by the hordes of tourists that trample upon every corner of the globe, as would be the case of the British girl and her fellow travellers, or military, embodied by the USA navy, one of whose

members is the young American naval cadet challenged by Carlos. As to the narrator, it would seem that his identity also provides him with a role to play: a representant of the now extinct British Empire, both the confusion with which he witnesses the events and the pessimism with which he closes the story seem to express the post-war general feeling of defeat and gloom among British citizens.

If setting the story in this Caribbean island and featuring an encounter between a cannibal and some Westerners necessarily raises questions which were central to the process colonization-decolonization, "Man from the South" also seems to have something to say about the capitalist system which was consolidating after World War II. Despite the implicit journey that has taken all characters to Jamaica, the truth is that the holiday resort seems to work as the perfect place in which citizens of first-world developed countries may make a display of their consumerist nature. Indeed, if in sociological terms, consumption is understood as "the uses people make of commodities or goods, items, elements all of which interact with one another to shape 'consumer identity'" (Lupton 1996), the concept of consumption soon proves to be central to the story. The initial scene with which the story begins, when we are told about the different activities that a group of tourists are intent on carrying out, whether it is smoking, swimming or sunbathing, is one that sets up an atmosphere of generalized consumption. It is the narrator himself who in the opening sentence addresses the idea of consumption: "I was getting on towards six o'clock so I thought I'd buy myself a beer and go out and sit in a deckchair by the swimming pool and have a little evening sun" (35); shortly afterwards, he returns to his intention of consuming the beer as well as a cigarette. Likewise, it is the desire to smoke/consume a cigarette that draws the young American cadet towards the narrator.

When Carlos shows up and suggests doing a little bet just for fun, he seems to be finding his own way of consuming some time in an agreeable manner; obviously, the peculiarity of the bet, the exchange of a finger for a Cadillac, comes to problematize the notion of consuming and consumerism. Indeed, the young naval cadet's willingness to give away his finger in exchange for the Cadillac, explained above as resulting from his innocence and youth, reveals his readiness to sacrifice a part of his body for a commodity. It could have been any commodity, and the equation would be substantially the same, but the choice of a Cadillac is significant enough: not only does the Cadillac, a luxury vehicle, work as a permanent icon of American culture and the American way of life, but circumscribed to the 1950s it acquires further significance. In this sense, the Cadillac may be seen to represent the automobile industrial sector that lies at the heart of the modern American capitalism and which became central to both

the process of mass production and mass consumption. Carlos' wife's amputated hand, which stresses the connection between the acquisition of a luxury item and the amputation of a piece of flesh, is a most powerful symbol that comes to underline the brutal consequences that consumerism has for the human being and thereby denounces the insatiably carnivorous nature of capitalism, thus proving Piatti-Farnell's (2010) contention about Dahl's use of metaphors of cannibalism to draw attention to consumerist tendencies and greedy commodity consumption, important aspects of his fascination with American consumer economies. That such a display of consumption takes place in what was once a colonial territory would come to underline the deep and complex relationship between colonialism and capitalism, a reminder that modern Western colonialism was not just some transhistorical impulse to conquer but an integral part of capitalist development (Loomba 2001: 20).

"Man from the South", the story of an inexperienced naval cadet with all the world to conquer and willing to impress the opposite sex, may initially be read as a reflection on the power of individual greed, symbolised by his little finger. However, at the end of the story, the little finger which the young American was willing to forfeit has been replaced by an eerie and macabre hand, missing three fingers. If the finger seems to allude to some kind of innocent and harmless greed, the mutilated hand is a much more powerful symbol, one that explicitly underlines the harmful implications of boundless greed, whether it is that of the colonial powers in their (both past and present) relationship with their colonized territories or that of post-war capitalist societies and the citizens which inhabit them.

It has been the aim of this paper to contribute to the reevaluation of Roald Dahl's work, a project whose main exponent would be Alston and Butler's *Roald Dahl (New Casebooks)* published in 2012. In the case of his adult short stories, it is my belief that the presence of a series of characteristic elements — which in fact are generally acknowledged to define his short story pattern — overshadows alternative possible readings. Within what constitutes a rather homogeneous collection, especially if we take into account the domestic setting of the different stories, I have chosen to focus my attention on the two only stories which are set in a non-British/domestic background. This common trait, the fact that both stories unfold in what not long ago constituted the British Empire, has allowed for a reading in the light of postcolonial studies; a reading that shows that both stories make use of some significant features of colonialist literature.

In "Poison", Dahl reenacts the encounter between the First and the Third World through the dispute between the Indian character and the two Englishmen, but reverses the roles traditionally ascribed to the representatives of each of these

worlds; in doing so, Dahl manages to establish a fruitful dialogue with a large bulk of colonial narratives, thereby denouncing the prejudices/principles which constitute the theoretical framework of the colonial project. A similar strategy is followed in “Man from the South”, a short story which again reproduces the confrontation between First and Third Worlds. However, on this occasion, the connection with colonial literature is underlined by the unexpected presence of an act of cannibalism. Such an element may inevitably be read as a criticism of the exploitation, both of human and material resources, which characterized the process of colonization upon which the British (and other) Empires were founded; nevertheless, given the special nature of the bet (flesh in exchange for a Cadillac), the self-destructive impulse of both the naval cadet and Carlos’ wife seems to speak loud and clear of the brutality and virulence which define the extreme consumerism of capitalist societies. In the case of the young American, the cannibal is only latent, on the point of waking up, but Carlos’ wife is portrayed at a very different stage, her amputated hand being the result of a brutal process of self-consumption. The presence of Carlos, a heterodox version of the cannibal, unmistakably works as a metaphor of consumption and reveals the extreme violence that lies beneath capitalism.

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**NARRATIVE REPRESENTATIONS OF MASCULINITY.
THE HARD WEREWOLF AND THE ANDROGYNOUS VAMPIRE IN
*ANITA BLAKE: VAMPIRE HUNTER SERIES***

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ABSTRACT. *Laurell Hamilton in her Anita Blake: Vampire Hunter Series portrays a large community of monstrous creatures that populate a violent near-future American landscape. A number of critics have already explored the forms in which Anita, the leading heroine, emerges in the 1990s literary scene as a strong figure who challenges traditional narratives of female subordination and alters predictable romantic entanglements with the male protagonists (Crawford 2014; Veldman-Genz 2011; Siegel 2007; Holland-Toll 2004). Moving beyond this approach that centres on Anita, this paper explores the forms in which the author designs her male companions and lovers. Her choice of lovers suggests that there are multiple desires at play in Hamilton's popular fiction in relation to masculinity in the context of a heterosexual erotica. Following a methodological approach of cultural studies (Saukko 2003), this study seeks to illustrate how conflicting desires, emblemized by her plurality of lovers, represent a literary effect of paradoxical yearnings at play in contemporary white, middle-class American women's lives.*

Keywords: Hard masculinity, androgyny, werewolf, vampire, *Anita Blake: Vampire Hunter Series*.

**REPRESENTACIONES LITERARIAS DE LA MASCULINIDAD. EL DURO
HOMBRE-LOBO Y EL VAMPIRO ANDRÓGINO EN LA SERIE ANITA
BLAKE: CAZAVAMPIROS**

RESUMEN. *Laurell Hamilton en su saga Anita Blake: Vampire Hunter presenta una nutrida comunidad de criaturas monstruosas que pueblan un paisaje norteamericano violento en un futuro cercano. Numerosos críticos han explorado ya las formas en que Anita, la heroína principal, emerge en la escena literaria en los 1990s como una figura fuerte que cuestiona las narrativas tradicionales de subordinación femenina y altera los predecibles enredos románticos con los protagonistas masculinos (Crawford 2014; Veldman-Genz 2011; Siegel 2007; Holland-Toll 2004). Más allá de esta aproximación que se centra en Anita, este artículo explora los modos en que la autora construye los personajes de sus compañeros y amantes masculinos. Su elección de amantes sugiere que hay múltiples deseos en juego en la ficción popular de Hamilton en lo que se refiere a la masculinidad en el contexto de una erótica heterosexual. Siguiendo un enfoque metodológico de los estudios culturales (Saukko 2003), este estudio busca ilustrar cómo los deseos en conflicto, simbolizados en una pluralidad de amantes, representan un efecto literario de los anhelos paradójicos en juego en las vidas de las mujeres americanas contemporáneas de clase media.*

Palabras clave: Masculinidad dura, androginia, hombre-lobo, vampiro, saga Anita Blake: Vampire Hunter.

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1. INTRODUCTION

Masculinity and femininity are inherently relational concepts, which have meaning in relation to each other, as a social demarcation and a cultural opposition. This holds regardless of the changing content of the demarcation in different societies and periods of history. (Connell 1995: 44)

In other words, according to Raewyn Connell, gender roles and ideals—in fiction as well as in reality—are mutually constructed and they continue to dialogue and metamorphose over time. I define this ‘dialogue’ between masculinity and femininity as a game of alterities that largely determines the way in which social, economic, and political transformations in the condition of women are mirrored by changes in the way men are perceived or in the ways in which particular ‘modes’ of being a woman or man are privileged in a given cultural context. For

the purpose of my argument, I will focus primarily on the ways in which desirable and undesirable men are presented and represented in cultural artefacts; in fact, un/desirable types of masculinity could function simultaneously as reminders of what is (currently) socially acceptable or promote anti-hegemonic discourse on masculinity, picturing alternative forms of being a male (Horlacher 2011). According to this dialogical understanding of gender roles and expectations, an exploration of the ways in which Hamilton depicts her male characters will reveal how the character of Anita Blake came to life while at the same time disclosing how the series—through this heroine engaged with a variety of supernatural creatures—emblemizes different forms of masculinity that appear desirable to a large female audience.

To situate the symbolic discursive constructions of desirable types of masculinity in the Hamilton's novels, I have referred to Elisabeth Badinter's depictions of the Hard Man/Soft Man/Androgyne (1993) and to Reawyn Connell's (1995) and Michael Kimmel's (2013) writings on masculinity. The authors provide the theoretical framework to closely address complex issues such as identity, performativity, and gender violence in this North American literary production. In particular, these authors have sought to account for the challenges posed by feminism and socio-economic mutations to a traditional 'ideal man' that had historically colonized the middle-class white imaginary in the Anglo-Saxon world and has dominated both women and men in real life.

2. THE HARD AND THE SOFT: A CARTOGRAPHY

In spite of the presence of a vast number of lover-boys in Hamilton's books, I will focus my attention on Richard Zeeman (the 'macho' werewolf) and Jean Claude (the androgynous vampire) because these two remain constantly present in her promiscuous love life. Indeed Richard and Jean Claude constitute two very different forms of being male. Richard, the ideal boyfriend, turns out to be a domineering macho that shows no respect for her independence or freedom and is caught in a spiral of violence that he exercises against himself and other were-animals. In his relationship with Anita, he tends to maintain excessive vigilance and to hate those that are close to her, one way or another. On the other hand, Jean Claude, despite all his flaws as a lover—the romantic ideal of the perfect match is not present in Anita's world—is portrayed as a better choice because he is sensitive and understanding without being 'soft' and maintains a high degree of power associated with a traditional form of masculinity. This ability to show strategic gender role playing and emotional adaptability indeed makes him a most desirable 'androgyne', a reconciled man.

The term 'androgyny', as is widely known, comes from the fusion of two Greek words: *anér-andros* = man and *gyné-gynaicos* = woman. The etymology of the word has allowed the emergence, in the modern era, of a multiplicity of interpretations that have been adopted in many feminist literary creations from *Orlando* onwards (Heilbrun 1964). On the one hand, the reference to duality encapsulated in the word has led critics and writers to embrace the blending of differences into a unity that transcends the specificity of the two, a 'neutral being' not controlled by gender. On the other hand, it has generated a reading of the figure that would allow the co-existence of the two, either as the 'feminisation of the male' or 'masculinisation of the female' (Goodlad 2007). Beyond these traditional interpretations, the French philosopher Elisabeth Badinter in her *XY de L'Identité masculine* (1992) suggests that the acquisition of androgyny represents a process of integration, somehow a form of styling the self versus a form of conceiving of it as a given expression of a double nature (1993: 224). The self-styled 'androgynous' individual could consciously use a number of strategies that have been historically identified as feminine or masculine to cope with the challenges at hand, positioning his/her feminist project alongside queer readings of gender as performance even though Badinter's model rests on a notion of embedded psychological dualism absent in more recent feminist works (Butler 1990). Far from being an ideal type, the contemporary 'androgyné' constitutes a competent human that shows an agile adaptability, constantly zigzagging between compassion, soft-heartedness, affection, sensitivity, tolerance and ambition, toughness, practicality, and courage (Woodhill and Samuels 2004). The androgyn has the potential of becoming a fully integrated man and/or woman and does not himself/herself constitute a separate/third gender/sex. Removing the utopian element of a genderless society so dear to science-fiction and Gothic authors (Morgan 1987) and to some critics (Rubin 1975), Badinter offers an alternative way of interpreting contemporary gendered subjectivities in cultural texts.

Badinter reconsiders and summarizes some of the debates that emerged in the 1980s on the condition of men in a world where feminism has exerted—together with socioeconomic transformations—a huge impact in people's perceptions of how relationships should be established, which attitudes and attributes are desirable in a man and what roles and obligations are to be claimed in intimate contexts (the family and the 'private'). Women joining the labour market and the feminist movement in its intent to conquer terrain inside and outside the claustrophobic house of the Patriarch, forever changed gender relations, altering women's expectations of men and questioning the forms in which traditional gender roles were being enacted in the secluded family environment. In fact,

with the emergence of feminist consciousness and sensitivity, some of the traditional behaviour and practices attributed to men are heavily criticized and new forms of 'being a man in the world' become recognized as desirable. Ideals and practices that have historically defined masculinity were effectively proven not to be trans-historical or universal natural constituents of manhood, but instead found to be generated in political and economic contexts that frame the 'social conditions of possibility' of gendered subjectivity (Whitehead 2002; Adams and Savran 2002).

Masculinity is not a fixed entity embedded in the body or personality traits of individuals. Masculinities are configurations of practice that are accomplished in social action and, therefore, can differ according to the gender relations in a particular social setting. (Connell and Messerschmidt 2005: 836)

The struggle to acquire traditional American masculinity and the imperative of its never-ending performance has been harmful for men, both for those who were depicted as real men as much as for those who, by contrast, were suspected of being homosexual or effeminate and, therefore, not quite so 'real'. Due to the emergence of feminism, the traditional Hard Man American felt at risk of being replaced by men embracing other forms of manliness much more humane and desirable for the New Woman, who was increasingly concerned with the amount of violence that traditional men expressed against women in their attempt to maintain their sense of manhood and their feeling of being in control (Faludi 1999). Thus, following the imperative 'Give'em Hell' (Badinter 1993: 179) that insists on compulsory strength as a marker of manliness and the (potential) use of violence, the Hard Man struggled to establish a self-assuring sense of superiority and of being in command.

If one looks at the specificity of hard manliness in the context of contemporary America, Michael Kimmel's most recent socio-analysis of white masculinity(s) helps to explore the specific forms in which such changes —magnified by globalization, economic/financial crisis, and natural disasters— are threatening the white American imagination. In this text, he claims:

If masculinity is based on impermeable defences and the feeling of being in control, then violence may be restorative, returning the situation to the moment before that sense of vulnerability and dependency was felt and one's sense of masculinity was so compromised. [...] use violence as a means of restoring what was experienced as threatened, that part of the self that is suddenly made vulnerable. (Kimmel 2013: 177)

Thus, far from being a natural mode of being a man, the Hard is currently the expression of a desire to be in control that has been progressively eroded by feminism and, simultaneously, by contemporary socio-economic mutations that

have dramatically altered the possibilities of well-being in contemporary America. All these elements pose a serious challenge to the idea that white men were enjoying a superior power position in relation to a variety of others because they were *naturally* entitled to it:

The surge in aggression from America's angry white men comes not only from the gradual dispossession of white men from virtually every single position of power and authority in the land, but also from the challenge to their sense that such positions are their birthright (Kimmel 2013: 177).

Furthermore:

The new American anger [...] seeks to restore, to retrieve, to reclaim something that is perceived to have been lost. Angry White Men look to the past for their imagined and desired future. They believe that the system is stacked against them. Theirs is the anger of the entitled: we are entitled to those jobs, those positions of unchallenged dominance. (Kimmel 2013: 21)

Considering the impact of these presuppositions on the psychic makeup of the Hard Man, Badinter coins another name for him: the Knot Man, in reference to both his traditional look and his emotional 'knots'. The Knot Man wears a suit and a tie like any other successful businessman of his generation and his emotions are in turn knotted up to guarantee that he is always tense and implicitly ready for a fight. In other words, the Hard represents a combination of the worst masculine stereotypes: he is very competitive, self-involved to the extreme and emotionally impaired (Badinter 1993: 176). Indeed, he is *no sissy, a big wheel, a sturdy oak* and he shouts: *Give them Hell!* (Badinter 1993: 179).

Despite the amount of privileges that he enjoys in patriarchy, the Hard type stands for a man that has been emotionally amputated and has to resign himself to a life deprived of emotions and caring, both in the form of being cared about and caring for someone else. Furthermore, the obsession with homosexuality and effeminacy that have characterized the emergence of nineteenth middle-class discourses on manliness is paired with the psychic imperative of not showing any sign of femininity, if a man wishes to enjoy a higher degree of power in real life. Badinter seems to suggest that, for these very reasons, men are socially encouraged to cut off the ability to feel and are destined either to live a sterile life or to become self-destructive neurotics. The Hard type, in short, represents the prototype of a man with a high connection to violence. He is a vital threat in his mad, desperate effort to maintain dominance both over other men and over women.

This exclusion of femininity that underlies the configuration of the Hard seems to work on two different interdependent levels: the social and the psychological.

In Connell's theorizing, Hard options operate through the policing of men and the exclusion of women, giving his work primarily a sociological focus:

To sustain a given pattern of hegemony requires the policing of men as well as the exclusion or discrediting of women. Evidence of such mechanisms ranges from the discrediting of 'soft' options in the hard world [...], to homophobic assaults and murders [...], all the way to the teasing of boys in school for 'sissiness'. (Connell and Messerschmidt 2005: 840)

On the other hand, when considering the psychological impact of hard options, Connell emphasises how they require to be thought of as damaging factors for men in their gendered performances, in spite of the positive social and political recognition such performances might entail (Connell and Wood 2005).

At the opposite end of the symbolic spectrum, we would encounter the Soft Man, i.e. the perfect match for a strong-willed woman. This is a man who would renounce his masculinity in order to embrace his psychic feminine side. The Soft type represents an adaptive response to the challenges posed by feminism and by mutated socio-economic conditions of reproduction; he is the converse of the Hard Man, his alter ego. While the Hard inhibits his femininity to the extreme, the Soft ignores his masculinity, turning into a female actor with male anatomy (Badinter 1993: 175). He is the good partner, being the one who does the dishes and who would surrender to provide love and care. He places himself at the total disposal of others, 24 hours a day. His form of being a man implies the mutilation of the masculine or, stated differently, his manhood is characterised by his unwillingness to perform socially according to traditional gendered normative roles (Rodgers 1995).

This dichotomy, which enforces social practices, leaves men with no way out. In both scenarios men find themselves psychically impaired, being either victims of hate against all 'others' or unable to cope with the problematic discursive construction of a dualistic notion of gendered subjectivities in conflict.

All this considered, let's now look at Richard—the werewolf—as an example of a literary man dangerously shifting towards a violent traditional form of white masculinity.

3. RICHARD ZEEMAN: MOVING TOWARDS HARDNESS

Richard Zeeman is one of Anita's primary love interests. Hamilton introduces him quite early in the series, i.e. in *The Circus of the Damned*, the third novel published in 1995. He is given much attention at the beginning because he is coded as the *natural* choice as a partner for a Christian, law-abiding young

woman. He is in fact described as a reassuring human, an appealing alternative to the insinuating vampire that we have known since *Guilty Pleasures*. He is a junior high school science teacher driven by his job that has decided to hide his lycanthropy from everyone to avoid putting his professional life at risk.

“How do you know so much about lycanthropes?” “It’s my job,” he said, “I teach science at a local junior high.” I just stared at him. “You’re a junior high science teacher?” “Yes.” He was smiling. “You looked shocked.” I shook my head. “What’s a school teacher doing messed up with vampires and werewolves?” (Hamilton 1995: 48)

In Hamilton’s fantasy world, the violent nature of werewolves is considered a threat to humans, making it impossible to maintain a job for those that have been infected, especially when they are dealing with the youth or working in the health sector in which the exposure to blood can lead to further contagion.

Richard’s appearance is deceiving: he looks like any other ordinary human, an innocent bystander in the never-ending fight between mortals and supernatural creatures. In other words, Anita starts a relationship with him in the hope of not getting too involved with the preternatural community and wishing to resist vampire seduction. He seems like a nice fellow: healthy, attractive.

Richard’s hands were clasped loosely around one knee. He was wearing white Nikes with a blue swoosh, and no socks. Even his ankles were tan. His thick hair brushed the tops of his naked shoulders. His eyes were closed. I could gaze at his muscular upper body as long as I wanted to [...]. I approved. (Hamilton 1995: 46)

Richard is also fond of outdoor activities; as a first date he suggests going caving as ‘something unique’ they can both enjoy (Hamilton 1995: 63). He is a very refreshing choice, beautiful in his imperfection and extremely different from the ambiguous and plotting vampire that she calls ‘monster’: “He’s a monster, Richard. You’ve seen him. I can’t love a monster” (Hamilton 1995: 212).

At this point in the saga, she would never go out with monsters so it comes as a shock that the man she ends up dating from the third book on is not a regular human but indeed a werewolf; an *alpha* in fact that will, by *The Killing Dance* (Hamilton 1997), turn into an *Ulfric*, the leader of a wolf clan. Being an *alpha* means that he has extraordinary physical power, that he might tend to enter struggles for dominance easily and that, as a result, will almost certainly die young. This notion of a premature death, which is a constant source of anxiety for the female lead, matches most statistics on white male youth dying for violence-related injuries (Kimmel 2013; Courtenay 2000).

Almost from the beginning of their relationship, his were-animal nature —predatory and territorial— manifests itself as a lack of respect for her autonomy that she cannot tolerate, especially when it interferes with her work: “Anita, you’ve almost died twice today. How can you ...” “Can it, Richard. I need to go to work tonight.” [...] “You’re right, you’re right.” His voice was soft. “It just caught me off guard. You nearly died today and you’re sitting there drinking coffee like it’s ordinary.” (Hamilton 1995: 209). Nevertheless, he remains a desirable lover till the climactic explosions of violence in book six. In fact, apart from having a dominant nature he is unable to control, he performs a certain number of activities that make him charming to the eye of the heroine. He is responsible in his job, sustains a satisfactory sexual relationship and desires to be a father, all ‘qualities’ that have been defined as essential in Connell’s definition of hegemonic masculinity as a *consensual* form of ‘being a man’:

Most accounts of hegemonic masculinity do include such “positive” actions as bringing home a wage, sustaining a sexual relationship, and being a father. Indeed it is difficult to see how the concept of hegemony would be relevant if the only characteristics of the dominant group were violence, aggression, and self-centeredness. Such characteristics may mean domination but hardly would constitute hegemony—an idea that embeds certain notions of consent and participation by the subaltern groups. (Connell and Messerschmidt 2005: 840)

Indeed, Anita manifests a high degree of compliance/consent towards these practices/attitudes for two reasons that are easily identifiable in the narrative: on the one hand, she codes them as side-effects of his affection and, even more relevant here, she is strongly persuaded that she will be able to turn him into a less violent man. She is depicted, like many women in real life, as a strong believer in the reparatory nature of true love (Gibbons 1992: 154; Norwood 1986). Moreover, and to a certain extent contradictorily, she tolerates his sudden rages and violent outbreaks because they are interpreted as signs of his immutable nature, revealing the implicit danger that traditional conceptions of a supposedly inborn violent essence of men bear for heterosexual women involved with abusive partners.

However, the discovery of his lycanthropy represents a turning point in their relationship. The notion that Anita is engaged with someone that turns hairy once a month is troubling because the ‘animal part’ we all share becomes dominant and, as a consequence, all the inhibitions and norms are eliminated, turning people into dangerous predators. From this perspective, it may be argued that werewolves are monsters because they evoke both fascination and horrors, being humans that have fully embrace their animality affectively breaking down the ontological barriers between the human and the animal world (Agamben 2002). In other words, the werewolf figuration would work as a reminder of the forever-present animal as an integral part of our human condition.

The female lead is so upset that she becomes cautious, wondering at times whether he will attack people:

He didn't seem bored or impatient. He seemed to be having a good time watching the people. His eyes followed an elderly couple as they walked through the glass doors. The woman used a cane. Their progress was painfully slow. His head turned slowly with them. I scanned the crowd. Everyone else was younger, moving with confident or hurried stride. Was Richard looking for victims? Prey? He was, after all, a werewolf. (Hamilton 1996: 7)

In *The Werewolf Complex*, Denis Duclos (1998) provides a key contribution to support my reading of the ways in which hard masculinity is coded in Richard, the dominant were-being. According to the author, representations of the werewolf as a dangerous animal and a potential serial killer are central in the understanding of an American culture that expresses an irrational attraction towards violence as the emblem of a repressive psychosocial order that individual men are caught up in. This repression, together with a variety of other factors, has led to the emergence of the serial killer as a dangerous deviant that has then metamorphosed into a bloodthirsty werewolf. Therefore, Hamilton's decision to attribute traits of this domineering masculinity to a werewolf does not appear the result of a random choice, but corresponds to a general trend in mainstream American cultural production revolving around supernatural creatures.

Moreover, the ways in which those violent practices and attitudes eventually explode into the novels are not coincidental either: the first time she discovers the full extent of Richard's rage and uncontrollable nature is when she witnesses him eating a man after a fight for domination, breaking the cultural taboo of cannibalism and, therefore, yielding to his monstrous nature once and for all: "Two alphas fight here tonight. One of us will leave this circle alive. One of us will feed you tonight. Drink of our blood, eat of our flesh. We are pack. We are lukoi. We are one" (Hamilton 1997: 295).

Few pages later, the reader turns into a spectator of Richard's final transformation into a monster when all pretences of humanity slip away:

Marcus drove his claws into Richard's back. Richard tucked his face and neck against the other man's body, protecting himself from the claws. Marcus shuddered. Richard broke away from him, bringing his bloody hand out of Marcus's chest. He tore the still-beating heart out of his chest and flung it to the wolves. They fell on the morsel with small yips and growling [...] When I passed the last furred body, the sound of tearing flesh brought my head around. I couldn't stop myself in time. Richard's muzzle was raised skyward, slick with blood, throwing down a piece of meat that I tried not to recognize. (Hamilton 1997: 299)

From this moment on, the relationship between the two becomes far more unsettling: they go through stints of open hostility, reconciliation, and friendship. Richard's inability to deal productively with his hardness, his desire to be in control, and his will to dominate sexual partners does not leave much room for trust, a key element of any desirable love bond in fiction as much as in real life.

4. JEAN-CLAUDE: THE ANDROGYNOUS VAMPIRE

"This is a place of pleasure, Anita, not violence."

Jean-Claude

Connell points out how maleness has been historically conceived as a quality inherent to the body of a man (Connell 1995: 45); in other words the 'essence of man' makes itself visible through a certain feel of the skin, particular muscular shapes and tensions and a quality of posture and movement that hint at the possibility of (homo)sexual encounters (Connell 1995: 53).

From the very beginning, Jean-Claude's manhood is put into question:

The voice belonged to Jean-Claude, club owner and master vampire. He looked like a vampire was supposed to look. Softly curling hair tangled with the high white lace of an antique shirt. Lace spilled over pale, long-fingered hands. The shirt hung open, giving a glimpse of lean bare chest framed by more frothy lace. Most men couldn't have worn a shirt like that. (Hamilton 1993: 10)

The Master vampire is represented as a combination of masculine physical traits and *fragile beauty*, a threat to traditional notions of (heterosexual) male good looks. His androgynous appearance is immediately elicited as a form that deconstructs in the flesh traditional attributes of men and women (Mirizio 2000: 133-134). This visual element does not *per se* clash with the progressive shift in appearance of many heterosexual white men that, since the 1980s, adopted an androgynous style with long hair and a certain display of effeminacy in their choice of clothes (Badinter 1993: 216). Nevertheless, the multiple references to his male lovers and his long-lasting affection for another vampire, Asher, turn Jean-Claude into a polyamorous creature not so easily classified.

Indeed, Hamilton's vampirism, exemplified by the vampire Master Jean-Claude, hampers any straightforward gender classification. This symbolic rupture manifests itself at the skin level (looks and texture) as much as in a subtle performance of cross dressing/transvestism that reveals the *performative* and *fluid* nature of gender/sex identifications. His odd taste in clothes, constantly remarked upon, serves to

accentuate this feeling of estrangement that the novelist exploits to pinpoint Jean-Claude's *abnormal*, threatening, and monstrous androgynous presence. In fact, transgressing against one set of boundaries is 'to call into question the inviolability of both, and of the social codes of sex —already demonstrably under attack— by which such boundaries were policed and maintained' (Garber 1992: 32).

Following up the notion of dialogue between the characters, I wish to remark here that in the narrative, the monstrous body of the vampire —defined by its fragile frame, but equipped with overwhelming force— mirrors the unwomanly qualities of Anita, herself an expression of androgynous 'female masculinity' (Harberstam 1998). As much as Jean-Claude appears simultaneously strong and fragile, the heroine is muscular but extremely delicate like a China doll.

If the looks of this creature, far removed from traditional male beauty and (therefore) essence, make him a potential object of desire for the heroine, even more so does his whole psychology. Jean-Claude is, in fact, coded as an old-fashioned gentleman and, throughout the novels, he is defined repeatedly as sensitive and understanding:

"It is alright, *ma petite*. We are both safe now." I shook my head against the stained front of his shirt. "It's not that." He touched my face, raised it to look at him in the soft-lighted darkness of the car. "Then what is it?" "I had sex with Micah." I watched his face, waited for the anger, jealousy, something to flash through his eyes. What I saw was sympathy, and I didn't understand it. [...] "You're not angry?" I asked. (Hamilton 2001: 101)

The odd combination of these qualities allows Anita, this vampire hunter deeply submerged in a world of extreme violence and constant threat, to feel safe and cherished:

"I've never seen you be that ... soft with anyone before." It startled me. "You've seen me kiss Richard before." He nodded. "That was lust. This is ..." He shook his head, glancing up at Jean-Claude, then back to me. "He makes you feel safe." I realized with a jolt that he was right. "You're smarter than you look, Zerbrowski." (Hamilton 2001: 100)

Jean-Claude is imagined as a creature through which a set of contradictory time dimensions collapse into a corpse. In fact, his desirability is guaranteed by an immortality that gives him plenty of time to develop and adapt, old age that grants him a pleasant touch of gentlemanliness and his forever-young handsome looks that turn him into a prize. As Mukherjea has stated, supernatural intimacy with the vampire creates a symbolic discursive site in which these *time* dimensions are simultaneously displayed, allowing for combined traits of desirable masculinity to be performed (Mukherjea 2011).

If gentlemanliness appears desirable in an androgynous man, it is nonetheless frowned upon when associated with a controlling attitude or a wish to limit the heroine's ability to choose for herself, as it is with Richard. The underlying message is that traditional hard men would use gentlemanliness to derive a certain degree of subordination from their partners. Richard's desire to be the man in the relationship would lead him to fury, to fight with other men for her attention and to actively sabotage her attempts to create a community of men with whom she could emotionally and romantically bond. On the other hand, the androgynous vampire discloses an irresistible combination of gentlemanliness, understanding, and respect for her autonomy. Furthermore, Jean-Claude's strategic adaptability allows him to perform different roles in the novels and make the androgynous man difficult to pigeonhole. The vampire is represented simultaneously as the terrifying body guard, the affectionate and patient lover that will not feel threatened by her multiple lovers, and ultimately, as a mature man that will use his superhuman passion to satisfy her sexually while exercising control over his own devouring nature (he refrains from bloodsucking). In other words, Hamilton's Jean-Claude represents the perfect combination: a mixture between pleasure and danger, incarnated in an undead body, and an almost ideal partner for a contemporary young woman that needs to be supported and understood but cannot do without a high degree of independence.

"I cannot bewitch you with my eyes, and it is harder to cloud your mind, but it can be done." His fingers encircled my arm. Not hurting. I didn't try to pull away. I knew better. He could crush my arm without breaking a sweat, or tear it from its socket, or bench press a Toyota. (Hamilton 1994: 89)

The fiction of immortality and old age appears to be related to desirable masculinity in the form of wealth: Jean-Claude is in fact obscenely rich. He has built up an erotic empire (strip clubs and exotic-dancing theatres) that reinforce his powerbase and guarantee economic prosperity for all those who ally with him. His riches are exemplified by the choice of lush decoration for his residence, expensive clothing, and the possibility of satisfying any lover's desires. Wealth in the form of houses, clubs, bars, and all kinds of property that he owns stand for power and authority. Nevertheless, instead of reproducing the economic dependence of a young female character from a patron in the context of gender/class inequality, Hamilton provides an imagined relationship in which the two are presented as successful professionals, effectively eliminating the possible identification of Jean-Claude's sensitivity with Soft Manliness.

Jean-Claude's wealth appears as a sign of desirable entrepreneurship in a man and creates the 'illusion' of a future in which women will have overcome inequality and will have won the struggle for professional recognition and equal

pay. In other terms, his fortune in contemporary-future America works both as a reminder of how advantageous it is for women to be economically independent in establishing love relations (Radway 1991) and, at the same time, remarks on how wealth is still a very much desired asset in a man.

This particular aspect locates the use of *time* in Hamilton's series in a very different scenario in relation to vampire canon (Auerbach 1995) and to a great extent marks Hamilton's originality. In Stoker's *Dracula*, the past was rendered through the depiction of a native land, frozen in time, in which ancient forms of aristocratic domination (Dracula being a Count), resisted the advent of modern times. The lack of capital circulation, exemplified by his habit of accumulating coins, as much as the presence of a variety of ethnic groups prone to superstition, suggested a country deeply unfit for change (Moretti 1982). Dracula himself was described as a being unable to change: through the printed press, phonographs, typewriting, and hypnosés—all part of modern technology—he is ultimately destroyed (Halberstam 1993; Wicke 1992). Contrarily, in Hamilton's fiction for (heterosexual) women, the past dimension is embodied in the vampire in the form of an androgynous man extremely experienced in the matters of the heart, sexually adroit, and with a deep knowledge of human economic motivations; a man that embodies combined 'alternative' masculine practices (Carabí and Armengol 2015).

5. CONCLUSIONS ON DESIRABLE MASCULINITIES

Thanks to a great effort on the part of feminist thinkers, Women's and Men's Studies have revealed the social and cultural dimensions that shape our notions of what it means to be a woman and a man, what are considered to be typically feminine and typically masculine characteristics, and what types of gender performance guarantee social acceptance and recognition. These forms are constructed in dialectical opposition and vary from one social context to another. Different ideals/practices of being a man come into tension with one another and in opposition to the modes in which a desirable form of femininity emerges.

In relation to types of masculinity, hegemonic masculinity is the idealized form, the most desirable among many, at a given place and time. It represents the socially dominant gender construction that subordinates femininities as well as other forms of masculinity, and shapes men's social relationships with women as well as relations between men. Furthermore, hegemonic masculinity represents a particular culturally coded form of exercising power and authority on a micro/macro level.

According to some critics (Kimmel 2013; Connell 1995; Connell and Wood 2005) today in the United States, hegemonic masculinity is embodied in heterosexual, European American men that tend to feel displaced and threatened by economic, social, and political changes that have reshaped their lives. In some cases, this feeling of 'crisis' can lead to the use of violence, perceived as a legitimate reaction to reassert their power over women and other men (Thiebaut 2010). Hamilton narratives offer a fictional alternative of how the figure of androgyny in a text symbolically serves as a valid counterpart. If the Hard and the Soft alternatives, as two extremes of a spectrum of manliness, leave men mutilated (either sociopathic with a propensity to exercise violence against women or unable to maintain sexual tension in their relationships with women, and incapable of dealing with working environments), the androgynous represents a form of being in the world that allows people to strategically embrace femininity and masculinity instead of performing a set of limited gendered roles and behaviours. In the reading I have provided, the androgynous vampire represents a form of resistance to hegemonic white American masculinity and its historical debt to violence and phobia against otherness. In other terms, being a liminal figure that moves beyond Hard masculinity and the Soft ideal, the vampire allows forms of resistance to gender discursive practices to emerge. Indeed, Hamilton contributes significantly to the re-inscription of the vampire canon. Her writing can be inscribed in the game of reversing traditional notions of what vampirism represents for women: instead of being a source of death and the final renunciation of autonomy, Anita's relationship with the vampire is a preferential path to gain emotional security and power and to become an equal partner in a wealthy empire.

In conclusion, I would like to stress once more that symbolically the androgynous provides a model for a fluid notion of personal identity not so inherently controlled by gender. Considering that most of Hamilton's characters are androgynous beings, the author seems to find traditional restrictive notions of femininity and masculinity undesirable for women, and her success as a writer makes me wonder whether the appeal that this popular vampire fiction exercises on female readers resides indeed on its ability to provide an alternative model companion for a heroine that navigates the ever-changing tides of our gendered world.

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**APPROACHING ERASMUS STUDENTS' INTERCULTURAL
COMMUNICATIVE COMPETENCE THROUGH THEIR SOCIALISATION
PATTERNS**

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ABSTRACT. *This paper presents a qualitative analysis of the impact of university students' socialisation patterns on the development of ICC (Intercultural Communicative Competence) during their Erasmus placements. In our research, we complement previous comparative analyses of a quantitative nature between UK and Spain based students' ICC. The answers to sixteen items from a questionnaire provided by 40 Nottingham Trent University and 30 University of Salamanca students shed light on three pivotal dimensions: everyday interaction patterns, overall perception of the study sojourn, and intercultural lessons learned during their stay. Our results show that, at the end of their placement, both cohorts report no substantial differences on their means to socialise while abroad and that the two confer paramount importance to being open-minded and using the target language proficiently, while their perception differs regarding aspects such as their previous knowledge about the host country or their self-image as representatives of their home culture.*

Keywords: Erasmus, Intercultural Communicative Competence, Intercultural Education, Higher Education, Socialisation, Study Abroad.

UNA APROXIMACIÓN A LA COMPETENCIA COMUNICATIVA INTERCULTURAL DE LOS ESTUDIANTES ERASMUS A TRAVÉS DE SUS PATRONES DE SOCIALIZACIÓN

RESUMEN. *Este artículo presenta un análisis cualitativo del impacto de los modelos de socialización de estudiantes universitarios en el desarrollo de su CCI (Competencia Comunicativa Intercultural) durante su estancia Erasmus. Esta investigación complementa análisis cuantitativos previos que comparaban la CCI de estudiantes de España y del Reino Unido. Las respuestas de 40 estudiantes de Nottingham Trent University y 30 de la Universidad de Salamanca a los dieciséis ítems del cuestionario abordan tres dimensiones: patrones cotidianos de interacción, percepción general de su estancia Erasmus y lecciones interculturales aprendidas. Nuestros resultados muestran que, al finalizar su estancia, los dos grupos no evidencian diferencias sustanciales en sus formas de socialización en el extranjero y conceden primordial importancia a mostrar una actitud abierta y al dominio de la segunda lengua. Sin embargo, sus percepciones difieren en aspectos como su conocimiento previo del país anfitrión o su imagen como representantes de la cultura de su país.*

Palabras clave: Erasmus, competencia comunicativa intercultural, educación intercultural, educación superior, socialización, estudios en el extranjero.

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1. INTRODUCTION

A communicative landscape of linguistic complexity where English undisputedly acts as the *lingua franca par excellence* (Baker 2016) and a worldwide increase of mobility are causing an unprecedented shift in language teaching that involves the need to “transcend the traditional paradigm of one nation, one language, one culture” (Risager 2016: 48). Added to that is a steady growth in the number of students who follow tertiary education abroad, which is also intensifying the need to foster intercultural communicative competence (henceforward ICC) development schemes to optimize rather than just “cope with” cultural encounters. Significantly, the Erasmus + (European Region Action Scheme for the Mobility of University Students) budget of over 14 billion includes funding for more than 2 million university students to study and 800.000 lecturers, teachers, trainers, education staff and youth workers to teach or train across Europe during the 2014-2020 period (European Commission 2015). However, this should not belittle the relevance granted today to ICC beyond the European region, as reflected in studies from and about other areas of the globe (Deardorff 2009).

This paper presents a work in progress following an investigation on the impact that university students' Erasmus placements may have on the development of their ICC during their residence abroad (Gutiérrez, Durán and Beltrán 2015; Durán, Gutiérrez, Beltrán and Martínez 2016). Our previous comparative analyses of the impact of such placements on UK and Spain based students' ICC showed that, on completion of their stay abroad, the two cohorts subject to scrutiny had gained a greater sense of ICC even if noteworthy differences between them emerged. At the end of their placement, UK Nottingham Trent University (NTU) students claimed to have achieved greater knowledge of their host country as well as an increased critical awareness while no particular impact was reported regarding their attitude and skills. However, their Spain University of Salamanca (USAL) counterparts exhibited a slightly less positive attitude than that reflected prior to their experience abroad even when their perceived development of the dimensions of awareness, knowledge and skills was also significant.

2. THEORETICAL BACKGROUND

In previous publications we discussed some of the different understandings of ICC (Gutiérrez, Durán and Beltrán 2015; Durán *et al.* 2016), particularly the one articulated by Michael Byram (1997, 2012), on whose model we have based the main analysis of our data. We argued then that the target culture acts as a mirror, which helps students not only to perceive their own cultural identity from a different perspective but also to gain a fresh awareness of the ways in which speakers of the target language may perceive them. In consonance with Byram (2000), we also claimed that this awareness is the condition on which they will be able to build new knowledge, change attitudes and develop ICC skills. Through a process of self and others discovery, by uncovering their behaviour in the face of otherness and thus being open to the identities and cultures of the people they interact with, and therefore by using culture as a tool for self-reflection on their own cultural background and by collaborating with others, learners may become intercultural speakers (Byram and Zarate 1997; Sáez-Hidalgo and Filardo-Llamas 2014; Baker 2016) and even get involved in multicultural teamwork (Méndez and Pérez 2011). This new learning horizon may provide learners with a more balanced relationship in their interaction with speakers of languages other than their own.

Relating one's culture, or constellation of cultures, to the host's demands a readiness to reflect, confront oneself and above all, to play a mediating role between both, and indeed to change (Risager 1998). This change or intercultural learning, however, "can only be grasped by inferring it from changes in people's behaviours" (Borghetti, Beaven and Pugliese 2015: 44). In short, gaining awareness

of their own identity and the way members of their new cultural milieu perceive them “will help students to explain and accept differences but also to accept that these differences are never permanent or static” (Durán *et al.* 2016: 3).

Following Dervin (2007, 2011), we would now like to add to previous conceptualisations the notion of “liquidity”, which has been studied from a sociological perspective with reference to that which is not given enough time to solidify, whether it is time itself, identity, population sectors, or society at large (Bauman 2007). Dervin’s contention is that, as an attribute, “liquid” is also applicable to the experience of Erasmus students, given the temporary status of their tertiary studies’ placement in a foreign country. For this reason, besides proposing “a liquid approach to intercultural discourses” (Dervin 2011), he regards Erasmus students as archetypal “liquid strangers” who, as a way of developing their intercultural competence, should be given “the opportunity to look at themselves and others, as well as reflect on their own discourse and attitudes” (Dervin 2007). By doing so the ground will be paved for them to become more than mere carbon copies of native speakers.

This paradigm shift opens for us the possibility to see and explore their stay abroad as taking place in a third space (Smolcic 2013: 95) where new interpersonal and intercultural realities emerge that need to be constructed and negotiated, as they cannot be fully identified with either the native or the target cultures. It is by means of everyday interaction patterns, which are the focus of our research, in their communities of practice (Bracke and Aguerre 2015) that students develop and give way to novel intercultural domains and spheres of relatedness which constitute the “threads” (Holliday 2016: 320) or fabric of a symbolic realm where the subject “is never finished, it is always in construction”, in other words, “a work in progress” (Kramsch 2009: 96).

Seminal research on student mobility (Beaven 2012; Beaven and Borghetti 2016) and pedagogical proposals to foster ICC processes before and during the year abroad (Penman and Ratz 2015) have also been an inspiration for our own paper, even if we did not seek to provide a fine-grained depiction similar to that of studies like the ones carried out by McManus, Mitchell and Tracy-Ventura (2014) on the study-abroad experience of English-speaking sojourners in France. Our findings, however, both complement and nuance the results of our previous research while throwing further light on aspects such as the prevalent activities students engage in and the language they resort to for diverse social interactions (Gautier and Chevrot 2015; Teichler 2015).

Social networks doubtlessly play a seminal role in the plethora of interactions and learning outcomes of study abroad and, since they are usually formed early, they may remain stagnant or develop. They do “represent a major influence on the

variability of study abroad experience”, to the extent that “[g]reater contact with the local community leads to greater gains. Interacting with host nationals has been shown to be a key to successful adjustment” (Coleman 2015: 52). Seen in this light, our study may nourish the very body of thinking that sustains it while it lends itself to yet prospective incursions into the kinds of personal drives, institutional guidance, and *in situ* social engagements that can lead to students’ development of ICC.

3. THE STUDY

3.1. AIM

Our study aims to identify the socialisation patterns of UK and Spain based Erasmus students through their answers to sixteen items from a questionnaire (adapted from Buynsters 2012) which addresses three broad categories of ICC issues, namely, students’ interaction patterns, self and other perceptions, and intercultural lessons, or conclusions, drawn from their experience of temporary mobility, all of which comprise more specific aspects such as language use, type of contact kept by participants with family and friends at home, and the activities they were involved in during their placement abroad.

3.2. METHODOLOGY

This research uses a mixed-method approach combining statistical data from the questionnaire with qualitative findings on the students’ return to their home institution. A SPSS (23.0) tool for Descriptive Statistics was used, which allowed us to map the data and synthesize the answers of the questionnaire through tables so as to highlight the most salient results after a calculation of the standard measures of the central tendencies (mean) and of dispersion (standard deviation).

Additionally, we applied three complementary statistical analyses, namely, T student to find general differences between NTU and USAL students, which in fact yielded seemingly scarce yet relevant information, as will be shown later; T student to compare the results of NTU and USAL students in light of their previous experience, or lack of experience, abroad; and T student to compare where NTU and USAL students also differ significantly after considering the variable of whether they study a third additional language besides Spanish, in the case of NTU students, or English, in the case of their USAL counterparts.

The questionnaire contains a five-point Likert scale (1=the least frequent, 5=the most frequent). Besides gathering basic contextual information on students (age, gender, language level, languages other than L2, and previous experience abroad)

it comprises sixteen items divided into three sets. Seven items focus on patterns of interaction, five on their self-perceptions, general impressions and feelings regarding their home and host countries, and four on their ICC findings about what they regarded as most relevant during their time abroad.

The questionnaire was distributed to two groups of students participating in the exchange programmes, one from the USAL, that was placed in British universities, and the second from the NTU, hosted by diverse Spanish universities during 2013/2014. A total number of 70 students (40 NTU and 30 USAL) completed it in September of the year 2014, shortly after their return from their placement abroad.

Evidence from students' oral reports on their experience abroad gathered from a total of 10 interviews (5 to NTU and 5 to USAL students) on return to their home institutions complements the quantitative findings.

3.3. RESEARCH SUBJECTS

NTU third-year students of Spanish and USAL third- and fourth-year students of English from the English Studies and the Primary English Language Teaching degrees filled the questionnaire. Thus, the two cohorts of students share the fact that they were taking degrees in either Spanish or English as a foreign language, yet two distinct traits regarding participation requirements and expected outcomes need to be considered for they provide relevant background information that should inform the reading of the data. Firstly, while NTU students are assigned a placement abroad as an integral part of their course regardless of their grades, USAL candidates are awarded study grants on the basis of their academic records, since the provision of places is limited. Secondly, regarding their academic expectations, whereas USAL students have to bring back credits of which they will be assessed as a component of their degree, NTU participants in the Erasmus programme are also required to complete credits and take exams but passing them is not an academic obligation.

Since there is only a slight age difference between the two groups, NTU students being 23.2 years old on average and their USAL counterparts 22.2, the age variable does not have a significant impact on the data. As for their gender, our study confirms that the study abroad is still, since its very inception, a markedly gendered experience closely bound to other identity issues (Kinging 2009, 2015). In both groups most students are female even if there is, again, a slight difference between the two, for while in our sample there was a 67 % of NTU female students, only 13 % of USAL students are male.

The percentage of NTU students who had already stayed in the target country before their Erasmus placement for a period of over a month (72 %) is remarkably

similar to that of Coleman's (1998) sample of British students almost twenty years ago, while the figures are just the opposite in the case of USAL students, for 74 % of whom this mobility programme was their first experience abroad.

4. RESULTS

The following three tables provide a synthesis of the answers to the questionnaire that asked students to rank the three main dimensions of their everyday Erasmus experience under the headings of (everyday) "interaction patterns", "perceptions" (of their experience abroad), and "intercultural lessons" (learned during their stay).

Table 1. Everyday Interactions. Percentage of frequency of NTU and USAL students' interactions during their Erasmus experience (NTU n=40, USAL n=30)

	NAT	1	2	3	4	5	Average	Standard Deviation
1. I have made many friends during my stay and with most of them I will definitely keep in contact or even invite to visit me in my home country	NTU	0	2,5	20	25	52,5	4.28	,877
	USAL	0	0	26.7	26.7	46.7	4.20	,847
2. I keep an intense interaction with family and friends at home via Skype, Facebook, etc.	NTU	2.6	15.4	30.8	25.6	25.6	3.56	1.119
	USAL	0	13.3	20	26.7	40	3.93	1.081
3. I speak in target language most part of the day	NTU	0	7.5	27.5	37.5	27.5	3.85	,921
	USAL	0	6.7	53.3	13.3	26.7	3.60	,968
4. After classes/work, I frequently participate in other activities	NTU	0	15	35	27.5	22.5	3.58	1.010
	USAL	0	20	46.7	20	13.3	3.27	,944
5. I prefer to be surrounded by students of the Erasmus exchange program, as opposed to the local students	NTU	17.5	17.5	35	20	10	2.67	1.028
	USAL	13.3	26.7	46.7	6.7	6.7	2.88	1.223
6. When I go out, it is mainly with people from my own country/language	NTU	15	27.5	35	20	2.5	2.68	,847
	USAL	13.3	26.7	36.7	20	3.3	2.73	,191
7. I share accommodation with people that speak my language	NTU	32.5	7.5	17.5	30	12.5	1.48	,234
	USAL	40	20	20	13.3	6.7	1.31	,239

Table 1 displays the data drawn from the answers given to 7 items (hereafter identified parenthetically as “i-”) that describe the most salient patterns of social interaction, which have been ranked according to their frequency from the most (i-1) to the least rated (i-7).

What can be noticed from a general overview of this table is that the first and, hence, the most highly valued item concerns forging long term relationships with students from other countries and expressing willingness to keep in touch and to visit each other in their home countries in the future (i-1): NTU 4.28 vs USAL 4.20. More than half of NTU students assigned this item the maximum rating within the Likert scale. As for USAL students, 100% of their answers are positioned between number 3 (positive) and 5 (the most positive value on the scale). This item does not show any significant difference between the two groups of Erasmus students. The way the two groups reflect their intense combined feelings of personal bonding and longing can be graphically summed up in the testimonies of NTU student 3 (“I have made lifelong lasting friends”) and USAL student 4 (“I have just returned from the UK and I already feel sad because I miss the friends I have made there”).

While they express their readiness to establish new relationships in the host country, students are nonetheless almost equally keen to keep in touch with their home country (i-2), which is slightly more noticeable in the case of USAL students: USAL 3.93 vs NTU 3.53. Thus, USAL student 3, like her fellow recipients of the mobility grant, took for granted that communication with her family on a daily basis was, unquestionably, the thing to do: “Yes, of course, I used Skype to communicate with my family in Spain on a daily basis while in England”. The almost permanent online connection of higher education sojourners with their kin at home has been likened to attaching “an electronic umbilical cord of computer-mediated communication” (Kinginger 2009: 149).

The table shows that speaking in the target language most of the day (i-3) is also highly ranked, by the two cohorts of participants, with an average score just slightly below item 2 (USAL 3.85; NTU 3.60), and even above the preceding item (i-2) in the case of NTU students. This is consistent with item 7, which reveals that neither group tends to share accommodation with speakers of their own language (USAL 1.48; NTU 1.31). In the formulation of item 7, which in principle should have been dichotomic, we took into account that students may change their accommodation and the fact that there are occasions when Erasmus students may share lodgings with speakers of different languages. The following comments make it evident that students’ communicative scenarios may appear under many different guises and their interactions can be subject to manifold combinations. Thus, USAL student 4 uses English as a *lingua franca* (“I speak to my flatmates

in English every day. They are Chinese. I usually go out with Italian and French friends. We speak in English to understand each other”), while NTU student 5 was glad to “live with two Spanish students” and “hang out with them most of the time. I only spoke English with my parents”.

Item 4 shows the shared commitment of both groups of students to make the most of their placement by engaging in different activities. Thus, they mention that after their academic chores they often participate in activities such as sports, discussion groups, student organizations, or going to the cinema or the gym. This item is slightly more highly scored by NTU students (NTU 3.58 vs USAL 3.27). The following snapshots offer a few glimpses of the above: NTU student 1 likes cooking, and, while in Spain, she seemed enthusiastic about the possibilities this offered to her: “I got hooked to Spanish cooking”. As for NTU student 2, she conveyed a sense of achievement in bringing together a personal connection and a way of improving her language skills: “I have made a friend, and we meet once a week to exchange conversations in English and in Spanish”. NTU student 4 proudly says: “I have Spanish friends now. I go to the gym with them and sometimes we play football”. The experience of USAL student 1 does not differ substantially from that of her NTU counterparts: “University students go out almost every day. I join them sometimes and we go to the disco or to the pub”.

A notable 40 % of USAL and just a slightly higher 42.5 % of NTU students state that they do not usually go out with members of their own culture (i-6). Nor do their answers exhibit a relevant difference regarding their preference to socialise with either Erasmus or local students (i-5): USAL 2.88; NTU 2.67. Not surprisingly, the T test results reveal that NTU students who speak a third language seem to prefer to go out, mix, and converse with other Erasmus students with whom they may thrive in a rich multilingual environment [T test 3,019; df 38; Sig. 0,005].

One of the most noticeable findings of our analysis is the fact that students from neither university show significant discrepancies in their socialisation patterns during their stay abroad.

Concerning their general perceptions during their Erasmus experience, which include aspects such as their self-image, feelings of homesickness, or level of integration, as reflected in table 2, the item that the two groups valued most highly deals with learning about and accepting local customs regarding aspects such as eating habits, timetables, celebrations, use of degrees of formality and informality in diverse situations, etc. (NTU 4.35; USAL 4.20). The fact that 95 % of NTU student and 86.6 % of their USAL counterparts assigned this item (i-1) the highest score of the scale speaks for itself. In this instance, T test results add a further statistically

Table 2. Perceptions. Percentage of frequency of NTU and USAL students' perceptions during their Erasmus experience (NTU n=40, USAL n=30)

	NAT	1	2	3	4	5	Average	Standard Deviation
1. I am learning a lot about the local habits and I accept them for what they are	NTU	0	2.5	2.5	52.5	42.5	4.35	,662
	USAL	0	0	13.3	53.3	33.3	4.20	,664
2. I could definitely live in this country in the same way they do here, without having any problems	NTU	0	10	22.5	37.5	30	3.88	,966
	USAL	6.7	6.7	26.7	33.3	26.7	3.67	1.155
3. As an Erasmus student I see myself as a representative of my home culture	NTU	2.5	2.5	20	47.5	27.5	3.95	,904
	USAL	6.7	6.7	53.3	26.7	6.7	3.20	,925
4. I knew a lot about the host country before I came here	NTU	5	15	15	45	20	3.60	1.128
	USAL	13.3	26.7	26.7	26.7	6.7	2.87	1.167
5. In the beginning I felt like I wanted to return home again	NTU	42.5	20	10	15	12.5	2.35	1.477
	USAL	33.3	13.3	13.3	6.7	33.3	2.93	1.721

significant finding which reveals that USAL students who speak a third language consider that they are learning from the local habits and they accept them for what they are more than their Spanish peers who only know or are learning a foreign language [T test 2,542; df 28; Sig. 0,017]. Once again, the sojourners' voices in the following excerpts both embody and situate the preceding data, making them come alive and be filled with meaning in very concrete everyday situations. For example, NTU student 2 affirms: "I understand the culture better. I got used to the Spanish way of life very soon". NTU student 3 refers to a specific step he took in order to adapt to his new environment: "As soon as I arrived, I changed my eating timetable". USAL student 4 testifies to a change in her frame of mind and in specific behaviour: "I learned to live as they did. I used their timetable to do things on time. I had to be open-minded and tried not to compare everything to what is done in Spain".

Even beyond the acceptance of cultural habits which differ from those of their home country, the clearest evidence of their positive perception of the host country lies in the results of the second item where students were asked whether

they could definitively live in the country of their Erasmus placement in the same way as locals do, with a significant 90 % of NTU students and 86.6 % of their USAL counterparts assigning positive values to this item.

The following testimonies of students from both groups express that they would be happy to live in the host country and confirm the quantitative data gathered in previous studies, where the attitude dimension proved to be valued most positively by both cohorts of students (Gutiérrez, Durán and Beltrán 2015; Durán *et al.* 2016). NTU students 2 and 3 share respectively their newly gained confidence after having decided to embrace the Spanish way of life instead of constantly assessing it against their British background: "I have learned to live like a Spanish citizen, particularly regarding their timetables and eating habits and the ways of organizing their meals"; "I now fully understand the Spanish lifestyle and I consider that I am equipped and ready to work in Spain". USAL student 5 lists what for her had been initially striking differences and which are not any longer perceived as obstacles or judged as negative aspects: "After living for eight months in Nottingham, I can say that although English people eat mostly fast food, drive on the left, use pounds, measure distances in miles, have lunch at twelve and dinner at six, always drink tea, and wear summer dresses in winter, I could adopt these habits and live in the UK because I love the country".

Item three values the students' self-perception as representatives of their own culture, which requires them to ponder their overall experience in terms beyond their manifold learning "gains". Although the overall rating of the item is high in both groups of students (NTU 3.95; USAL 3.20) they exhibit differences worth noticing for, whereas 75 % of NTU students assign the highest values to this item, only 33³/₄ % of USAL students give it the highest scores. When students look back to the beginning of their placement, 65 % of NTU students reiterate that they were knowledgeable about the host country versus only 33³/₄ % of USAL students (i-4). These data attest to the fact that it is also NTU students who have been in the host country before this university placement in a much greater proportion than USAL beneficiaries of the Erasmus grant, for 74% of whom this placement was their first time abroad for longer than a month. These data seem to be fully consistent with the percentage of USAL students who wanted to return home at the beginning of their stay (40 %) as against only 27⁵/₅ % of NTU students (i-5). After a T analysis, the two items in table 2 which show a significant statistical difference between NTU and USAL students are item number 3, concerning Erasmus students' self-image as representatives of their home culture [T test 3.401; df 68; Sig. 001] and item number 4, dealing with their previous knowledge about the host country [T test 2.653; df 68; Sig. 010].

Table 3. Intercultural lessons. Percentage of frequency of NTU and USAL students' ICC lessons during their Erasmus experience (NTU n=40, USAL n=30)

	NAT	1	2	3	4	5	Average	Standard Deviation
During my stay in the host country I found out that it is very important to:								
A) Learn the language of the country	NTU	0	2.5	5	5	87.5	4.78	,660
	USAL	0	0	0	20	80	4.80	,407
B) Get information about the differences between cultures beforehand	NTU	0	2.6	15.4	48.7	33.3	4.13	,900
	USAL	0	0	33.3	20	46.7	4.13	,767
C) Be open-minded and socialise a lot with others	NTU	0	0	7.5	17.5	75.5	4.68	,616
	USAL	0	0	0	26.7	73.3	4.73	,450
D) Change my own national customs to blend in with the locals	NTU	2.6	15.4	25.6	35.9	20.5	3.56	1,071
	USAL	6.7	20	33.3	20	20	3.27	1,202

What we would like to highlight from table 3 is that at the end of their placement, both groups of students reached the conclusion that learning the target language (i-A) is their first and foremost priority (NTU 4.78; USAL 4.80), something which is consistent with the findings of our previous study (Durán *et al.* 2016). A proficient command of the L2 is what they identify as their utmost priority as well as a factor that definitely favours their ICC. Their temporary immersion experience is precisely what can help them bridge the gap between curricular requirements and a use of the language beyond their academic confine. The two cohorts also highly rank being open minded and socialising with others (NTU 4.68; USAL 4.73), which entail, again, the possibility to further their linguistic and cultural experience through real communication. During their stay, they also realise that the more information they have about the differences between cultures prior to their sojourn (about the people, traditions, religion, art, etc.) the better equipped they will be to make the most of their intercultural experience (NTU 4.13; USAL 4.13). They are ready to change their cultural behaviour while in the host country so as to get to blend in with the locals (NTU 3.56; USAL 3.27). This difference between NTU and USAL students reflects the paradoxical fact that while NTU students show a greater readiness to

blend in with the locals at the same time they claim to act as representatives of their own culture to a greater extent than their USAL counterparts (table 2, i-3).

The results of the T test reveal the following statistically significant differences in each of the four items of table 3. In option A, there are significant statistical differences between the NTU students that do not speak a third language and those that do. The first group highlights the importance of learning the target language more than the second group [T test 2,187; df 30; Sig. 0,037]. In option B there are significant statistical differences between those students from USAL that had been in a foreign country before and those for whom their Erasmus placement is their first time abroad. Thus, USAL students whose first experience abroad is the Erasmus placement consider that it is very important to get information about the differences between host and target country [T test 2,834; df 19,909; Sig. 0,01]. In options C and D there are significant statistical differences between the USAL students who are speakers of a third language and those that only speak a language in addition to their own: the former have realised that it is very important to be open minded and socialise [T test 2,822; df 12,298; Sig. 0,015] and they have also found out that it is very important to change their own customs in order to get integrated in the host country [T test 2,975; df 27,094; Sig. 0,006].

5. CONCLUSION

Having adopted Byram's work on ICC (1997; Byram, Gribkova, and Starkey 2002) as a compass of sorts, our approach to the impact of Erasmus students' placements on the development of their ICC has also been based on a conceptualisation of students as "liquid strangers" (Dervin 2007) and "self-reflective, intentional agents", immersed in a "fluid and complex system of social relations, activities, and multiple micro- and macro contexts" (Ushioda 2009: 20).

After analysing NTU and USAL Erasmus students' socialisation patterns, we can conclude that, during their stay abroad, students from neither university show major discrepancies in the three broad categories under scrutiny: everyday interactions, self and other perceptions, and intercultural lessons, although some noteworthy differences have emerged.

Regarding the first category, concerning everyday interactions, their answers to the questionnaires and their interviews reflect a myriad of interactions in their host communities. The richness of such a plethora of interactions is largely due to the fact that they take place in diverse contexts as Erasmus students tend to live with local students and engage in different types of activities, which may include everyday familiar things at home or outdoor activities such as

playing football, going to the gym or shopping. Although their mother tongue and culture are still present and are immediately available through computer-mediated communication, to which students frequently resort, a significant percentage of both groups of students confirm that they use the target language most of the time and socialise with local and other Erasmus students. And despite their placements being limited in time, therefore “liquid” and set in a third or symbolic space, the rich and varied experiences which students engage in within their communities of practice, allows them to forge long standing personal relationships and to broaden the boundaries of their identity. This cannot happen unless students develop a stronger sense of ICC during their linguistic and cultural engagement in the course of their placements.

As for the second category, self and other perceptions, the two groups value most highly learning about and accepting local customs. Both share their perception that they could definitively live in the country of their Erasmus placement, which seems to be the clearest evidence of their ICC perceived outcomes. Significant differences between both groups can be observed in the Erasmus students’ self-image as representatives of their home culture and in their previous knowledge about the host country. In the first case, NTU students claim to act as representatives of their culture to a greater extent than their USAL counterparts even if the former show a greater readiness to blend in with the locals.

The answers to the third category show that at the end of their placement, all of the students agreed that learning the target language was their priority, not only because it is a curricular requirement but also because they realised it is crucial for the development of their ICC, which is not incompatible with avoiding the risk of equating the students’ time abroad to only an intensive foreign language training programme. This is also consistent with the fact that the two cohorts rank very highly being open minded and socialising with others, that is, making their sojourn meaningful through real communication, as indeed they also realise that their ICC can be greatly improved by being knowledgeable of language and culture idiosyncrasies beforehand.

In short, despite some differences both between and within the two groups, we can still affirm that NTU and USAL students attach an equivalent and almost unanimously favourable meaning to the Erasmus placements, share the same aims and expectations and can be identified as belonging within a distinctive community of speakers in a foreign country which has been aptly labelled “international Erasmusland” (Beaven 2012: 221; Coleman 2015).

A whole pre, during and post-placement approach can help to make their study abroad even more meaningful. Prior to their placement, ICC induction

schemes may bring together incoming and outgoing students to exchange their experience and concerns. During their placement, major benefits may be drawn from even a greater involvement of students in activities within the host academic community in tandem schemes as well as from other ways of social engagement available at local level. After their placement, opportunities to reflect and report on their stay abroad could help ground the learned lessons and share them with prospective Erasmus students. Thus, the identification of interaction factors which may be conducive to ICC during study abroad schemes yields relevant consequences for the design of activities aimed at equipping tertiary students to become competent intercultural agents.

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THE INFLUENCE OF CLIL ON RECEPTIVE VOCABULARY: A PRELIMINARY STUDY

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ABSTRACT. *Empirical studies have shown that Content and Language Integrated Learning (CLIL) seems to be beneficial to receptive vocabulary, which in turn correlates with a higher level of general competence. However, these studies have mainly compared CLIL and Non-CLIL groups matching in age at testing and without a control of other variables such as amount of exposure. The present study, even though exploratory in nature, sets out to fill this gap by comparing groups with the same onset age as well as controlling for other variables. To test general proficiency, the Quick Placement Test (QPT) was used, and the 1,000 and 2,000 frequency bands of the Vocabulary Levels Test (VLT) were delivered to measure functional vocabulary size. CLIL students were found to outstrip their respective Non-CLIL counterparts at the same educational level and to perform as well as an older Non-CLIL sample. Taking together the level of English language lessons and differences in cognitive maturity and amounts of exposure, it is argued that CLIL instruction has intrinsic benefits for receptive vocabulary.*

Keywords: Content and Language Integrated Learning (CLIL), receptive vocabulary, general proficiency, Third language (L3) English.

LA INFLUENCIA DEL AICLE EN EL VOCABULARIO RECEPTIVO: UN ESTUDIO PRELIMINAR

RESUMEN. *Diversos estudios empíricos sugieren que el Aprendizaje Integrado de Contenidos y Lenguas Extranjeras (AICLE) es beneficioso para el desarrollo del vocabulario receptivo, que a su vez se correlaciona con una mejor competencia general. Sin embargo, estos estudios han comparado mayoritariamente grupos AICLE y No-AICLE pertenecientes al mismo año de instrucción sin un control de otras variables como cantidad de exposición. El presente estudio, de naturaleza exploratoria, pretende superar limitaciones previas comparando grupos con la misma edad de inicio de aprendizaje, además de controlar otras variables. Para evaluar la competencia general, se administró la primera parte del Quick Placement Test (QPT), y las versiones del Vocabulary Levels Test (VLT) correspondientes a las 1.000 y 2.000 palabras más frecuentes para medir el vocabulario receptivo. Los alumnos AICLE obtuvieron mejores resultados que sus homólogos No-AICLE en el mismo curso, resultados similares a una muestra No-AICLE de mayor edad. Teniendo en cuenta el nivel de las clases de inglés y las diferencias en madurez cognitiva y exposición, se argumenta que la instrucción AICLE posee beneficios intrínsecos para el vocabulario receptivo.*

Palabras clave: Aprendizaje Integrado de Contenidos y Lenguas Extranjeras (AICLE), vocabulario receptivo, proficiencia general, inglés como tercera lengua (L3).

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1. INTRODUCTION

Over the last two or three decades, research in Second Language Acquisition (SLA) has experienced a boom in two relatively new areas: vocabulary knowledge as an important part of linguistic competence and Content and Language Integrated Learning (CLIL) as a new type of instruction of a Foreign Language (FL).

Although lexical competence does not guarantee high communicative proficiency, it is a fundamental pillar of language use, which in turn facilitates communication (Nation 1993; Meara 1996; Nation and Waring 1997). The oft-cited image of acquirers carrying dictionaries instead of grammar books (Krashen 1989) is far from being mere anecdotal evidence. Empirical research has found strong positive correlations between vocabulary and the so-called “passive skills” of reading and listening. Laufer (1992) shows strong positive correlations between two vocabulary tests and a reading test. Being part of a large project called

DIALANG, Alderson (2005) reports similar coefficients between different aspects of lexical competence and reading and listening comprehension, which are in accordance with Qian (1999) and Nemati (2010). Although correlations do not point to a cause-effect relationship, it is important to point out that there is always a rather strong correlation between vocabulary and passive comprehension.

Regarding CLIL, a vast amount of research has been devoted to clarifying whether the type of instruction has any effect on the acquisition of a FL. As Ellis (1994: 17) points out, this line of research has been motivated by “a desire to address issues of general theoretical interest to SLA research and also by a desire to improve the efficacy of language pedagogy”. Whereas the main focus has been traditionally given to the study of grammar acquisition, it has been only recently that attention is being paid to the effect of CLIL on vocabulary learning, arguably because of its importance in achieving communication.

However, much of the research has centred only on giving a measurement of the receptive vocabulary size of second language (L2) students. For this reason, studies dealing with the effect of CLIL over traditional teaching methods are still scarce, especially in secondary education. Such studies have mainly compared CLIL and Non-CLIL groups matching in age at testing, which means that other factors could explain the variation found. The present paper will contribute to filling this gap by carrying out a pseudo-longitudinal study in which we compare the size of receptive vocabulary of learners in 1st and 3rd year of Compulsory Secondary Education¹ in two different instructional contexts, namely CLIL and Non-CLIL, while controlling for several variables such as onset age and the number of hours of exposure.

To this end, the paper is organised as follows. Firstly, a brief description of what CLIL is and how it has been put into practice in Europe and in the Basque Country will be provided. Subsequently, previous studies that have been carried out in the field of vocabulary acquisition both in CLIL and Non-CLIL contexts will be reviewed. Finally, the results will be reported together with a discussion of their possible causes and implications.

2. CLIL

Since the mid-90's, there has been a growing concern in the European Union regarding people's ability to communicate in a language that is not their mother tongue. As Ruiz de Zarobe (2008) notes, this interest arises from the need to create a more inclusive and integrative society, mainly as a way to cope with

¹ In Spain, Compulsory Secondary Education is known as *Educación Secundaria Obligatoria* (ESO), and post-secondary education is referred to as *Bachillerato*. Throughout this paper, the terms *ESO* and *Bachillerato* will be used for these educational stages.

a multiethnic reality. However, the European Commission's (June 2012) report shows that most people consider learning a new language beneficial for work or study-related prospects since these answers occupy 4 out of the 5 most chosen options, with "understanding people from other countries" ranking sixth. The pursuit of different objectives, together with little guidance from European institutions (Ruiz de Zarobe 2013), has caused the CLIL type of instruction to be implemented in different ways depending not only on the country, but also on the region and individual ventures, as well as other contextual factors that "influence both their aims and outcomes" (Nikula, Dalton-Puffer and Llinares 2013: 72). As a consequence, CLIL is often used as an umbrella term to describe any approach where "curricular content is taught through the medium of a foreign language, typically to students participating in some form of mainstream education at the primary, secondary, or tertiary level" (Dalton-Puffer 2011: 183)².

In the Basque Country, CLIL has been recently implemented on top of the existing 3-model system for bilingual education. Model A offers all subjects in Spanish, Model B teaches half the subjects through Spanish and the other half through Basque, and Model D is entirely carried out in Basque, with the exception of language lessons in all cases. However, schools differ on several factors which make CLIL implementation rather heterogeneous: starting age for CLIL instruction, number of subjects and hours offered in English, and electiveness of such subjects, among others.

Generally, CLIL pedagogy is characterised by a more student-centred approach, as opposed to the traditional teacher-centred one, with the focus on students' participation and interactions using the target language in an attempt to develop their communicative competence. This is achieved by providing them with comprehensible input in addition to a more "natural" context for acquisition and encouraging interaction on the students' part. However, the culture of the CLIL classroom is still that of the first language (L1), and as Ruiz de Zarobe (2013: 237) notes, "the teachers' pragmatic use of the language is sometimes less varied than in the teaching of subjects in the L1", depending on teacher's proficiency in the target language.

Moreover, teachers of CLIL subjects are not language teachers and concentrate mainly on content rather than form (Navés 2009). For this reason, research suggests that whilst general proficiency is improved, specific aspects of language do not seem to behave in the same way. As for general proficiency, Ruiz de Zarobe

² The term *Content-Based Instruction* (CBI), among others, is also used for the kind of instruction described here. Although each term is associated with its historical genesis, their actual current pedagogies do not differ to such an extent so as to consider them different (Cenoz, Genesee and Gorter 2014; Cenoz 2015).

(2008) compared the performance of CLIL and Non-CLIL students at the end of Secondary and Post-Secondary Education in written and oral production. She reports significant differences in the four aspects of general proficiency tested in favour of CLIL learners. Lasagabaster (2008) found that CLIL students outperformed a sample of Non-CLIL learners matching in number of hours of exposure and another sample matching in grade in terms of speaking, listening, grammar and writing tasks. However, benefits of CLIL do not seem to extend to some specific areas of language such as morphosyntax. García Mayo and Villarreal Olaizola (2010) report no significant differences between students in a CLIL setting and learners in traditional instruction in different tense and agreement morphemes. Similarly, Martínez Adrián and Gutiérrez Mangado (2015) analysed the general proficiency and the production of tense and agreement morphemes in a group of CLIL students, a group of Non-CLIL students matching in year of instruction and hours of exposure, and another group with the same number of hours of exposure but different age at testing. They found that CLIL learners could perform as well as older students and that they outstripped students of the same age but with fewer hours of exposure when tested for general proficiency. Regarding specific aspects of morphosyntax, CLIL students are reported to have obtained similar results to the group with fewer hours of exposure and significantly poorer scores than older learners. In order to solve difficulties found in these aspects, focus-on-form has been proposed by several researchers (García Mayo 2011; Ruiz de Zarobe and Lasagabaster 2010).

It still remains to be seen whether the trend found in specific areas of grammar also occurs in receptive vocabulary, a limitation we tackle in the present paper.

3. STUDIES ON RECEPTIVE VOCABULARY

The study of receptive vocabulary has been mainly done through the Vocabulary Levels Test (VLT) given its acknowledged validity and reliability (Schmitt, Schmitt and Clapham 2001; King and Fulcher 2007).

These studies have generally tested the effect of an ample variety of variables such as the level of motivation; age at which first exposure took place; age at the time of testing; the effects of maturity and memory; and the type of instruction, which revolves around the influence of CLIL on vocabulary over traditional EFL teaching. The last variable has gained special importance in the last decade since CLIL projects are increasingly being implemented in schools throughout Europe. Nonetheless, these studies are more limited when compared to Non-CLIL in the sense that they are aimed at finding vocabulary size estimates, with subjects having received different hours of exposure (both inside and outside the classroom) and having started learning English at different ages.

In this respect, studies in Non-CLIL contexts abound, especially in the last years of Primary Education. Jiménez Catalán and Terrazas (2005-2008) report 4th graders' receptive vocabulary to be around 737 words after 419 hours of instruction in English. Terrazas and Agustín (2009) found a much lower estimate of 361 words for 4th graders after the same amount of exposure. In the same study, the size for students' vocabulary in 5th, 6th Primary and 1st ESO was calculated at 509, 631 and 817 words, respectively. Agustín and Terrazas (2012) conducted a cross-sectional study in all the grades between 4th Primary and 3rd ESO. They report similar results to those in Terrazas and Agustín (2009), while the estimates for 2nd and 3rd ESO are 987 and 1206 words. Canga (2013) analysed lexical knowledge of 4th ESO students and results show a mean of 935 words after 1049 hours of instruction, which is a poorer score than 2nd and 3rd ESO students' in Agustín and Terrazas (2012). In an in-depth investigation about vocabulary tests, López-Mezquita (2005) carried out a not-so-controlled study of students in 4th ESO and 1st and 2nd Bachillerato. As for the first group, results point to a knowledge of 941 words, similar to Canga's (2013) but considerably lower than Agustín and Terrazas (2012). This may be due to the inclusion of students who had failed the subject of English language in previous years but had passed on to the next educational level nonetheless, as well as learners who were in curricular diversification programs with much lower standards than typical 4th ESO groups. It should be noted that no variable was controlled for with the exception of grade. In similar circumstances, estimates for 1st and 2nd Bachillerato amount to 1582 and 1885 words, respectively.

As far as the CLIL variable is concerned, studies on lexical knowledge are scarce mainly due to the difficulty of finding homogeneous groups of subjects. Jiménez Catalán and Ruiz de Zarobe (2009) compared 6th grade students in CLIL and Non-CLIL contexts, with the latter receiving 331 hours of exposure less than the former. Moreover, the CLIL group was composed of only bilinguals whereas the latter were exclusively monolinguals. For the CLIL group, the size of their vocabulary is estimated at 748 words, and for the Non-CLIL, at 602 words. In a similar study, Fernández Fontecha (2014a) set up a group of CLIL students in 5th Primary and another one of Non-CLIL learners in 2nd ESO, both of whom had received approximately 839 hours of instruction. Results show that the Non-CLIL group outperformed the CLIL group: 985 words for the former and 705 for the latter. Canga (2015) compared the scores of three groups: two 6th-grade samples (one with CLIL and the other one with traditional teaching) and one formed by 2nd ESO students in a traditional Non-CLIL context. He reports slightly higher scores for the secondary Non-CLIL group, although statistical analysis shows that this difference is not significant. A summary of the results, together with the variables considered, is shown in Table 1.

Table 1. Summary of word estimates for different grades in vocabulary research.

Study	Year/Grade	CLIL?	Hours of exposure	Vocabulary size
Jiménez Catalán and Terrazas (2005-2008)	4 th Primary	N	419	737
Terrazas and Agustín (2009)	4 th Primary	N	419	361
	5 th Primary	N	524	509
	6 th Primary	N	629	631
	1 st ESO	N	734	817
Agustín and Terrazas (2012)	4 th Primary	N	419	361
	5 th Primary	N	524	527
	6 th Primary	N	629	663
	1 st ESO	N	734	836
	2 nd ESO	N	839	987
	3 rd ESO	N	944	1206
Canga (2013)	4 th ESO	N	1049	935
López-Mezquita (2005)	4 th ESO	N	-	941
	1 st Bachillerato	N	-	1582
	2 nd Bachillerato	N	-	1885
Jiménez Catalán and Ruiz de Zarobe (2009)	6 th Primary	N	629	602
	6 th Primary	Y	960	748
Fernández Fontecha (2014a)	5 th Primary	Y	839	705
	2 nd ESO	N	839	985
Canga (2015)	6 th Primary	N	629	601
	6 th Primary	Y	944	903
	4 th ESO	N	1049	936

As can be seen from López-Mezquita (2005), caution should be taken since insightful comparisons and estimations can only be made when the variables are controlled for; otherwise, results will vary wildly. Apart from the study conducted by López-Mezquita (2005), the rest of the investigations are better-designed in this respect but are nonetheless limited in that they do not take into consideration the rate of acquisition rather than the end result. To our knowledge, no studies have been conducted so far which shed light on whether the CLIL type of instruction is intrinsically beneficial for vocabulary size in addition to allowing a greater number of hours of exposure. The present study purports to fill this gap by comparing CLIL and Non-CLIL subjects who have started learning English at the same age, have received similar amounts of exposure and have not taken any extracurricular activity in English (cf. section 5.1).

4. RESEARCH QUESTIONS

The present paper aims at overcoming the limitations of previous studies and pointing towards a clearer answer to those questions that have been raised in the literature. Firstly, we aim to check the existence of a correlation between receptive vocabulary and general proficiency, as has been previously reported (Qian 1999; Nemati 2010). In addition to confirming the relationship between these two aspects, this study also serves the purpose of assessing the representativeness of the sample. Secondly, the results of CLIL and Non-CLIL groups with the same age at testing will be compared to ascertain the academic success and effectiveness of CLIL in receptive vocabulary. Since previous studies have mainly focused on the end result (Jiménez Catalán and Ruiz de Zarobe 2009; Canga 2015), this paper includes a pseudo-longitudinal analysis to reach more insightful conclusions. Finally, we compare a CLIL and a Non-CLIL group with the same onset age and number of hours of exposure but a difference in testing age to assess the impact of CLIL on receptive lexical knowledge, overcoming the limitations found in previous research done in CLIL settings, and similar in design to Lasagabaster's (2008) assessment of the relationship between CLIL and general proficiency. In short, this study addresses the following questions:

1. Is there a relationship between receptive vocabulary and general proficiency?
2. Do students in a CLIL context outperform their counterparts in a traditional EFL classroom at the same educational level?
3. Do CLIL students outperform older Non-CLIL students when they have been exposed to the same number of hours and all other factors are held constant?

5. METHOD

5.1. PARTICIPANTS

The sample consisted of 55 Basque-Spanish bilingual learners of third language (L3) English from three different schools, of which two are state-funded (school A and B) and the other private (school C). These schools are located in the Basque Country where Basque is the language of instruction for all subjects except for Spanish and English language courses. The context in which the subjects are immersed has been defined as additive trilingualism (Cenoz and Valencia 1994), where Basque, the language of instruction, is a minority language of Spain. Spanish is the majority language, and English is taught as a foreign language. It is the case that some learners have Basque and Spanish as their L1s, others have Basque as L1 and Spanish as L2, while a third set of learners has Spanish as their L1 and Basque as their L2. In all cases, the additive context in which these learners live leads to balanced bilingualism. The participants are middle-class students with a

very similar socioeconomic status. The socioeconomic status of the participants was established by means of a questionnaire where the participants described their parents' educational level and profession. None of the subjects attended an academy or any extracurricular activities related to English, nor had they had stays in English-speaking countries. They had not either gone through a selection process during the course of their studies.

Participants were divided into four groups considering their type of instruction and their current year of instruction, which determines the number of hours of exposure³: (a) a Non-CLIL 1 group (n=10) of 12 year-olds in 1st ESO; (b) a CLIL 1 group (n=15) with the same age as the previous group but more hours of exposure; (c) a Non-CLIL 2 group (n=15) of 14 year-olds in 3rd ESO with a similar number of hours of exposure to the CLIL 1 group; and (d) a CLIL 2 group (n=15) with students of the same age as the Non-CLIL 2 group but more hours of exposure. Only participants who started learning English at the age of 3 have been included in the sample. In doing so, this study purports to overcome the limitations that have arisen in previous studies dealing with the effect of CLIL instruction on receptive vocabulary due to the lack of a match between the number of hours of exposure and the onset age. Participants' characteristics are displayed in Table 2.

Table 2. Participants' characteristics.

Group	Onset Age	Mean age at testing (range)	Length of exposure (in years)	Hours of Exposure	Gender	School of origin
Non-CLIL 1 (n=10)	3	12.4 (12-13)	9	972	6 male/4 female	A
CLIL 1 (n=15)	3	12.1 (12-13)	9	1,116	8 male/7 female	C
Non-CLIL 2 (n=15)	3	14.2 (14-15)	11	1,173	10 male/5 female	B
CLIL 2 (n=15)	3	14.1 (14-15)	11	1,451	9 male/6 female	C

³ The variable gender has not been taken into consideration when dividing the participants into groups since differences between males' and females' learning behaviours in lexical learning seem to be test-dependent (Sunderland 2010), with only small differences arising at some stages due to psychological changes characteristic of puberty and motivational factors related to adolescence (Agustín and Terrazas 2012).

Non-CLIL groups had 2 hours of English a week during their first three years of formal education and 3 hours a week of EFL lessons in Primary and Secondary Education. In addition to these hours of formal instruction of English, the CLIL groups had 1 hour a week of CLIL in Social Sciences and Creative Arts during the last 3 years of Primary Education and throughout Secondary Education. As a result, the CLIL 1 group had a total of 4 years of CLIL instruction, whereas the CLIL 2 group were exposed to CLIL for 6 years. In all groups, the materials and approach used in the English lessons were the same, with the occasional use of Spanish or Basque when needed.

5.2. INSTRUMENTS

Data were gathered by means of three instruments. To measure the participants' general proficiency, the first part of the QPT (version 1) was used. Part 2 was not handed out since it corresponds to proficiency levels of mastery⁴, which are beyond the scope of Secondary Education. This test has been extensively used in SLA research to assess general proficiency (López-Mezquita 2005; Martínez Adrián and Gutiérrez Mangado 2015). In addition, two different VLTs were used, namely the 1,000 and 2,000 frequency bands, to measure the size of students' receptive vocabulary (Appendices 1 and 2). The 1,000 VLT consisted in translation of words to avoid difficulties arising from not understanding the definitions rather than the target vocabulary items⁵. The 2,000 VLT is a slightly modified version of the test developed by Schmitt, Schmitt and Clapham (2001) that has been previously used in Fernández Fontecha (2014a). Tests for both frequency bands were used with the purpose of getting an insightful understanding of students' functional vocabulary regarding the 1,000 and 2,000 most frequent words, since scoring at least 15 (max=30) in the 2,000 VLT is claimed to show that students master the whole 1,000 most frequent words, whilst this may not always be the case. Although students are reported to learn the most frequent words first (Read 1988), they may also possess some significant word knowledge pertaining to the 2,000 frequency band while not mastering the previous 1,000⁶. These tests have been empirically proved to be reliable and valid as a measure of the intended functional vocabulary (Schmitt, Schmitt and Clapham 2001; Xing and Fulcher 2007) and are widely used in vocabulary research (Qian 2002; Jiménez and Terrazas 2005-2008; Terrazas and Agustín 2009).

⁴ C1 and C2 levels according to the CEFR scale (https://www.coe.int/t/dg4/linguistic/Source/Framework_EN.pdf).

⁵ It has been translated by the GLAUR research group based at the University of La Rioja under the supervision and approval of Paul Nation. This version has also been used by other researchers at the University of the Basque Country (see Martínez Adrián and Gallardo del Puerto 2010).

⁶ Lower frequency bands (5,000 and 10,000) have not been used since less frequent words hardly ever appear in Secondary Education textbooks or class materials, including CLIL, where difficulty of vocabulary is kept to a minimum to facilitate content learning, according to teachers.

5.3. PROCEDURE

All tests were done in one session during class time, except for a background questionnaire, which students were asked to complete at home with their parents. They were told that the results of these tests would not affect in any way their marks in English or any other subject, and were also told to miss out any item to which they did not know the answer. For each test, they were given clear instructions, together with an example, both in written form and orally in Spanish to clarify what they were being asked to do.

They were first given the QPT, to be completed in 30 minutes, followed by the VLTs in order of frequency band, for which the time allotted was 10 minutes each.

Total scores and vocabulary size estimates were obtained. To this end, Nation's (1990: 78) formula was applied. Individual data were entered into SPSS for descriptive and inferential statistical analysis. The results of the Kolmogorov-Smirnov tests revealed that all groups were normally distributed in all tests. Since they complied with the normality assumption, Pearson's correlation coefficient was calculated between the QPT and the VLTs. Independent samples t-test was also implemented to check for any significant differences between the groups' means.

6. RESULTS AND DISCUSSION

6.1. RESEARCH QUESTION I

The first research question aimed to ascertain whether a relationship existed between receptive vocabulary and general proficiency. The results for the correlations are shown in Table 3 below.

In all groups, the 2,000 VLT strongly correlated with the QPT at a significant level, which suggests that vocabulary plays an essential role in proficiency. These figures (.731-.856) agree with previous studies that have purported to answer this question (Nemati 2010; Qian 1999).

In the case of the present study, a correlation was expected to a certain extent, since some of the questions in the QPT tap specifically on vocabulary knowledge. However, such strong coefficients point to a great relevance of vocabulary for other parts of general proficiency than simply the vocabulary compartment, highlighting the importance of lexical knowledge in successful communication as proficiency in English increases.

Moreover, by including the 1,000 VLT, interesting results arise. Its correlation with the QPT is lower than that of the 2,000 VLT (coefficients ranging from .520-.659), and the relationship between these two tests is rather weak and

non-significant in the Non-CLIL 1 group. Lower coefficients may suggest that knowledge of the 1,000 most frequent words does not affect general proficiency to the extent that the next frequency band does. This seems to signal that knowledge of vocabulary from different frequency bands has a differing impact on general proficiency. For this reason, caution should be taken when reporting and interpreting results in these correlations between receptive vocabulary and general proficiency when only one test is used for lexical knowledge. By and large, knowledge of the 1,000 most frequent words seems to have a lesser effect on general proficiency than knowledge of the next 1,000.

Table 3. Pearson Correlation Coefficients for the QPT and VLTs by group (two-tailed).

		QPT	1,000 VLT	2,000 VLT
Non-CLIL 1	QPT	1		
	1,000 VLT	0.198	1	
	2,000 VLT	.811**	.279	1
CLIL 1	QPT	1		
	1,000 VLT	.659**	1	
	2,000 VLT	.856**	.666**	1
Non-CLIL 2	QPT	1		
	1,000 VLT	.520*	1	
	2,000 VLT	.731**	.758**	1
CLIL 2	QPT	1		
	1,000 VLT	.562*	1	
	2,000 VLT	.762**	.49	1

* $p < .05$ ** $p < .01$

As for the impact of CLIL, it seems that this type of instruction slightly increases the correlation between general proficiency and receptive vocabulary knowledge, suggesting that a bigger size of receptive vocabulary relates to greater proficiency. However, these data should be submitted to further statistical analysis to check for any significant difference in the Pearson coefficients between groups that only differ in this variable.

All in all, functional receptive vocabulary seems to be part of general proficiency. In this respect, CLIL in this paper is argued to increase this type of lexical knowledge when compared to traditional EFL. Since the main purpose of the educational system is to allow students to communicate in a foreign language, this type of instruction

should be implemented in all schools if it really improves receptive vocabulary knowledge as reported. This is analysed in the next research question.

6.2. RESEARCH QUESTION II

The second research question was concerned with the differences in terms of amount of exposure between the CLIL groups and their Non-CLIL counterparts at the same year of instruction (cf. Table 2). These differences amount to 144 hours in the case of the CLIL 1 and Non-CLIL 1 groups, whereas the CLIL 2 and Non-CLIL 2 groups differ in 278 hours.

The results obtained by the Non-CLIL 1 and CLIL 1 groups in the QPT are shown in Table 4:

Table 4. Descriptive and inferential statistics for the QPT in 1st ESO.

	Non-CLIL 1	CLIL 1	t
Mean	13.30	18.47	
SD	2.58	3.48	
Min	10	14	-4.004
Max	18	26	(p=.001)
Range	8	12	

The Non-CLIL 1 group got a mean score 13.30 in the QPT, which according to the score guide, corresponds to a beginner's level (A1). This is rather disturbing since higher mastery is expected after 972 hours of exposure and learning. The CLIL 1 group obtained a higher mean of 18.47, which signals that students have achieved an elementary level (A2) after 1,116 hours of exposure. Inferential statistics showed that the difference in general proficiency was significant ($p=.001$) in favour of CLIL learners, which agrees with previous studies (Lasagabaster 2008; Ruiz de Zarobe 2008; Martínez Adrián and Gutiérrez Mangado 2015).

Regarding the results obtained in the VLTs (see Tables 5 and 6), the means were also higher for CLIL students. In the 1,000 VLT, the mean for the Non-CLIL students was 19.40, which yields a vocabulary estimate of 647 words. In the 2,000, students averaged 9.73 points, which using Nation's (1990) formula gives a receptive vocabulary size of 648 words out of 2,000. This estimate is lower than those found by Agustín and Terrazas (2012) and Jiménez Catalán and Ruiz

de Zarobe (2009) for students with approximately the same number of hours of exposure⁷. The proximity of both estimates suggests that participants had hardly acquired any words from the 2,000 most frequent words that do not pertain to first 1,000. As far the CLIL group is concerned, they obtained a mean score of 24.13 points in the 1,000 VLT, corresponding to a receptive vocabulary of 804 words. According to the results of the 2,000 VLT, this group has a functional vocabulary of 1,035 words since the average score is 15.53. This means that students have already mastered the majority of the 1,000 most frequent words and have acquired slightly over 200 of the next frequency band. Independent-samples t-tests showed that the CLIL group outperformed the Non-CLIL group at a significant level in 1st ESO ($p=.000$).

Table 5. Descriptive and inferential statistics for the 1,000 VLT in 1st ESO.

	Non-CLIL 1	CLIL 1	t
Mean	19.40	24.13	
SD	3.86	1.81	
Min	12	21	-4.143
Max	24	27	($p=.000$)
Range	12	6	

Table 6. Descriptive and inferential statistics for the 2,000 VLT in 1st ESO.

	Non-CLIL 1	CLIL 1	t
Mean	9.73	15.53	
SD	2.68	4.03	
Min	2	10	-5.520
Max	12	25	($p=.000$)
Range	10	15	

As for the Non-CLIL2 and CLIL2 groups (aged 14), the results obtained in the QPT are shown in Table 7.

⁷ As no observation data were gathered in these two studies which could show differences in the type of input received, any explanations for the different performance found would remain tentative and speculative.

Table 7. Descriptive and inferential statistics for the QPT in 3rd ESO.

	Non-CLIL 2	CLIL 2	t
Mean	19.93	23.33	
SD	3.13	4.19	
Min	15	16	-2.520
Max	25	34	(p=.018)
Range	10	18	

As can be observed, at the moment of testing, students in the Non-CLIL group had achieved an elementary level (A2) with a mean of 19.93 points, whereas the CLIL group was in the threshold between elementary and lower intermediate (B1) with 23.33 points on average. As in the previous case with 12-year-olds (groups Non-CLIL1 and CLIL1), the CLIL group performed significantly better than the Non-CLIL group ($p=.018$).

In the VLTs (Tables 8 and 9), students in the CLIL group also obtained higher scores. The Non-CLIL group averaged knowledge of 796 words out of the 1,000 most frequent and 1,146 words from the 2,000 most frequent ones, which means that students have not fully acquired understanding of all of the 1,000 most frequent ones but have nonetheless demonstrated knowledge of 350 words belonging to the lower frequency band. The CLIL group, on the other hand, achieved the slightly higher score of 25.93 points in the 1,000 VLT and 20.87 in the 2,000 VLT, which stand for 864 and 1,391 words, respectively. Inferential analyses showed that the difference in the knowledge of the higher frequency band was not significant (although a statistical tendency was found: $p=.060$), and that students in the CLIL group had significantly larger vocabularies ($p=.009$).

Table 8. Descriptive and inferential statistics for the 1,000 VLT in 3rd ESO.

	Non-CLIL 2	CLIL 2	t
Mean	23.87	25.93	
SD	3.82	1.44	
Min	18	23	-1.963
Max	29	29	(p=.060)
Range	11	6	

Table 9. Descriptive and inferential statistics for the 2,000 VLT in 3rd ESO.

	Non-CLIL 2	CLIL 2	t
Mean	17.20	20.87	
SD	4.16	2.92	
Min	9	15	-2.792
Max	23	27	(p=.009)
Range	14	12	

In almost all cases, learners in a CLIL context outperformed their Non-CLIL counterparts to a significant extent, with the only exception of the 1,000 VLT in the 14-year-old groups. Although the difference for this frequency band was only tendential ($p=.060$), the CLIL 2 group were found to know on average over 60 words more than their Non-CLIL 2 counterparts. In the light of these findings, the CLIL type of instruction seems to help consolidate knowledge of the 1,000 frequency band.

All in all, CLIL instruction does indeed help grow a bigger receptive vocabulary, as well as improve general proficiency. In 1st ESO there is a sharp difference of almost 400 words between their functional vocabularies. Such disparity may stem from the decontextualised use of English in traditional EFL lessons. In this type of instruction, textbooks tend to present vocabulary items that are essential to the requirements of the curriculum leaving out other less frequent words; hence, it is very likely that students may not have been very much exposed to words that are beyond the 1,000 most frequent ones (Alcaraz Mármol 2009) since learning words in isolation does not require the need for words that are not specifically intended to be learnt, specially taking into consideration that teachers rarely divert from the limited vocabulary presented in textbooks. On the other hand, CLIL instruction necessarily makes use of words of higher frequency bands since words in the 1,000 frequency band are not sufficient to convey the required content in CLIL subjects. Moreover, these may in turn reinforce the vocabulary to be learnt in the English class, since repetition of occurrence seems to play a key role in vocabulary learning (Saragi, Nation and Meister 1978; Webb 2007). In other words, the most frequent and thus repeated words appear both in the traditional English classroom (mostly decontextualised) and in the other subjects taught through English (in context).

However, a pseudo-longitudinal analysis of the results reveals that CLIL students do not make the most of the greater number of hours of exposure. In other words, they seem to have a lower rate of acquisition. In the Non-CLIL groups, students in 3rd of ESO know 149 more words among the 1,000 most frequent ones and 498 more belonging to the next frequency band in 201 hours, which respectively

averages 74 and 247 words per 100 hours of exposure to the target language. In the CLIL groups, these differences amount to a total of 60 words for the lower frequency band and 356 for the next one in 335 hours, with an average of 18 and 106 words per 100 hours of exposure.

This seems to point to CLIL not only being ineffective but rather slowing down vocabulary acquisition. However, there are two reasons that may explain these results. Firstly, the study is not entirely longitudinal, meaning that the subjects tested in the CLIL 1 group are not the same as those in the Non-CLIL 2 group. Since three schools are involved in this study, they may have contributed unequally to the conformation of the groups, which may show up and magnify slight differences in teaching that possibly make this small sample not wholly representative. For more solid grounds, a longitudinal study is warranted.

Secondly, CLIL students are not as exposed to other words other than those appearing in the English class as could be expected. A qualitative analysis of end-of-degree projects (TFGs) and Master's Dissertations dealing with CLIL didactic units has revealed that the vocabulary used almost entirely coincides with the vocabulary presented in the English language textbooks for the same year of education⁸ (e.g. Lázaro Gómez 2013; Calvario Pérez 2014). This suggests that the difference in vocabulary between CLIL and Non-CLIL students is caused by incidental learning of vocabulary used in extra material provided by the teacher and class dynamics (such as group discussions) rather than explicit learning. Considering that English classes are the same for both CLIL and Non-CLIL students, the effect of CLIL can be deemed remarkable given the little attention paid to increasing receptive vocabulary. Generally, it seems that CLIL subjects reinforce the vocabulary used in the English class by allowing the repetition of these words in addition to present students with a few more words that they learn incidentally.

Nonetheless, this apparent effectiveness of CLIL instruction as regards receptive vocabulary may also be attributable to the greater number of hours of exposure to the target language. It still remains to be seen whether students in Non-CLIL settings would achieve the same results if they had an additional hour of English instruction per week (and no other subject taught through English). Since the Government decides on the hours needed for each subject, this kind of study is rendered impossible. Therefore, the only approach that may succeed in unveiling the effect of type of instruction on receptive vocabulary is to find subjects that have started learning English at the same age and have been exposed to the same number of hours, notwithstanding the difference in testing age. This is the aim of the third research question.

⁸ This is especially noticeable in those exercises that focus on vocabulary, where the difference between words being asked for in a traditional-English-class exercise and a CLIL subject is virtually nonexistent.

6.3. RESEARCH QUESTION III

This question aimed at clarifying whether CLIL instruction was beneficial for receptive vocabulary knowledge by overcoming the limitations found in previous studies. As already stated, subjects had been exposed to the English language for the same amount of time and have started learning English at the same age but differ in age at testing. In turn, any difference between the groups' performance, or lack thereof, could arguably be attributed to the type of instruction. Thus, the CLIL 1 group was compared with the Non-CLIL 2. All students had first been exposed to the English language at the age of 3 and, in spite of having a different age at the time of testing, had received similar hours of English instruction, either explicitly (language lessons) or through content subjects (Social Sciences and Creative Arts). More specifically, both groups shared 972 hours of formal instruction in English, with the remaining difference amounting to 144 hours of CLIL subjects in the case of the CLIL 1 group, and additional 201 hours of formal instruction in English in the Non-CLIL 2 group. Descriptive statistics for these groups can be seen in Tables 4-9, whereas word estimates and relevant inferential statistics are shown in Tables 10, 11 and 12 below⁹.

Table 10. Descriptive and inferential statistics for the QPT.

	CLIL 1	Non-CLIL 2	t
Mean	18.47	19.93	
SD	3.48	3.13	-1.214
Min	14	15	(p=.235)
Max	26	25	
Range	12	10	

Table 11. Word estimates and inferential statistics for the 1,000 VLT.

	CLIL 1	Non-CLIL 2	t
Mean	804	796	
SD	30	127	-.245
Min	700	600	(p=.808)
Max	900	966	
Range	200	366	

⁹ Since the score of the QPT does not have a specific meaning beyond assessing proficiency level in a 6-category scale, descriptive statistics are repeated for easy reference, together with the result of the t-test.

Table 12. Word estimates and inferential statistics for the 2,000 VLT.

	CLIL 1	Non-CLIL 2	t
Mean	1035	1,146	
SD	259	277	-1.114
Min	666	600	(p=.275)
Max	1666	1533	
Range	1000	933	

For the three tests administered, no significant differences were found between the two groups, which indicates that CLIL does not pose any threat to lexical knowledge nor general proficiency. However, a more in-depth analysis and discussion of the results will suggest that the CLIL type of instruction has more benefits than simply allotting more hours to English in fewer years of academic study¹⁰.

As regards general proficiency, both groups have obtained similar results, although the Non-CLIL 2 group has scored slightly higher. However, only the first part of the QPT was administered, which means that students have not been assessed on listening, writing or speaking skills. Had these tasks been included, it is likely that the CLIL group could have outperformed the Non-CLIL one since the cornerstone of CLIL instruction is participation and interaction, rather than more controlled activities. The nature of the instrument used has thus conditioned the results to some extent, as previous research has found compelling evidence that shows CLIL learners can perform as well as or even better than traditional EFL students with the same numbers of hours of exposure (Lasagabaster 2008; Ruiz de Zarobe 2010; Martínez Adrián and Gutiérrez Mangado 2015).

As for receptive vocabulary within the 1,000 most frequent words, CLIL and Non-CLIL students seem to be on equal grounds since the difference is not significant. As argued below, this could have resulted from the application of the same standards in vocabulary to the same educational level irrespective of whether students are taking more subjects in English.

In the 2,000 frequency band, the Non-CLIL 2 group scored on average slightly higher, although CLIL students had higher minimum and maximum. These results become remarkable if we take into account that the CLIL group has been exposed to

¹⁰ It is still not clear whether the better performance of the CLIL group is due to CLIL instruction or the intensity of the L3 exposure implicit in CLIL. However, the nature of the study, as well as contextual limitations, makes it impossible to tease apart intensity and CLIL instruction (e.g. Martínez Adrián and Gutiérrez Mangado 2015).

English for 57 hours less, approximately half a year of formal English instruction. The following discussion points to several advantages stemming from CLIL instruction rather than a higher number of hours of exposure in traditional EFL teaching.

The CLIL educational approach is described as allowing a more naturalistic and contextual learning of the language by focusing on content, much like required if learning happened in an English-speaking country. However, research initially suggested that context does not play a role in vocabulary learning. Seibert's (1930) longitudinal study, with tests delivered after one hour, two, ten and forty days found that students learning word pairs consistently outperformed students working with words in context. In the same vein, Gershman (1970) reports a non-significant difference between word pair and contextual learning. These empirical studies used a very narrow account of context, providing words in a sentence or with a drawing. More recent research uses context in much broader terms, encompassing and "simulating" CLIL situations. Coady (1997: 286) carried out a survey of previous research and reached the conclusion that "if the language is authentic, rich in content, enjoyable, and, above all, comprehensible, then learning is more successful", which coincides with the CLIL environment in subject matter lessons. More research seems to support this claim (Nagy 1995; Webb 2008).

Lexical knowledge also seems to be bolstered by incidental learning, since attention is drawn to content rather than to vocabulary items (Vidal 2011). The results of the present study show that CLIL learners have acquired almost the same number of words as the Non-CLIL students have, even though the former have received 57 hours less of exposure than the Non-CLIL group. Considering that traditional teaching draws their attention to vocabulary items of higher frequency bands (since less frequent words are presented in subsequent years of academic study), we entertain that CLIL learners could have performed better if vocabulary standards in English lessons were raised and lexical complexity in CLIL subjects were not so limited (or at least increased steadily). Furthermore, it would possibly be beneficial to implement incidental learning in English lessons for both CLIL and Non-CLIL students.

In addition to providing a real context for English learning and use, CLIL has been shown to increase students' motivation levels, which in turn facilitate vocabulary acquisition (Fernández Fontecha 2014b). However, the actual extent to which instruction affects motivation highly depends on the subject matter: whereas studies in Physical Education have found no significant differences between CLIL and Non-CLIL students (Heras and Lasagabaster 2015), research in other subjects report a significantly higher level of motivation in CLIL students (Lasagabaster and Sierra 2009; Lasagabaster 2011). The roots of this motivational growth are related to the meaningful and teleological use of language, since students in a traditional EFL

setting find some exercises boring, unrealistic and non-significant (Lasagabaster and Sierra 2009: 13). Hence, CLIL learners are more prone to acquiring and increasing their vocabulary.

All in all, CLIL seems to be a promising approach for the growth of functional receptive vocabulary. Results reported here are remarkable since CLIL learners have performed as well as Non-CLIL students, who have received slightly more hours of exposure and have developed greater cognitive maturity.

7. CONCLUSION AND PEDAGOGICAL IMPLICATIONS

With CLIL experiencing a boom in the last decade and communication in a FL becoming essential, the present study set out to clarify the benefits of this type of instruction over traditional EFL teaching as regards receptive vocabulary, for this plays a key role in understanding meaning as well as being significantly related to general proficiency. Comparisons between groups of different characteristics (cf. Table 2) suggest that CLIL students not only outstrip their Non-CLIL counterparts in the same year of instruction but also perform equally well when their results are compared with older learners who have been exposed to the English language for approximately the same amount of time. Although results suggest CLIL students' rate of acquisition is slower, we have proposed that this downside stems from the pseudo-longitudinal nature of the present study (rather than purely longitudinal) and the limitations of the English syllabus. Taking into account the greater number of hours that the Non-CLIL 2 students have received, their intrinsic cognitive maturity and higher complexity presented in their English lessons, we have arguably attributed to CLIL instruction methodological characteristics that favour vocabulary learning: contextual presentation of lexical items; focus on content, which allows incidental learning; and increasing motivation levels by giving language use a communicative purpose.

In this paper, we have also suggested that the benefits of CLIL as far as receptive vocabulary is concerned can be further exploited by including English lessons especially designed to meet the needs of CLIL students. These would take into consideration the further hours of exposure to the target language and the higher number of repetitions available that are needed to learn a word. In consequence, the English curriculum for CLIL students should have higher standards as far as vocabulary is concerned. In addition, CLIL materials should not be so constrained by English lessons standards in this respect and vocabulary of higher complexity should be included progressively.

This study is exploratory in nature and, as such, there are certain shortcomings that need to be considered, among others, the size of the sample and an unequal

distribution of males and females. In fact, this variable has started to receive attention on the part of CLIL researchers (Fernández Fontecha and Canga Alonso 2014; Heras and Lasgabaster 2015; Roquet, Llopis, and Pérez Vidal 2016). Note also that results might not be fully generalisable to other contexts as CLIL implementations are heterogeneous. A follow-up study should include a bigger sample, with the same number of males and females in each group. Moreover, receptive vocabulary has only been assessed on the basis of individual words, hence neglecting formulaic language. A more comprehensive estimate could be obtained by delivering more vocabulary tests, such as the Word Associates Test, Size Test, Eurocentres Vocabulary Test or a test based on the PHRASE and PHaVE lists¹¹. Additionally, it would also be interesting to test the impact of CLIL on students' academic vocabulary as well as productive vocabulary. In addition, further research should also focus on the effect of CLIL on the learning of content.

All in all, CLIL seems to be beneficial both in terms of general proficiency and receptive vocabulary knowledge, and since all learners could benefit from this type of instruction, its implementation should be further encouraged from educational institutions to improve language proficiency.

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¹¹ Accessible at <http://www.norbertschmitt.co.uk/resources.html>.

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APPENDIX 1. 1,000 VLT

1,000 WORD LEVEL TEST
 2015/2016

INSTITUTO: _____
CURSO: _____ **FECHA:** _____
APELLIDOS: _____ **NOMBRE:** _____

Este es un test de vocabulario. En la parte izquierda te presentamos grupos de seis palabras inglesas y a su derecha, la traducción en castellano de sólo tres de ellas. **Escribe** junto a cada traducción, el **número** de la palabra inglesa que tenga el mismo significado. Observa el siguiente ejemplo:

<p style="text-align: center; margin: 0;">EJEMPLO</p> <p>1 dog _____ negro 2 house _____ nariz 3 girl _____ casa 4 fork _____ 5 black _____ 6 nose _____</p>	➔	<p style="text-align: center; margin: 0;">RESPUESTA CORRECTA</p> <p>1 dog _____ negro 2 house <u> 5 </u> nariz 3 girl <u> 6 </u> casa 4 fork <u> 2 </u> 5 black _____ 6 nose _____</p>
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<p>1 could _____ podía/pude 2 during _____ durante 3 this _____ 4 piece _____ para 5 of _____ 6 in order to _____</p> <p>1 indeed _____ 2 what _____ mi 3 along _____ en efecto 4 my _____ algo 5 some _____ 6 away _____</p> <p>1 church _____ 2 scene _____ coche 3 hour _____ problema 4 trouble _____ hecho 5 fact _____ 6 car _____</p> <p>1 meet _____ 2 leave _____ poner 3 put _____ dar 4 give _____ utilizar 5 use _____ 6 begin _____</p> <p>1 wind _____ 2 room _____ hombre 3 line _____ línea 4 enemy _____ noche 5 night _____ 6 man _____</p>	<p>1 kill _____ 2 reply _____ avanzar 3 advance _____ responder 4 appoint _____ matar 5 divide _____ 6 receive _____</p> <p>1 moment _____ 2 separate _____ separado 3 worse _____ momento 4 free _____ amarillo 5 heavy _____ 6 yellow _____</p> <p>1 spring _____ 2 danger _____ hermana 3 stone _____ peligro 4 product _____ piedra 5 sister _____ 6 subject _____</p> <p>1 example _____ 2 breadth _____ anchura 3 fear _____ miedo 4 desert _____ ayuntamiento 5 bit _____ 6 town hall _____</p> <p>1 surround _____ 2 shoot _____ quedar bien 3 paint _____ advertir 4 fit _____ disparar 5 command _____ 6 warn _____</p>
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APPENDIX 2. 2,000 VLT

2,000 WORD LEVEL TEST
 2015/2016

INSTITUTO: _____
CURSO _____ **FECHA:** _____
APELLIDOS: _____ **NOMBRE:** _____

Este es un test de vocabulario. En la parte izquierda te presentamos grupos de seis palabras inglesas y a su derecha, los significados de sólo tres de ellas. **Escribe** junto a éstos, el **número** de la palabra inglesa correspondiente a dichos significados. Observa el siguiente ejemplo:

EJEMPLO	→	RESPUESTA CORRECTA
1 business 2 clock _____ part of a house 3 horse _____ animal with 4 legs 4 pencil _____ something used for writing 5 shoe 6 wall	→	1 business 2 clock _____ 6 part of a house 3 horse _____ 3 animal with 4 legs 4 pencil _____ 4 something used for writing 5 shoe 6 wall

1 coffee 2 disease _____ money for work 3 justice _____ a piece of clothing 4 skirt _____ using the law in the right way 5 stage 6 wage	1 adopt 2 climb _____ go up 3 examine _____ look at closely 4 pour _____ be on every side 5 satisfy 6 surround
1 choice 2 crop _____ heat 3 flesh _____ meat 4 salary _____ money paid regularly for doing a job 5 secret 6 temperature	1 bake 2 connect _____ join together 3 inquire _____ walk without purpose 4 limit _____ keep within a certain size 5 recognize 6 wander
1 cap 2 education _____ teaching and learning 3 journey _____ numbers to measure with 4 parent _____ going to a far place 5 scale 6 trick	1 burst 2 concern _____ break open 3 deliver _____ make better 4 fold _____ take something to someone 5 improve 6 urge
1 attack 2 charm _____ gold and silver 3 lack _____ pleasing quality 4 pen _____ not having something 5 shadow 6 treasure	1 original 2 private _____ first 3 royal _____ not public 4 slow _____ all added together 5 sorry 6 total
1 cream 2 factory _____ part of milk 3 nail _____ a lot of money 4 pupil _____ person who is studying 5 sacrifice 6 wealth	1 ancient 2 curious _____ not easy 3 difficult _____ very old 4 entire _____ related to God 5 holy 6 social

**A FRAGMENT OF THE WORLD, A PIECE OF HUMAN CONSCIOUSNESS:
TIM BOWLING'S *THE BONE SHARPS* (2007) AND *THE TINSMITH* (2012)**

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ABSTRACT. *Canadian novelist, poet and essayist Tim Bowling is one of the most prestigious authors in 21st-century Canadian letters. A prolific and versatile author; he has published twelve poetry collections, four novels, a memoir and a work of creative non-fiction so far. This paper looks at two of his novels, The Bone Sharps (2007) and The Tinsmith (2012), tools of knowledge that explore not just human consciousness as the lens through which we make sense of reality, including our selves, but also history, memory and identity, epistemology and ethics. A fragment of the world and a piece of human consciousness: this is what both novels are.*

Keywords: Tim Bowling, fiction, consciousness, epistemology, history, identity.

**UN FRAGMENTO DEL MUNDO, UN TROZO DE CONCIENCIA HUMANA:
THE BONE SHARPS (2007) Y *THE TINSMITH* (2012), DE TIM BOWLING**

RESUMEN. *El novelista, poeta y ensayista Tim Bowling es uno de los autores más prestigiosos de las letras canadienses del siglo XXI. Autor prolífico y versátil, ha publicado hasta la fecha doce poemarios, cuatro novelas, unas memorias y una obra creativa de ensayo. Este artículo analiza dos de sus novelas, The Bone Sharps (2007) y The Tinsmith (2012), verdaderas herramientas de conocimiento que exploran no solo la conciencia humana como prisma a través del cual dotamos de sentido a la realidad y a nosotros mismos, sino también la historia, la memoria y la identidad, la epistemología y la ética. Un fragmento del mundo y un trozo de conciencia humana: esto es lo que ambas novelas representan.*

Palabras clave: Tim Bowling, narrativa, conciencia, epistemología, historia, identidad.

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1. SEARCHING THE BONES OF ANCIENT DINOSAURS, OR THE PURSUIT OF SCIENCE AND KNOWLEDGE

A native of the Canadian West Coast, award-winning Tim Bowling (b. Vancouver 1964) is widely acclaimed as one of the best living Canadian authors. He is a prolific author who has cultivated several literary genres with astonishing talent and verbal craftsmanship. To date he has published twelve poetry collections, *Low Water Slack* (1995), *Dying Scarlet* (1997), *The Thin Smoke of the Heart* (2000), *Darkness and Silence* (2001), *The Witness Ghost* (2003), *The Memory Orchard* (2004), *Fathom* (2006), *The Book Collector* (2008), *The Annotated Bee & Me* (2010), *Tenderman* (2012), *Selected Poems* (2013), and *Circa Nineteen Hundred and Grief* (2014); several novels, including *Downriver Drift* (2000), *The Paperboy's Winter* (2003), *The Bone Sharps* (2007) and *The Tinsmith* (2012); a work of creative non-fiction entitled *The Lost Coast: Salmon, Memory and the Death of Wild Culture* (2007); and a creative work on the joy of book collecting entitled *In the Suicide's Library. A Book Lover's Journey* (2010).

Like a loaf of hand-made bread, a novel is a slice of life and a vibrant fragment of the world, but also a small piece of human consciousness. David Lodge is right in saying that "literature is a record of human consciousness, the richest and most comprehensive we have" (2002: 10) and "that the novel is arguably man's most successful effort to describe the experience of individual human beings moving through space and time" (2002: 10). Fiction is thus a form of knowledge, no less

valuable than science or philosophy, which have tirelessly looked into the mystery of the self and human consciousness. In this respect, in his ground-breaking *Manifesto for Philosophy*, French philosopher Alain Badiou claims that there are four types of generic procedures – the matheme, the poem, political invention and love –, which may produce different kinds of truth: scientific, artistic, political and amorous truths. According to Badiou, a truth is a paradoxical thing, as it is “at once something new, hence something rare and exceptional, yet, touching the very being of that of which it is a truth, it is also the most stable, the closest, ontologically speaking, to the initial state of things” (1999: 36). The lesson is thus crystal clear: different paths lead to knowledge and, at best, to wisdom. The novel is no exception, as it seeks to shed light on consciousness, which is tantamount to shedding light on human nature. It possibly remains the most privileged of spaces where we see the human mind at work, scrutinizing the world within and the world without.

In this paper we explore two novels in particular, *The Bone Sharps* and *The Tinsmith*, to demonstrate how fiction becomes a genuine tool of knowledge and an anatomy of human consciousness in Bowling's hands. What all of his novels appear to have in common is the fact that they are turned into epistemological weapons that seek to illuminate the human condition, while mapping the mythic exuberance, the historical density and the beauty of the natural world, be it the wilderness of British Columbia or the badlands of Alberta. In actual fact, in a brief but illuminating entry on Tim Bowling included in the *Encyclopedia of Literature in Canada*, Ross Leckie dwells on the themes explored by this Canadian author in his poetry: “the sublime momentary incarnations of nature, the transience of life and the fleeting nature of consciousness, the importance of the historical to the structure of memory, and the need to drink deep of life, to transcend quotidian routine. The language of his poetry is frequently lush and rhapsodic, drawing the reader to the intensity of beauty within mutability” (2002: 148). What Leckie says about Bowling's poetry can be rightly said of his fiction. The great themes he explores in his *oeuvre* are the timeless and universal concerns great literature seeks to elucidate for the rest of humankind. It could not be otherwise in a man who calls himself a humanist, to whom nothing human is alien. In this respect, in an interview entitled “Tim Bowling on Rapacious Greed and the (Relative) Triviality of the Curriculum”, the author characterizes himself as a *humanist*: “I've been [...] humanist, all my life, and I'll go the grave that way”. He dwells on the same idea of humanism in yet another interview with Dave Brundage entitled “A Writer's Tension: Reflections on Genre, Place, and Time”:

When it comes to the relationship between people, I'm an old-fashioned humanist. I believe that the things that matter are birth and death and love, and all these things are the same. I know there have been all kinds of statements over the past thirty

or forty years to say that's not true, there's no such thing as a general universal humanism. But as a writer [...], I have to believe in a shared humanity.

The self is probably the greatest enigma of all for a humanist and a novelist: a consciousness being bombarded by thousands of stimuli coming from all directions, trying hard to impose a pattern on the seeming chaos within and without, on the ebb and flow of the carpet of existence. Traditionally, the novel has tirelessly tried to decipher the mystery of the self from innumerable standpoints: the self *vis à vis* a specific social, political and historical context; the self as a construct affiliated to communal entities like the nation, or as something shaped by biological and social forces such as sex, gender, race, culture or language; the self as the crossroads where time and being meet in the process of apprehension of physical reality; or the self as a solipsistic entity, isolated from the world outside and yet inevitably partaking of the bustle of life. This is what we find at the very beating heart of Tim Bowling's novels. The enigma of the self may suggest the final unknowability of being, but time and again Bowling seeks to unveil layers of what is out there to be known and he seems to indulge himself in the immense joy of literally writing the self and mapping the world at the same time.

Fascinated by the flow of the natural world and the workings of the mind, Bowling seeks to portray diverse landscapes of the self and geographies of human consciousness in his fiction. This is most evident in *The Bone Sharps* (2007), an exquisite¹ lyric novel set mostly in the badlands of the Red Deer Valley in Alberta that represents an attempt at elucidating a particular consciousness, that of paleontologist Charles Sternberg, renowned for his fossil hunting in the vast, seemingly empty, expanses of land of the West in the late 19th century. Sternberg is the central pivot around which the whole novel is articulated, even if the text is a delicate palimpsest woven from various voices at different times in history. The novel opens in 1916, when 67-year-old Sternberg, old and tired after exhausting field trips, and dreaming of his deceased daughter Maud, is hunting for bones in the Red Deer Valley. He is not alone in this paleontological enterprise, though. His three sons, also bone-hunters, a cook and a young woman called Lily are helping him uncover the fossilized bones of dinosaurs that lived about 85 million years ago. As Mary Jo Anderson suggests in an enlightening review of the novel, upon closer inspection, the jobs of paleontologist and novelist share striking similarities. Both of them are readers and world-makers, even if the stuff they work with is of a very different nature: whereas the paleontologist interprets signs in the form of bones, the novelist puts together words to evoke a new world. Anderson's insight is worth quoting in full:

¹ *The Bone Sharps* is exquisite in terms of the story that it tells and the poetic language in which it is written, and as an art object per se. Printed and bound by Gaspereau Press, it shows the typographical elegance typical of the books made by Gary Dunfield and Andrew Steeves.

Both work in often solitary, demanding conditions, digging into the unknown, praying to mine valuable fragments, which they can assemble into a whole creature. The paleontologist seeks bones to recreate a skeleton of a prehistoric dinosaur, so unfamiliar to us as to seem an imagined being. A novelist seeks pieces of prose and characters to recreate an imagined world, so familiar to us as to seem real. (2007: 30)

But *The Bone Sharps* is a complex novel, punctuated by flashbacks that take us back to 1876 and 1896, when Sternberg was learning the profession of a 'bone sharp' (one with a special talent to find prehistoric fossils where others would see but empty tracts of land) with the help of his mentor, the great paleontologist Edward Drinker Cope, and a flashforward that takes us to 1975, when an old Lily travels to the badlands where she spent part of her youth as a bone-hunter to reminisce (and somehow pay homage to) her lover, Cameron Scott, Sternberg's protégé. In 1916 Scott happened to be fighting in the Great War in the French trenches, dreaming of coming back to Alberta, to Lily and to fossil-hunting with the man he admired most. The novel is, thus, a kaleidoscopic mosaic in which each tessera is illuminated by the consciousness of different characters: Charles Sternberg at different points in time during his bone-hunting expeditions and field trips (1876, 1896 and 1916); Lily as a young woman in 1916 – excavating the lands in search of fossils and coming to terms with a desolate landscape and terribly missing her lover – and as an old woman in 1975 – reminiscing dead Scott, reading his love letters and preparing to die –; and Cameron Scott, an unwilling witness to the non-sense of war and the carnage on the front, but also a willing witness to the humanity and brotherly camaraderie that flourishes among soldiers in the trenches amid the most inhospitable conditions. In alternating chapters the stories of the characters unfold, the subplots being delineated by the year in which each part of the story takes place and revealing the events in the characters' lives.

As Andy Belyea points out in his review of the novel, *The Bone Sharps* is “not only a “historical fiction” but is also part epistolary novel, part war journal, part rabid confession, part dream/madness narrative, and more. It employs a fragmented temporal and spatial postmodern style and structure (several geographic regions and multiple timelines in addition to the plethora of mixed storytelling media just mentioned)” (69). In other words, the polyphonic structure of the novel avoids a traditional linear mode of narration. The narrative is offered to us in fragments as it were, like the tesserae of a mosaic we are invited to assemble or to reassemble. As a result, Bowling invites the reader to look at the world from different simultaneous perspectives at the same time, through the lens of idiosyncratic consciousnesses. Fiction in Bowling's hands is thus a medium to understand the motives beneath human behaviour, and also the links that hold a person to a specific culture, a place, a vocation or a passion, and a

Zeitgeist. To put it differently, fiction is a form of paying attention to and making sense of human nature and reality. There is a moving, meticulous celebration of the natural world in *The Bone Sharps* as well, even if it does not have the green and lush exuberance of the BC coast depicted in Bowling's earlier novels, *Downriver Drift* (2000) or *The Paperboy's Winter* (2003). Bowling is writing the self and mapping the eternal landscape of silence of the Albertan badlands at the same time. He has got a keen eye for natural observation, not only for the riverscapes of his native West Coast, but also for the landscapes surrounding his life in Edmonton, Alberta, where he settled years ago and lives with his family.

Though *The Bone Sharps* is a polyphonic novel for multiple consciousnesses, let us not forget that the presiding consciousness in the whole novel is that of Charles Sternberg, a man with a mission, truly passionate about his commitment to making a lasting contribution to the world of science. Bowling made thorough preliminary work of documentation and read the man's autobiographies, *The Life of a Fossil Hunter* (1909) and *Hunting Dinosaurs in the Badlands of Alberta* (1917), to be able to recreate the epoch. As Samuel Pane points out in "A Bone to Pick", his review of the novel:

Cameron carries a copy of Sternberg's first autobiography from 1909. The novel's flashbacks involving Edward Drinker Cope, principal antagonist in the American "Bone Wars," are indebted to *The Life of a Fossil Hunter*. It details the early phase of Sternberg's career before he was engaged by the Geological Survey of Canada to participate in the "Canadian Dinosaur Rush" – a gentlemanly contest against Barnum Brown who would send Albertan dinosaurs by the boxcar to New York's American Museum. However, *The Bone Sharps* owes much of its psychological thrust, mainly Sternberg's crisis of faith, to *Hunting Dinosaurs in the Badlands of Alberta*, Sternberg's second autobiography, published a full year after the action described in the novel. (2008: 118-119)

However, history and fiction exist side by side in this masterwork: the love story between Lily and Scott is fictional, and the date for the 1916 field trip is not historically accurate. After all, Bowling's ultimate vocation is that of a poet-novelist, not that of a historian, and he is searching for imperishable universals beneath the minutest details of existence. And yet, as Mary Jo Anderson observes, "the discoveries of science, the barbarity of war, the slow seep of Darwin's thoughts of evolution into the culture – all that we know in our bones, in our history – is made to seem new, challenging the order of the world, needing to be absorbed" (30). Bowling's novel conjures up in the reader's mind a time when humanity was intent on understanding the vast world and its mysteries, which included the silent stories implicit in the pristine bones of creatures that had lived millions of years ago. In short, the intellectual climate and sense of expectation and astonishment of the epoch are evoked masterly, not just because

Bowling has done thorough work of documentation for his novel, but also because he appears to have a keen eye for observation and a relational mind capable of bringing diverse dimensions of reality together.

Bones are ubiquitous in the novel indeed and a recurrent motif. For Sternberg, hunting for the fossilized bones of the creatures of the Mesozoic is tantamount to undertaking a spiritual quest. Time and again in *The Bone Sharps* we find innumerable instances of this religious, quasi-mystical calling the paleontologist is engaged in. From the very outset, his life appears to have been predestined to accomplish great things in the field of paleontology: "His [God's] plan for me involved finding the bones of his long-dead creations" (85). Sternberg reads the book of nature and what he finds there is not just a plethora of *signatura rerum*, but an overwhelming abundance of signs of God's omnipotence and grace. Thus, we read passages of moving lyricism like this one:

Daughter, everything is planned and ordered by the Creator. Never doubt it. What happens is meant to happen, is for the best. Do you think we would be here, in this valley, finding the bones of His great ancient creations if He had not ordained it so? Child, you know the infirmity in my leg? I tell you, as I have told no one before, it is not my weakness, it is my strength. The very pain that others believe must impede me in my work is the sole cause of my work. And I am grateful for it. [...] I pray to know that God works in mysterious ways, His wonders to perform. This leg [...] is a wonder, and the pain it caused me is as nothing to the life of praise and labour it has carried me to (51-52).

After decades working as a bone sharp, Sternberg "didn't even need to see the fossils; he felt their presence all around him. It was as if a cloud was peeling back off the earth to reveal a sky brilliant with stars, some in perfect constellations and others broken and scattered" (279). Being a devout and religious man, Sternberg has no problem in reconciling the pursuit of science and his profession of faith. To his mind, fossils are evidence of God's grandeur and the awe-inspiring beauty of the natural world. Fossils are nothing but signatures left by God, traces of his sublime power to create things *ex nihilo*. The fossilized bones of fish, turtles and dinosaurs found on ancient seabeds must have caused astonishment in ordinary people, but to Sternberg they testify to God's omnipotence and they leave him with an aching sense of the wonder of the world. Every time he touches bones, he feels his hands are *touching origins*, and *time dies* (279). This is Sternberg musing on bones and on God, looking at the world with humility through the lens of his devout religiosity:

We are not greater than we know. We are smaller. This silence, this western silence that surrounds and awes, is but the faintest echo of God's heartbeat. We lean towards it, almost hear words in a tongue we recognize. [...] It is this joy, this power to discover, this science, that presses us for a few precious seconds to the

bosom of our Father, and we hear the Truth, the only Truth; it beats so loudly that the starlight pours in our eyes and the blood knows other worlds. Are we so clever, are we so deadened, that the life in us does not hunger ceaselessly for more life? [...] Joy is the knowledge of God's greatness. (19-20)

This sense of utter communion with the natural world is moving; the presence of the divine is pervasive wherever one turns to look. In *The Bone Sharps* Bowling represents the natural world as the locus of the inner life, echoing the Burkean configuration of the sublime as an expression of the divine. However, what makes reading Bowling's novel a memorable aesthetic and learning experience is that it confronts the reader with the naked consciousness of a man driven by a passion for science (the realm of reason, intellectual pursuit and objectivity), but also haunted by his deceased young daughter, Maud (the realm of emotions, feelings and subjectivity). He talks with her constantly in disturbed dreams and feels an intolerable sense of guilt for not having made it on time from a field trip to be by her side on her deathbed, when she needed him most. In his own "dark night of the soul", he experiences a surreal reunion with his deceased daughter in the desert, which makes his loss even more palpable. Dreams appear to give him solace, though, and the opportunity to talk with her dead daughter for a while appears to blur the toils of his fossil-hunting duties. However, the landscape of eternity his eyes scan in search of fossils is rich in resonant bones, not just the bones of the Mesozoic lords, but also human bones singing an almost inaudible melody. Sternberg's fascination with bones prompts him to contemplate life as a continuum spanning from prehistoric bones through vast tracts of hostile badlands and starred skies to the bones of her deceased daughter, even if he is puzzled by the vastness of Earth, *terra matrix*, capacious enough to embrace everything that is:

Maud is dead. Cope is dead. Maud is dead. The words pounded out of the sun together, joined like the bones of a fossil. [...] The past –how capacious it was, swallowing the bones of the great extinct beasts in a number of barren cemeteries like the one of this valley, and yet the fine bones of his precious child too. How could it be? That the earth could hold the beasts' gaping skulls of stone along with the softness of her hands that once soothed and cooled his calluses – it was absurd, he could not see the connection. Perhaps if he had been able to touch her before the end... the thought was too painful and he shook it off. (83-84)²

Everyone wants to know and to understand, said Aristotle at the beginning of his *Metaphysics*,³ a seminal text in Western Philosophy. *The Bone Sharps* is a lyric

² By the end of the novel, Sternberg dwells once again on the vulnerability of human bones: "the bones of Maud, his parents, Uncle Wilhelm, Cope, Marsh – so many others – lay in the earth, prey to the elements, as vulnerable as the bones of the great beasts he'd spent his life tracking" (289).

³ These are the opening lines of Aristotle's *Metaphysics* I.I, 980a 21-7: "All men by nature desire to know. An indication of this is the delight we take in our senses; for even apart from their usefulness

novel that honours learning as the true vocation of all human beings from all times. There is sufficient evidence in this novel that Bowling is aware that knowledge is an ancestral enterprise, a gigantic work in progress to which every human being is called upon to contribute. “We don’t have any idea of what mysteries surround us. Any day, any rainfall, here or in a million other places on the planet, anywhere, anywhere, another mystery can appear! How can anyone not be moved by that?” (242-243), Cameron Scott asks his beloved, Lily, trembling with excitement. In spite of his love of knowledge, Charles Sternberg, the man of science and the man of God, compares his passion for knowledge to his existential pain induced by the death of his young daughter and must admit that, even if he “had spent his life working for men driven to find the truth in Creation”, “the answers they sought [...] were nothing compared to the loss of a child” (178). He still has faith in reuniting with Maud in the afterlife: “Can it be true, Lord, he lamented. Will I never be with her again?” (178). Even his mentor, Edward Drinker Cope, a man intoxicated with knowledge and endowed with an immense “love and respect for all the marvelous workings of the Creator” and “enthusiasm for the work of fossil hunting and his fascination with all forms of life” (203), intones a forceful celebration of a life devoted to the pursuit of science that still keeps an eye on the emotional side to human beings:

A man should not be all intellect. That is the danger in science. Darwin, Wallace, Huxley, the damnable Marsh – such men believe they can reason their way through life. But how, how faced with the glories of the Creator, can they reason away the cosmos, bird flight, a woman’s heart? Doth experience teach them nothing? And mystery is no enemy to man – it is his greatest friend. Without it, we are as the extinct beasts whose bones we seek. Imagination and feeling. God has given us these faculties to praise and honour, not to deaden. (218)

At some point, Charles Sternberg summarises beautifully what a bone hunter is. He is convinced that life is a constant search. Everything is a bone hunter: “The sun, the wind, the rain: everything was searching, all the time. And an ordinary man, too. A rancher on the prairie above, a merchant in one of the great cities: their days were nothing but one continuous search for the final truth hidden in their own flesh” (144). The old metaphor rings true: human life is a journey, but it is also a search for some form of revelation whereby everything appears to cohere and make sense beautifully at last. Fiction and truth go hand in hand after all: what for would novelists put so much time and energy into the writing of novels if they did not strive after some kind of permanent truth?

they are loved for themselves; and above all others the sense of sight. For not only with a view to action, but even when we are not going to do anything, we prefer sight to almost everything else. The reason is that this, most of all the senses, makes us know and brings to light many differences between things”. See *The Complete Works of Aristotle. The Revised Oxford Translation*, Vol. 2, p. 1552. The original translation is by W. D. Ross and was published by Clarendon Press, Oxford, in 1924.

2. A JOURNEY OF SELF-DISCOVERY: FROM THE BATTLE OF ANTIETAM TO THE FRASER RIVER

The Tinsmith (2012), Bowling's latest novel, though a very different kind of novel, is precisely a search for the final truth literally hidden in the flesh of its main character, the runaway slave William Sullivan Dare, and the story of his identity reconstruction. Set in two very different scenarios, the American Civil War battlefields after the Battle of Antietam and the pioneer salmon canneries on the Fraser River in British Columbia, the novel brings fiction and history together just like *The Bone Sharps* does. But whereas Sternberg's search is a search for knowledge in the form of fossil-hunting to honour his Creator, Dare's anguished search is a search for identity in the aftermath of a violent war and a life of slavery. The war is not mere backdrop in this novel, as it was in *The Bone Sharps*, in which the European trenches were a mere echo, faintly heard in the distance, in spite of the description of certain scenes of overt carnage on the front. War is the central experience that reconfigures Dare's life once he learns the transcendental fact about his biological origins. But let us begin at the beginning.

The plot⁴ of *The Tinsmith* is not difficult to delineate, bristling with action as it is. A story of impressive temporal and spatial scope, it opens with the Battle of Antietam, the first major battle in the American Civil War to take place on Union soil and the bloodiest single-day battle in American history, fought on 17 September 1862 near Sharpsburg, Maryland. Anson Baird, a surgeon for the Union Army, is on the front line tending to the wounded, amputating arms and legs to save the lives of the survivors. Exhausted by the growing number of patients and casualties on his own improvised operating table, he is grateful for the generous aid of a mysterious soldier by the name of John. He roams the battlefield in search of wounded soldiers and carries them diligently on his shoulders to the hospital. Anson realizes that John is no ordinary soldier and soon learns that he is a runaway slave haunted by a dark secret. However, moved by the man's selfless actions, Anson decides to help him escape under the guise of a new identity: "within just a few days of the battle, a runaway slave with no other name besides John became, in the army's records, a Union soldier named William Sullivan Dare" (61). Amid a bleak landscape of death, utter desolation and rotten bodies, where "solitary figures and small groups of

⁴ Tim Bowling himself summarises the essentials as follows: "It's two different points of view told in the third person. One's an American surgeon who'd been a surgeon in the Civil War battlefields and met this character, this mixed-blood character, there. The first third of *The Tinsmith* takes place on the battlefield of Antietam in Maryland in 1862. Then the narrative switches to the Fraser River a decade later and it takes off from there. Then it goes back and forth." See Dave Brundage's "A Writer's Tension: Reflections on Genre, Place, and Time", July 2014.

three and four men moved among the dead and wounded, slowly as wasps over rotten fruit" (264), this secret forges an indestructible bond between both men and sets the action in motion.

In 1882, exactly twenty years later, in a different place just across the continent, the Fraser River in British Columbia, Anson comes to the rescue of his friend once again. Haunted by his memories of the war and the death of his wife Elizabeth, the surgeon is compelled to discover the fate of his missing friend once he arrives in Canada. Working as one of the pioneer salmon canners on the Fraser River, Dare is apparently the victim of the dubious ethics of some Scottish and American competitors who harbour racial prejudices against him. As the story unfolds, readers come to learn about the toils in Dare's life as a slave, how he lost his only family (other slaves working on the same mansion) under dire circumstances of cruelty, extreme violence and collective suicide on a river crossing. Once again, he must be on the move and leave the place for a piece of land he has acquired in California. All he asks of Anson is to sell the property for him to get him money for a new start. At a climactic moment towards the end of the novel, the truth about Dare's identity is revealed: that he is not black and that he was born of white parents that he never got to know: "The overseer told me they were white. That I was born of white trash and only raised as a nigger" (277). Because he had to believe that his friendship and bond forged with Dare in *Antietam* "had pulsed behind everything, like the sun, even long after it had gone down, pulsed with the promise of more light" (279), Anson's shocked reaction in the face of the blunt truth that shatters one of his most elemental convictions is worth quoting in full:

White? Both parents? The idea staggered him. He had looked past the colour of Dare's skin for so long that it simply never occurred to him that there was any question of his mulatto ancestry. Dare was black, an escaped slave who looked white. And Anson had saved him. To doubt these facts was worse than to lose faith in God; it was to abandon everything, to find nothing in life but deceit and shadows. (277)

With astonishing stoicism and conviction, Dare admits that he had long stopped caring about whether the overseer's revelation about his biological origins or the colour of his skin was true or not: "Then I knew it didn't matter. Not if I owned myself. That was all I had to do. The owning is what matters" (277). Surprised by such a blunt philosophy and the struggles he must have endured to reach this conclusion, Anson, facing his puzzlement with regard to Dare's newly-discovered identity, is forced to humbly embrace epistemological uncertainty as part of the incomprehensibility of life. That there is no way of knowing anything for good seems to be the implicit message. And also he appears to be reminded of what looks like a truism: that the only way of finding out who you are is by reaching out to another and allowing that other to reach out to you. His consciousness is

invaded by an empathy and humaneness that Bowling catches magnificently well: “Here was a man, likely of mixed blood, once white in the eyes of this place, now black, for whom the past was more than merely inescapable; it was deadly” (278). By the end of the novel, Dare must keep on moving and go somewhere else to live, which is suggestive of the fragility of identity, something constantly fluid and unfixed, something perpetually in the making.

The Tinsmith is a novel of great intricacy and craftsmanship that addresses a complex constellation of themes like racial issues, ethics, history, war, memory and identity. Bowling spent a long time doing research on the historical background to recreate the epoch faithfully, but the major driving force beneath the novel is the exploration of human consciousness in the central characters of Anson and Dare, the two men united by the violent experience of war for the rest of their lives. Both are forced to rethink their own identities. Dare is literally and figuratively engaged in a quest for his own identity and in search of his biological origins. His journey from the battlefields of America to British Columbia is literally a journey of self-discovery and self-confrontation. Some members of the prejudiced society where he lives on the Canadian coast simply do not tolerate the colour of his skin and undeservedly associate it with moral inferiority. Once he ceases to be a slave in the aftermath of the war, he must forge a new identity for himself. Towards the end of the novel he finds the truth inscribed in his own skin: compelled to believe that he was born of white parents, the cruelty of the times made him a slave. In the end, he turns out to be a self-made man, unfortunately constantly on the move, because his past is simply inescapable.

As for Anson, disillusioned with the war and with his present (having no wife or children to give him warmth and protection), he has made Dare into an emblem of everything that he deems uncorrupted purity, limitless generosity, integrity and honour: “his friend was still the cure for futility and despair, just as he had been at Antietam” (162). Dare is the true embodiment of a good man, the ideal man: “Not vengeful, not remorselessly responding to misery and pain by inflicting it on others, most of whom, like most people, were innocent” (296). Amid a world of hostility and nonsense, the only truth Anson respects is *a man’s character* (223) and actions: “A man of character and courage deserved to be the master of his own life”, he thinks apropos the escaped slave, who “had almost driven himself mad to earn his freedom” (163). His first-hand experience of war and death compels him to keep his feet firmly on the ground though. The man who recites Latin verses to calm down his nerves while at the operating table during the Battle of Antietam, his body covered with sweat and blood, is all too painfully aware of man’s compulsion for destruction. While on the battlefields, he invokes the blind poet Homer to shed

light on the present situation of senseless havoc that war brings: “No war ever ends, Anson thought, seeing Odysseus, hooded and plotting, as he returned to his home ten years after the fall of Troy. But Anson was no Odysseus. Dare was not his son, there was no Penelope, no kingdom. The only parallel was the memory of death and the palpable sense of violent change” (138-139).

At any rate, Dare finds the truth about his own identity firmly inscribed in his own skin, the colour of which made him into a slave early in his life. Dare’s journey of self-discovery is inextricably linked to an awareness that he is a thinking and sensitive body. That we consist of a body and mind appears to be a truism that goes unnoticed most of the time in our Western mindset. Since the very beginning of Western Philosophy, humans have been conceived of as consisting of a body and a mind. At the beginning of the Modern Age, Descartes still embraced the notion that a human being is a split creature: the *res extensa* was the perishable body, whereas the *res cogitans* was the immortal mind capable of penetrating the mysteries of the world. In the 21st century, Western Philosophy is still occupied with trying to unveil the body-mind dichotomy for good. In a book-length essay entitled *Corpus* (2008), French philosopher Jean-Luc Nancy provides a most interesting definition of ‘body’:

Bodies aren’t some kind of fullness or filled space (space is filled everywhere): they are *open* space, implying, in some sense, a space more properly *spacious* than spatial, what could also be called a *place*. Bodies are places of existence, and nothing exists without a place, a *there*, a “here”, a “here is,” for a *this*. [...] the body *makes room* for existence. [...] More precisely, it makes room for the fact that the essence of existence is to be without any essence. That’s why the *ontology of the body* is ontology itself: being’s in no way prior or subjacent to the phenomenon here. The body *is* the being of existence. (15)

Thus, Nancy claims that the body is “the being-thrown-there” (13) and “the very familiar strangeness of this being-there, this being-that” (13) is a moving mystery with which Philosophy has been confronted since antiquity in all traditions across the globe. Bodies are the place of existence, “bodies are existence, the very act of ex-istence, *being*” (19) and so we live in the world of bodies. Only a body can touch or be touched. A spirit or a soul can do nothing of the sort. Jean-Luc Nancy appears to claim that ontology is to concern itself with bodies, not as shells, simulacra or deceiving appearances, but as true places of existence. In his view, the Cartesian *ego*’s articulation makes sense inasmuch as it is literally *embodied*: ““Ego” makes sense only when it is declared, proffered (and when proffered, its sense is exactly identical to existence: *ego sum*, *ego existo*). [...] In the Cartesian *ego*’s articulation, therefore, mouth and mind are the same: it’s always the body” (25). Hence, body, mind and speech are the basic

ingredients out of which humans are made, and “it makes no sense to talk about body and thought apart from each other” (35). Dare and Anson are *embodied existences* or *thinking bodies* that collide in time and space in a terrible scenario of war and violence that forges an indestructible bond between them. Dare’s skin colour makes him the victim of racial prejudice. Anson learns to value the man for his character and self-determination to live with dignity, leaving aside any racial considerations. Bodies as the place of existence are finite, singular and exposed. Bodies are finite because they have clear-cut boundaries both in time and in space, and they are singular because they are irreplaceable and unique. And if bodies are open spaces exposed to all kinds of elements, then they turn out to be extremely vulnerable. Dare’s existence as a body has been subject to the violence of slavery and war, to the cruelty of humankind, but it has also been elevated by the presence of a man like Anson, who makes him an emblem of the most noble aspirations of humanity.

As a counterpoint to the war carnage and the violence implicit in slavery, Tim Bowling crafts jewel-like descriptions of the great salmon run, the riverscapes and life in the canneries on the Fraser River back in the 19th century. In one of the rare, substantial interviews he has given, published in the *Literary Photographer* on 23 September 2008, Bowling points out to Don Denton that the 1980s were a time of literary apprenticeship for him: “I was focused on the apprentice work of the poet and novelist (i.e., reading a lot and writing a lot, most of the latter materials being bad)”. But in the 1980s he was also working as a deckhand on a gillnetter in the fishing industry in Ladner, his home town, south of Vancouver. So, in a sense, he was doing another instructive kind of reading, with his eyes and with his hands – i.e., a pre-literate reading based on interpreting the non-verbal signs of the natural world. He was learning to read the rhythms of fishing-town life and also the subtle intricacies of the green world: earth and sky, sun and rain, birds and trees, mountains and clouds, colours and smells and sounds, and, most importantly, the Fraser River. Bowling was trying hard to understand the cycle of salmon ferociously swimming upriver from the ocean and back to their origins up in the mountains, obeying an inescapable ancestral calling, even if fulfilling it meant their own annihilation. The salmon cycle represents life and death, the perpetual metamorphosis of things in the green world, where nothing ever stays the same, and also a pretext to dwell on the perennial themes of literature. In the interview “Poet Staves Off Poverty in Exotic Edmonton”, by Adam McDowell, Bowling remarks that the “Fraser River and salmon fishing is a way into the traditional poetic obsessions with mortality and time and memory”. Having grown as the son of a fisherman, it comes then as no surprise that the great Canadian river should figure so prominently in *The*

Tinsmith as much more than mere backdrop. As Bowling claims in his interview with Don Denton, in words reminiscent of Eliot's "Tradition and the Individual Talent", "the writer must transmute lived experience into meaningful art". Writers cannot help writing out of the worlds they come from and know best.

The secular concern of literature has been grasping human nature and the twin mysteries of time and space, but human nature cannot be dissociated from Nature at large. If we do so, we are blindly embracing the preposterous intimation that humankind can exist on its own and that humans are superior to everything else in life. This biased anthropocentrism might be firmly inscribed in our gene pool in our Western mindset and, consequently, it goes unnoticed most of the time. Bowling's intimation seems to be that life is but an interdependent continuum of subtle modulations and so, by understanding Nature, we will understand ourselves, and by understanding ourselves, we will understand our place within the larger scheme of things. Thus, in the natural world, both Anson and Dare seem to find their truest selves. Anson "could still feel himself embraced by something outside of all conscious planning, even if he no longer cared to use the name of God to describe that presence, the God that both sides in the war had used as justification for killing" (239). On the river, Dare finds his true self and feels like he is home for a precarious while: "the night calmed his blood; how often he had relied on the stars' loyal patterns when life seemed only a roiling confusion" (204). And the salmon cycle provides Bowling with the perfect metaphor for the relentless alternation of life and death:

All day he [Dare] had felt the salmon coming, sure as nightfall. [...] Out there, by the millions, the salmon waited, hanging like ripe fruit in the salt depths, ready to make their last fierce rush to the spawning grounds far inland. The brinish air trembled with the weight of the fish's will, the sun burned yellow-white as it crept between the horizons, and Dare often had to raise one of his muscle-knotted forearms to his eyes to wipe away the sweat. All around him the delta of sloughs, sandbars, and marshes held its breath; the tall reeds and grasses close to where the river met the ocean shivered slightly, like the fine filaments beneath the gills of the salmon, and, behind him, along both banks, the serried rows of great firs and cedars silently pulled in their shadows as if they did not want to contribute their black nets to the harvest that would soon follow. (202)

"You can't be taken out on a fish boat at the age of three or four and not have a sense of awe and mystery about the natural environment", confesses Tim Bowling to Mark Medley in the interview "A River Runs Through Tim Bowling's *The Tinsmith*". His upbringing by the great river inspired *The Tinsmith* in a decisive way. In fact, William Sullivan Dare is the fictional version of a real person, a mixed-raced South Carolinian by the name of John Sullivan Deas "who,

for a time in the mid-19th century, was the largest salmon canner on the Fraser River”, he admits in the same interview. In his interview with Dave Brundage, Bowling dwells on the historical basis for Dare:

[*The Tinsmith*] is really about how the American Civil War affected the development of British Columbia in the 1860s and 1870s. It deals with slavery and it deals with one of the early salmon cannery men on the Fraser River, who was mixed blood, white and black. This is historical but very little is known about him. So that had always haunted me from a very young age. Sarah Orne Jewett, an American writer, has said [that] what haunts the imagination for years and years and finally gets put down on paper has the possibility of being literature. [...] As a kid I'd be taken to the local museum, which was very close to my home, and there'd be these references to this character, John Sullivan Daes, but very little was known about him, a very shadowy figure, very mysterious [...] So that was the basis of that book.

Thus, Bowling was haunted by this character since he was a kid and he ended up transmuting it into suitable literary matter. In an early poem entitled “The Tinsmith”, included in *Low Water Slack* (1995), the poetic persona looks at the man's grave and concludes: “But he's not lying where the Fraser doesn't flow. / His bones feel the swimming magnet of this coast” (16). What haunted the author for a long time became literature in the end: Deas is resurrected under a new name in Bowling's novel, which, according to Mark Medley, “begins on the eve of the Battle of Antietam [...] and ends on the shores of the Fraser River on the eve of a historic salmon harvest”. The spatial and temporal scope of *The Tinsmith* is thus simply breathtaking, like the mastery with which the author depicts Anson and Dare to make them round, complex characters that evolve over time.

3. CONSCIOUSNESS AT THE CROSSROADS: EPISTEMOLOGY AND ETHICS, HISTORY AND MEMORY

The Bone Sharps and *The Tinsmith* remain novels of astounding artistic scope and lyricism. Bowling's command of the expressive possibilities of English as a medium of literary creativity is out of the question. Because he is primarily a poet, the language of his novels has got the very texture of poetic language. Though at first they may appear to have very little in common, upon closer inspection we realize that they are tentative attempts at shedding light on human nature and on the world at large. This has been the ancestral calling of literature since antiquity, but the way Bowling maps the green world and explores human consciousness is highly articulate and lyrical in nature. While Bowling's focus appears to be consciousness, as the very centre around which the overall design of both novels pivots, the natural world as represented by the vast tracts of silent land in the Badlands of Alberta and the lush exuberance of BC landscapes, including the

Fraser River, also plays a crucial role. After all, humans are *embodied existences* living in time and in space in a tangible world. The poet-novelist cannot help trying to record the minutest details of the world as it changes from one minute to the next, and not just as merely decorative backdrop to his novels, but as an element essential to his fictional conception. But consciousness (or the interplay between the mind and the world at large) remains the main focus of both novels. Being endowed with a truly voracious intelligence, Bowling cannot but look at the self and try to capture the evanescent moment in time as reflected and refracted through the consciousness of his own characters. If the flux of life is simply unstoppable, language at least gives him the opportunity to freeze moments of being and look at them as if from simultaneous angles at the same time.

The approach to consciousness is slightly different in *The Bone Sharps* and *The Tinsmith*, though. The former brings together multiple points of view in the reconstruction of Charles Sternberg's story of fossil hunting and in the mastery evocation of a *Zeitgeist* marked by epistemological exhilaration (to the point of intellectual intoxication) at the discovery of ancestral creatures that lived millions of years ago. By forcing the reader to listen to a polyphonic novel spoken by several voices and to look at the story from multiple perspectives, Bowling's omniscient narrator appears to suggest that there is no way of understanding reality for good, or, to put it differently, that nothing can be known finally. This is precisely the reason why it is of the essence to have access to reality via different consciousnesses, as it were. Because reality is not a monolithic entity, but a fluid succession of discrete moments in time and space, and because all things exist in a never-ending chain of contexts, the juxtaposition of different viewpoints makes a much more accurate rendition of the world possible. At any rate, what the reader experiences when confronted with *The Bone Sharps* is a sense of radical epistemological uncertainty concerning both consciousness and reality at large.

Consciousness, which is always there mediating humans' relationship with the world at large, goes unnoticed most of the time, as it is the very culturally-conditioned lens through which we look at the world. As the world cannot be grasped through sensorial osmosis, consciousness intervenes to make sense of reality and of the place of humans in the larger mesh of things. Like the senses, consciousness is not a completely reliable tool to help us grasp being, but it might be feasible to harmonize different moments in time (1876, 1896, 1916 and 1975), places and settings (the badlands of Alberta and the trenches of World War I in Europe), and viewpoints (those of Sternberg, Lily and Cameron Scott) to make a more accurate rendition of the world possible. A single human consciousness will not do, but a harmonious combination of all three will take us closer to the truth and into the heart of the matter. Fragmentation is thus turned into a virtue. *The*

Bone Sharps is, therefore, a novel concerned with a particular epoch as refracted through the consciousness of three particular characters. Most importantly, it is a novel concerned with epistemology and the potential limits to our understanding of the world. Though at some points it is a moving ode to knowledge, Bowling is aware that reality is vaster and more sublime than whatever the human mind might find out and verbalize about it. Deep at its core, reality remains an inexhaustible and undecipherable mystery to Sternberg's amazed mind.

The Tinsmith is not a polyphonic novel for multiple viewpoints or a suite for several voices, but a chaconne performed by two voices only. Consciousness vis à vis the self, the others and identity (and not consciousness vis à vis the world at large) is at the very centre of the novel's overall architecture. It is not primarily epistemology but ethics that appears to be the overriding concern of the author. Dare's journey of self-discovery represents an odyssey towards his own biological origins, beyond his past experiences of slavery and cruelty in the hands of cruel human beings. Consciousness is not just a tool of self-knowledge and introspection, but also the space where the self confronts itself and experiences a radical sense of otherness. The colour of his skin made Dare into a slave early in his life, but the process of growth is an act of self-emancipation. By fleeing from the US after the Battle of Antietam to the Fraser River in BC, his odyssey becomes both literal and figurative. Constantly on the move, he learns the fundamental lesson that identity is a construct and that it is fluid, hence it is in the making for a whole lifetime. Bowling seems to convey the message that there is no way of getting to know the self for good, as it remains an inscrutable mystery that needs to be interpreted in a relationship to everyone and everything else. Anson represents precisely the other, the mirror against which Dare tries hard to decipher his own self. Even if Dare is the embodiment of everything Anson deems sacred in humankind, the surgeon's convictions are shattered the very moment he comes to learn that Dare is not an escaped black slave, but a white man made into a slave by a twist of fate. But human self-identity is fluid after all: it must be revisited and reassessed time and again.

Contrary to the Positivist intimation that the self was a non-fragmented whole, 21st-century communities forge fluid, multifaceted identities, according to Zygmunt Bauman, who deploys "fluidity as the leading metaphor for the present stage of the modern era" (2000: 2), a time when individuals are ready and prone to change, and a society where fluidity reigns over solidity. Identity is not a monolithic entity, but a culturally-determined construct impacted by multiple forces. In the fifth century BCE, Thales of Miletos is said to have uttered somewhere on the coast of Asia Minor these words: "Know thyself". The old in their knowing knew that the world of natural phenomena is a huge mystery

and a miracle, but on Earth the human being poses the greatest dilemma of all to our minds. One needs to spend a whole lifetime to start making sense of what it means to be oneself, and not anybody else — or anything else, for that matter. Sophocles, who also lived in the age of Thales, came up with a handful of resonant words in what is probably the most important chorus in his tragedy *Antigone*: “πολλὰ τὰ δεινὰ κούδέν ἀνθρώπου δεινότερον πέλει”. That is to say: “Strangeness is frequent enough, but nothing / is ever as strange as a man is”. This chorus is a landmark in the history of Western literature, because it is one of the earliest and most probing meditations on human nature. Sophocles thinks deeply about the world and he draws the conclusion that man is the strangest thing on Earth. About 24 centuries later, Virginia Woolf, another author concerned with exploring human nature and how consciousness responds to the world, writes in an entry of her diary (dated Friday 7 December 1917) the following words: “nothing is more fascinating than a live person; always changing, resisting & yielding against one’s forecast”. (1977: 85) To Sophocles’ mind, there was nothing stranger than human beings themselves. To Virginia Woolf’s mind, nothing was more fascinating than a live person. Across oceans of time, the mystery of the self and identity remains intact. Tim Bowling is aware that such is the case and so there is an abundance of evidence in both *The Bone Sharps* and *The Tinsmith* that the Canadian author is concerned with shedding light on (human) nature, the self, consciousness and identity.

History does play a crucial role too in the making of both novels. As with his own experience as a fisherman on the Fraser River, he transmutes everything he has known or read about into appropriate subject for fiction. Such is the breadth of his readings that he is able to bring together a 19th-century paleontologist, the experience of the Great War in Europe, and the passion for knowledge with impressive mastery into the living fabric of *The Bone Sharps*. Such is his intellectual alertness to historical detail that he is able to evoke with utter self-confidence the Battle of Antietam on American soil and the earliest salmon canneries on the Fraser River as historical background for an intricate story that explores war, slavery, racial issues and the search for personal identity in *The Tinsmith*. The impression one gets after reading both novels is that Bowling is a man sensitive to the subtle intricacies of human culture and of the natural world. He is a humanist after all. Nothing human is alien to him. In spite of the havoc and destruction humans are capable of, he appears to convey the optimistic message that we are also capable of the most sublime feats. He cannot but celebrate learning as the true vocation of all humans from all ages and places, and also his sense of wonder in the face of the unending beauty of the world.

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**WARS AND HEROES: THE ROMANTIC REPRESENTATION OF SPAIN IN
*DON JUAN; OR THE BATTLE OF TOLOSA (1816)***

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ABSTRACT. *This paper examines Don Juan; or the Battle of Tolosa, an anonymous poem published in London in 1816. This metrical tale set in medieval Iberia at the time of the so-called reconquista recreates the Battle of Las Navas de Tolosa (1212), in which the Muslim forces were defeated by a Christian coalition near Sierra Morena. The poet clearly sides with the Christians, who are depicted as brave warriors struggling to recover their land and their freedom. The emphasis on their patriotic heroism against foreign usurpation creates an implicit analogy between the medieval battle and the recent events of the Peninsular War (1808-1814). The representation of Spain as a land of war and romance echoes the Romantic figurations of this country appearing in British print culture in the early nineteenth century.*

Keywords: *Don Juan; or the Battle of Tolosa*, representations of Spain, British Romanticism, Peninsular War, medievalism, Muslim Iberia.

GUERRAS Y HÉROES: LA REPRESENTACIÓN ROMÁNTICA DE ESPAÑA EN *DON JUAN; OR THE BATTLE OF TOLOSA* (1816)

RESUMEN. *Este trabajo analiza Don Juan; or the Battle of Tolosa, un poema anónimo publicado en Londres en 1816 cuya acción se sitúa en la España de la reconquista y, más concretamente, en la Batalla de las Navas de Tolosa (1212), en la que una coalición de los reinos cristianos peninsulares derrotó a las tropas musulmanas cerca de Sierra Morena. El poeta se posiciona a favor de los cristianos, a los que describe como una nación de guerreros que tratan de recuperar su tierra y su libertad. El interés del autor por destacar el heroísmo y el patriotismo de los cristianos frente a los que considera invasores extranjeros establece una analogía implícita con la Guerra de la Independencia. Se trata de una representación romántica de España que incide en lo belicoso y lo caballeresco, en línea con la imagen del país presente en la literatura británica de comienzos del XIX.*

Palabras clave: *Don Juan; or the Battle of Tolosa*, representaciones de España, Romanticismo británico, Guerra de la Independencia, medievalismo, Al-Andalus.

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1. INTRODUCTION

The Peninsular War (1808-1814) was a turning point in the course of the complex—and frequently problematic—Anglo-Spanish political and diplomatic relations. At this time, after centuries of declared enmity, Spain and Britain became allies in their fight against a common enemy: Napoleon Bonaparte. The involvement of British forces in the Peninsular campaigns aroused an unprecedented interest and enthusiastic support for the Spanish cause among the British public opinion, a phenomenon that is well reflected in Romantic print culture. The events taking place in the Iberian Peninsula together with the Romantic reappraisal and fascination with Spain in Europe gave way to new portrayals of the Spanish culture and national identity, which gradually relegated the stereotypes of the Spanish Black Legend and reinterpreted the backwardness of the country as a relic of its chivalric and romantic spirit. These British Romantic images of Spain, especially as presented in metrical tales, are thoroughly examined by Saglia in his ground-breaking and highly influential *Poetic Castles in Spain: British Romanticism and Figurations of Iberia* (2000). His study is complemented by other scholarly approaches to the examination of British fictional representations of Spain, such as those by Valladares (2015), who explores English theatre during the Peninsular War, or Almeida-Beveridge

(2010), who is the editor of a volume devoted to the analysis of the Romantic Anglo-Hispanic imaginary. Furthermore, an English/Spanish bilingual anthology of the English poetry of the Peninsular War has been edited by Coletes Blanco and Laspra Rodríguez (2013). All these studies reveal that Spain attracted the attention not only of British canonical figures, but also of minor and forgotten authors who found their inspiration in episodes of Spanish history, elements of its culture, and contemporary events. One of these literary works consigned to oblivion is *Don Juan; or the Battle of Tolosa* (1816). It is an anonymous poem published in the aftermath of the Peninsular War which reconstructs the Battle of Las Navas de Tolosa (1212), a momentous episode in the medieval wars between the Christian and the Muslim kingdoms of the Iberian Peninsula that have traditionally been known as the *reconquista*. This three-canto metrical tale, which has been entirely disregarded by scholars, participates in the existing vogue for Spanish themes in Romantic print culture and follows some of the prevailing trends in the British Romantic depictions of Spain. The focus of my analysis is placed on the poet's representation of Spain and the Spanish people through the portrayal of the conflict between the Christians and the Moors and its possible associations with contemporary events.

2. THE AUTHORSHIP OF *DON JUAN; OR THE BATTLE OF TOLOSA*

Little is known about the circumstances of the publication of *Don Juan; or the Battle of Tolosa*, apart from the fact that it was published anonymously in London in 1816. Given the absence of reviews and references in the literary press of the time, the poem must not have made a great impression on British critics and readers. The book has never been edited again and, nowadays, it can be regarded as a mere bibliographic rarity. Moreover, the identity of its author remains an unresolved question, even if a careful analysis of the two copies kept at the British Library, to which I had access in the course of my investigation, provide a few suggestive but inconclusive clues on the authorship of the poem. One of these two copies is bound with another anonymous metrical tale entitled *De Mowbray*, which was published in 1815. The publisher and the printer of both *Don Juan; or the Battle of Tolosa* and *De Mowbray* were James Harper (Fleet Street, London) and T. Davidson (Blackfriars, London), respectively. In addition, the two poems have the same structure: they are divided in three cantos, which are followed by a series of notes and some brief poems that conclude the volumes. The subject matter of the two works is not dissimilar either. The same as *Don Juan; or the Battle of Tolosa*, *De Mowbray* is also set in the Middle Ages and recreates the religious wars between Islam and Christianity, although in this case the author moves the action back to the Crusades at the time of Richard I. Furthermore, there are significant

stylistic similarities between the two poems, so it seems reasonable to suggest that they might have been written by the same person. However, *De Mowbray* contains no further hints about its authorship.

On the other hand, James Harper, the publisher of both *Don Juan; or the Battle of Tolosa* and *De Mowbray*, produced another work related to Spanish themes in 1815. It is *The Inquisition, or, Tale of Varez*, written by Richard N. Kelly, a lieutenant of the Royal Navy. According to the preface, in the recent years he had been “placed in a situation that enabled him to witness the extraordinary efforts made by the Spanish patriots to restore their Monarch to the throne” (iii-iv), thus implying that he participated in the Peninsular War. The reading of *The Inquisition, or, Tale of Varez* reveals remarkable similarities between Kelly’s poem and the anonymous *Don Juan; or the Battle of Tolosa* in terms of diction. Besides, both of them are metrical tales written in heroic couplets and, most importantly, they depict the Spaniards as a heroic people fighting for their freedom. Nevertheless, I have not been able to trace any further link between Kelly and either *Don Juan; or the Battle of Tolosa* or *De Mowbray*—assuming that both of them were composed by the same person. As I explain below (section 4), the heroism of the Spanish people is frequently highlighted in the Romantic image of Spain portrayed by British writers during the Peninsular War and its aftermath. However, in *The Inquisition, or, the Tale of Varez*, the brave efforts of the Spanish patriots and the decisive intervention of the British troops are presented as futile actions inasmuch as absolutism was re-established in Spain with the restoration of Ferdinand VII to the throne in 1814. Kelly’s poem evokes the Black Legend by narrating the fictional story of Alonzo, a Spanish freedom-fighter who is sentenced to death by the Inquisition after being erroneously accused of supporting Francisco Espoz y Mina’s uprising against Ferdinand VII. The poem contains a bitter criticism to Spanish rulers which is totally absent in *Don Juan; or the Battle of Tolosa*. Considering all these aspects, Kelly may have authored *Don Juan; or the Battle of Tolosa* too, but the truth is that the above-discussed connections between the poems cannot be considered conclusive evidence for his authorship.

3. A TALE OF THE *RECONQUISTA*

Don Juan; or the Battle of Tolosa combines both history and romance. The action starts in Seville on a lovely summer night, when Inez leaves her castle near the banks of the Guadalquivir to elope with Don Juan, her lover:

Lady, awake! It is a lovely night
 Holy in silence, and in splendour bright:
 The stars are trembling o’er thy myrtle bowr’s,

The moon-beams play upon thy father's tow'rs
 The trees are sighing in the summer gale,
 And stillness slumbers in the distant vale;
 The nightingales alone those slumbers break,
 And warbling woo thee, lady, to awake. (1-2)

The first lines of the poem certainly evoke the Don Juan legend, and this must have been the reason why it is classified as “spurious cantos and imitations” of Byron in the British Library catalogue. Since the poem was published in 1816, it cannot be an imitation of Byron’s *Don Juan*, whose first cantos did not appear until 1819. Such impossibility is pointed out by Weinstein (1959: 199) and Singer (1965: 35), who, in turn, suggest that Byron may have drawn inspiration from *Don Juan; or the Battle of Tolosa* for some of the episodes of his epic. Nevertheless, Weinstein’s and Singer’s identical summaries of the anonymous poem reveal a superficial and distorted knowledge of its plot. As a matter of fact, it is extremely unlikely that Byron could have used it as a source of his *Don Juan* because the only connections between *Don Juan; or the Battle of Tolosa*, Byron’s poem, and the Don Juan legend are a couple of proper names. The reader soon discovers that the knight with whom Inez has just fled is not Don Juan, but the Moor Hassan, who is disguised as Don Juan in order to deceive and abduct her. The purpose of Hassan’s scheme is to take revenge on his Christian enemies: the aforementioned Don Juan and Don Rodrigo. The latter, who is both Inez’s father and the Bishop of Toledo, corresponds to the historical character Rodrigo Jiménez de Rada (1170-1247), the Archbishop of Toledo and counsellor of Sancho VII of Navarre, Alphonso VIII, and Ferdinand III of Castile. Therefore, the poem is not a narration of the adventures and misadventures of a libertine, but a tale of the *reconquista*, which is set in the Middle Ages and deals with the wars fought between the Christians and the Moors so as to take control of the Iberian Peninsula. The story is set at a very precise historical event: the momentous Battle of Tolosa (1212), in which the Christian troops defeated the Muslim forces near Sierra Morena.

The kidnapping of Inez occurs on the eve of this battle. Hassan takes her to his castle, where the real Don Juan is imprisoned too. Don Juan and Don Rodrigo had been captured by the Moors in their last battle, but Rodrigo managed to escape and joined the army of Alphonso VIII of Castile. Hassan informs Inez of Don Juan’s confinement and threatens to kill him unless she consents to satisfy his lustful desires—a proposition that the virtuous Inez firmly rejects. At this point of the story, Hassan’s servants tell him that a general of the Miramolin¹

¹ The Miramolin—called *Miramolin* in the poem—is a title given to the caliphs. In this case, given the setting of the story, it refers to Muhammad an-Nasir (1181-1213), the fourth caliph of the Almohad dynasty.

is waiting for him and urge him to prepare for the great battle that would be fought on the following day. Hassan immediately departs, leaving Don Juan and Inez in his castle. They are liberated by Mahmoud, one of Hassan's servants, who takes Inez safely to the Christian frontier and gives Don Juan the sword of King Pelayo, the Asturian nobleman who has been traditionally regarded as the first hero of the *reconquista*. Well equipped with Pelayo's sword, Don Juan reaches the battlefield just in time to join the Christian troops led by Alphonso VIII of Castile, Sancho VII of Navarre, and Don Rodrigo. Although the Muslim army outnumbers the Christian coalition, the former are eventually defeated. Hassan is killed by his servant Mahmoud, who is also killed by another servant. Don Juan does not only survive, but becomes a hero after killing the Miramolin with Pelayo's sword.

Pelagio's sword in Juan's vigorous grasp,
 With blow terrific, cuts thro' joint and clasp –
 Cleft thro' the skull, the Prince of Moslems dies,
 And awful victory mounts the pealing skies:
 The Moors behold their gallant leader slain,
 And faint and wounded fly th' ensanguin'd plain!
 Terror, shame, rage, despair, defeat, and pain,
 Hover around, and urge their broken train:
 In wild confusion, fast pursued, they fly –
 The only care in quite peace – to die! (60)

Then the story has a typical happy ending: Don Juan marries Inez and, presumably, they live happily ever after.

The poem's storyline is considerably indebted to the traditional historical accounts of the Battle of Las Navas de Tolosa. The historical characters and events described in the poem are explained in a series of erudite notes included at the end of the text (67-78). Certainly, this type of notes is not uncommon in Romantic narrative poetry, and they are usually found in the poems by canonical authors like Robert Southey or Walter Scott. Although the endnotes contained in *Don Juan; or the Battle of Tolosa* are not as overwhelmingly numerous and detailed as those of Southey's works, they show that the anonymous author was concerned about the historical accuracy of the story and wanted to inform the readers of the events on which the fiction was based. Furthermore, these notes provide information on the author's sources: John Bigland's *The History of Spain from the Earliest Period to the Close of the Year 1809* (1810: 172-177) and Tomás de Iriarte's *Lecciones instructivas sobre la historia y la geografía* (1794: 117-119). A passage from Iriarte's book is directly quoted in Spanish

in the first note (70-71), which suggests that the anonymous author could read Spanish texts. Although both works basically contain brief and simplified accounts of the Battle of Las Navas de Tolosa, they are the main—and probably only—sources consulted by the poet in the composition of the text. In fact, the historical details contained in the poem and the notes can be easily identified in Bigland's and Iriarte's histories. Both Bigland and Iriarte underline the fact that the Muslim soldiers outnumbered the Christian ones, a circumstance that is also highlighted in the poem, in which the figures provided by Bigland (1810: 173) are reproduced in one of the notes (68). Moreover, both authors comment on the fact that most of the foreign crusaders who participated in the Christian coalition deserted before the battle (Iriarte 1794: 117-118; Bigland 1810: 173). This desertion is explained by the poet as follows:

But now the signal flies, and to the fight
 Moves warlike Spain, 'more lovely in her might';
 Small is her band; the foreign knights who came
 To aid her cause, are renegades to fame! –
 The German arms have sought their distant home;
 And far from hence th' Italians levies roam:
 The knights of France and England still remain,
 To fight for victory, the cross, and Spain! (55-56)

A comparison of the preceding lines and the poem's sources reveals that the poet modifies slightly this information regarding foreign intervention. Iriarte refers to the desertion in general terms (1794: 117-118), while Bigland clarifies that most of the German and French warriors deserted, but their chiefs remained (1810: 173). They mention neither English nor Italian crusaders. In fact, modern studies of this battle do not attribute a relevant role to English forces either² (García Fitz 2008: 218-224; Alvira Cabrer 2012: 86-111). Nonetheless, it is worth noting that one of the leaders of the foreign troops was the Archbishop of Bordeaux and that this city was the capital of Aquitaine, which was an English possession from 1154 to 1453. Strictly speaking, the crusaders from Aquitaine were vassals to the King of England and, therefore, the poet is not entirely mistaken when he remarks that "The knights of France and England still remain" (56). In any case, the author was

² In his *Chronica majora*, the thirteenth-century English chronicler Matthew Paris suggested that King John had formed an alliance with the Almohad caliph Muhammad an-Nasir, and even planned to convert to Islam in the years previous to the Battle of Las Navas de Tolosa. However, modern historians reject Paris's hypothesis: King John's conversion never occurred and, if there was any attempt to obtain an-Nasir's support, this alliance should be understood as a strategy to oppose the Pope Innocence III and Alphonso VIII of Castile, both of them enemies of King John (Alvira Cabrer 2012: 90; Villegas Aristizábal 2015: 119).

probably unaware of these subtleties and simply tried to magnify the role played by the English crusaders in the Christian cause in order to portray his compatriots more favourably.

In addition, the description of the battle includes other elements that the anonymous poet read in Bigland's and Iriarte's works. One of them is related to the difficulties that the Christian army had to face before the beginning of the combat. Echoing the traditional historiography, Bigland (1810: 174) narrates that the Muslim forces controlled all the passes of Sierra Morena, but the Christian troops took them by surprise as they crossed the mountains with the help of a shepherd who led them through some unknown paths. This episode is also incorporated in the poem (52-53). Moreover, Bigland's use of the term *Miramolin*—instead of *Miramamolín*—is borrowed by the poet, who presents the caliph Muhammad an-Nasir fighting in the battlefield with the Koran in one hand and his sabre in other hand (69), exactly as described by Bigland (1810: 175). However, the *Miramamolín* was not killed in the battle, so this must have been added by the poet so as to make the story more interesting and emphasize the heroic behaviour of Don Juan. On the other hand, the anonymous author follows Iriarte when explaining that the King of Navarre broke the chains that protected the Muslim lines. This episode probably never took place, but it is one of the legends that surround the battle and can be found in the works written by Spanish chroniclers and historians as well. The poem thus recreates the conflict following the conventional narrations of the Battle of Las Navas de Tolosa included in Bigland's and Iriarte's texts and introduces a few minor changes for literary purposes.

The poet's depiction of the battle is not particularly remarkable for its originality and, certainly, it is not outstanding for its objectivity either. On the contrary, the anonymous author sides with the Christians from the very first lines of the poem, and the battle is presented as a struggle between native and invading forces. In a rather anachronistic way, the Iberian Christian kingdoms are defined as Spain and their peoples are portrayed as the legitimate inhabitants of the Iberian Peninsula. By contrast, although the Muslims dominated enormous areas of the Peninsula since the early eighth century, they are considered invaders and usurpers. This implies that the author's definition of the Spanish identity excludes its Moorish past. Furthermore, the poet establishes a clear contrast between the Christians and the Moors. Whereas the *Spanish* Christian warriors are depicted as freedom fighters, the Moors are said to be "born to be slaves, and faithful to their chains" (25). The repressiveness of the Islamic world is stressed by the poet when he describes Hassan's servants, who are presented as "Slaves e'en in thought" and the miserable "tenants of a spacious tomb" (35). Hassan emerges as the villain of the story and is depicted as a "ferocious Moor"

(4), a tyrant (35, 37), and a despot (35). The concept of Oriental despotism³ gained momentum in eighteenth-century Europe, especially in the works of enlightened philosophers like Montesquieu, but the links between despotic governments and Eastern civilizations were well rooted in Western tradition before then and can be traced back to Aristotle. Romantic authors, however, showed an ambiguous attitude towards the tyranny frequently associated with Islam, so, in the words of Sharafuddin (1996: xxi), despotism should be regarded as “a major signpost” rather than as a theme of Romantic Orientalism. The image of Moorish Iberia portrayed by the anonymous author of *Don Juan; or the Battle of Tolosa* perpetuates the Western notion of Oriental despotism, but, at the same time, rejects the Romantic European figurations of Spain as an Oriental nation.

In addition, by placing the story in the context of the wars between the Christian and Muslim kingdoms in the Iberian Peninsula and presenting Al-Andalus as a civilization in decline, *Don Juan; or the Battle of Tolosa* participates in the vogue for Spanish-Moorish Orientalism in British Romantic literature, although the poem is not entirely imbued with the sentimentalism that prevailed in the Romantic retellings of the fall of Islamic Spain. The decadence of Al-Andalus, which culminated with the fall of Granada in 1492, was a theme constantly re-laborated in Romantic literature. As examined by Saglia (1997; 2000: 254-269; 2002), the tales and legends of Granada attracted and charmed both renowned and now-forgotten British Romantic writers alike. Before Washington Irving celebrated the exotic and poetic Moorish legacy in his famous *Tales of the Alhambra* (1832), the decline of the Iberian Muslim kingdoms was fictionally recreated in the works of a good number British writers, including Felicia Hemans’ “The Abencerrage” (1819) or Lord Porchester’s *The Moor* (1825) as well as Thomas Rodd’s *The Civil Wars of Granada* (1801), the English translation of Ginés Pérez de Hita’s *Historia de las guerras civiles de Granada* (1595). Similarly, *Don Juan; or the Battle of Tolosa* also reveals an interest in the decline of Al-Andalus, but, in this case, since the story is set in 1212, the symbol of the fall of Muslim power is not Granada, but the fortified palace-city of Medina Azahara, the capital of the Caliphate of Cordova in the tenth century. The marginal presence of Medina Azahara in British texts can by no means be comparable to the enormous popularity of the Alhambra of Granada among Romantic travellers and writers. According to one of the endnotes, the poet’s knowledge of Medina Azahara is based on Bigland’s *History of Spain* (1810: 118-122), which, as discussed above, also provided him with information regarding the Battle of Las

³ Leaving aside the highly influential analysis of Western representations of the East provided by Edward Said’s *Orientalism* (1978), the concept of Oriental despotism has been examined and re-examined over the last decades by numerous scholars, such as Grosrichard (1998), Rubiés (2005), Curtis (2009), or Tzoref-Ashkenazi (2013), among others.

Navas de Tolosa. In this endnote, the anonymous author underlines the “regal felicity” of Abd-ar-Rahman III (ca. 890-961) and the lavishness of his palace, which is compared to the “splendid and luxurious wonders of the Arabian Nights” (73-74). However, Medina Azahara was sacked and destroyed in the early eleventh century, and its ruins are presented by the poet as the vestige of the lost splendour of the reign of Abd-ar-Rahman III:

Oh! Mark the relics of her former state,
The mute, but mournful eloquence of fate! –
(...)
‘Behold the empty glories of a King,
And all that luxury and pow’r can bring,
When Abdalrahman’s bright and mighty sphere
Of fame and empire has concluded here!
The marble Zehra weeps her sov’reigns’ doom,
And views at one a palace and a tomb!
While shades of pleasure flit along the walls,
The winds of heav’n are howling through her halls!
Pomp, splendour, joy! – and these, alas! are fled!
It seems the silent desert of the dead! (12-14)

The contrast between the current emptiness, shadows, and silence of Medina Azahara contrasts with its former luxury, brightness, and magnificence. The comparison of the palace with a tomb, which is later on repeated in the description of Hassan’s castle and his servants (35; see above), does not only refer to the end of the Caliphate of Cordoba and its disintegration into smaller kingdoms, but also seems to anticipate the doom of Muslim Iberia: the carnage of Las Navas de Tolosa in 1212 and the eventual fall of Granada in 1492. The ruins of Medina Azahara thus represent the slow but gradual and inevitable decay of a civilization portrayed by the author as the alien and illegitimate inhabitants of a space which they had conquered and from which they were to be expelled.

4. ‘OH LAND OF HEROES’: OF SPANISH WARRIORS AND PATRIOTS

Although the Battle of Las Navas de Tolosa was not a popular theme in British literature, wars and conflicts were frequently chosen by British Romantic writers as the settings for their fictional representations of Spain. Whether the opponents were the Romans and the Celtiberians, the Christians and the Moors, or the Spanish patriots and the French Napoleonic troops, for centuries the Iberian Peninsula had been an arena of struggle which British Romantic authors exploited successfully in their works. As Saglia points out, “either directly or

indirectly, the ways in which Spain was narrated by the British Romantics owed much to the general perception of this nation as a conflictive area” (2000: 19). These conflicts are frequently presented as a fight between Spanish patriots against foreign invaders, as in the last lines of *Don Juan; or the Battle of Tolosa*:

No fond ambition drew the patriot blade,
 No idle quarrel born to rise and fade;
 No plot disguis'd, no lust of regal sway –
 Spain fought for empire and for life that day:
 Vengeance was hers on a usurping foe,
 Justice implor'd, a people struck the blow,
 And hallow'd be each Spanish warrior's grave;
 Full o'er the sod its native olive wave,
 Where numbers, might, and fiery zeal were vain,
 And Freedom seal'd the liberty of Spain. (63)

These lines refer to the warriors of the Christian coalition who defeated the Muslim forces in Las Navas de Tolosa in 1212, but, since they contain no reference to the medieval setting of the poem, they could have been perfectly applied to the Spaniards who resisted against Napoleon. In fact, the poet's insistence on the recovery of their freedom and independence implicitly connects the poem with the recent events of the Peninsular War, which is precisely known as *Guerra de la Independencia* in Spanish historiography. The parallelism between the anti-Napoleonic campaigns and the *reconquista*, which obviously lies on the fact that both conflicts have been traditionally interpreted as struggles against foreign aggression, is reinforced by other elements in the poem. A connection between the Battle of Las Navas de Tolosa and the context in which the text was produced is established through the “Elegy” for the fallen in Waterloo, which is included at the end of the volume of *Don Juan; or the Battle of Tolosa*, just after the endnotes (79-88). As it is well known, in the Battle of Waterloo (1815), the French army, led by Napoleon himself, was defeated by the coalition under the command of the Duke of Wellington. This battle brought Napoleon's power to an end and confirmed the military supremacy of Britain, which had been already attested in their providential involvement in the Peninsular War. Therefore, with the inclusion of this “Elegy”, which celebrates the British victory after an epic battle, the poet somehow connects the Napoleonic Wars with the medieval conflicts between the Christians and the Moors in the Iberian Peninsula, all of which are interpreted by the poet as struggles between patriotic freedom fighters against foreign usurpers.

Furthermore, throughout the text of *Don Juan; or the Battle of Tolosa*, there are other signs that evoke the events of the Peninsular War. This is the case of

the names of the battles. Apart from the battle of 1212, there is another Battle of Tolosa in the history of Spain, which took place near the town of Tolosa (Navarre, Spain) on 25 June 1813, just four days after the Battle of Vitoria. In the battle of 1813, the Anglo-Spanish forces tried to intercept the defeated French troops in their retreat and, even though they did not succeed in their initial aim, the withdrawal of the Napoleonic army minimized the French presence in Northern Spain. Moreover, the Peninsular War featured another Battle of *Tolosa*: the Battle of Toulouse, which was fought on 10 April 1814 and put an end to the Peninsular War. The French city of Toulouse, which gave its name to the battle, was known in Spanish as *Tolosa*, so the title of the poem indirectly echoes this battle as well. In addition, the author of *Don Juan; or the Battle of Tolosa* refers to the Battle of Uclés, in which the sword of Pelayo was taken by the Muslim troops (45, 78). This Battle of Uclés took place in 1108 near Uclés (Cuenca, Spain), where the Christian forces led by Alphonso VI of León were crushed by the Moors. In like manner, seven centuries later and within the context of the Peninsular War, there was another Battle of Uclés which resulted in a tremendous defeat for the Spanish troops under the command of Francisco Javier Venegas. In the words of Cayuela Fernández and Gallego Palomares (2008: 184), this battle was “una verdadera catástrofe”—a real catastrophe—since thousands of Spanish soldiers were either killed or captured, and the remnants of the Spanish army had to retreat to Andalusia. The echoes of these homonymous battles contribute to trace a series of links between the past and the present which suggest that the history of Spain tends to repeat itself.

Nevertheless, the parallelism between the events in the 1808-1814 period and the *reconquista* was not an original contribution of the anonymous author of *Don Juan; or the Battle of Tolosa*. On the contrary, it was recurrently exploited in English texts since the outbreak of the Peninsular War. In particular, British Romantic writers focused their attention on the Muslim invasion of the Iberian Peninsula in 711 and the legend of Don Roderick, the last Visigothic King of Hispania. According to the traditional story, Don Roderick raped Florinda, the daughter of Don Julian, Count of Ceuta. Don Julian took revenge on Don Roderick and assisted the Moorish commanders in their invasion of the Iberian Peninsula. The presence of the Roderick theme in British Romanticism, which has been analysed by Saglia (1999; 2000: 76-115) and Valladares (2012), among others, is best reflected in Walter Scott's *The Vision of Don Roderick* (1811), Walter Savage Landor's *Count Julian* (1812), and Robert Southey's *Roderick, the Last of the Goths* (1814), all of them composed in the years of the Peninsular War. Apart from these three retellings, the legend of Don Roderick is also alluded in Byron's *Childe Harold's Pilgrimage* (l.35) and is the subject chosen by other

minor British poets, a fact that reveals that it was a particularly fruitful theme in British Romanticism. In addition, the so-called *reconquista* was evoked and recreated in Spain during the Peninsular War too. As stated by Freire López (2015: 43), the parallelisms between the Moorish and the Napoleonic invasions were present in the Spanish collective imaginary since the outbreak of the 1808 conflict. In fact, Freire López explains that old Spanish plays featuring the exploits and victories of the *reconquista* were staged throughout the war years in order to promote the patriotism of the Spanish people (Freire López 2013: 164; 2015: 43-51). Consequently, the implicit or explicit connections between these two moments in history were recurrently established both in Britain and Spain during the war years.

Moreover, the analogy between these past and present events was not simply based on the invasions themselves, but also in the reaction of the native inhabitants of the Peninsula. The literary works about Spanish affairs published in Britain during the Peninsular War and its aftermath tend to underline the heroism and patriotism shown by the Spanish people throughout time. *Don Juan; or the Battle of Tolosa* certainly emphasizes these aspects as well by displaying a catalogue of fictional, historical, and semi-legendary heroic characters. Hence, the anonymous author highlights Inez's moral strength and firm resolution to protect her virtue. Her stamina is paralleled by that of her lover, Don Juan, who is described as a brave and bold warrior as well as a proud and haughty knight. In fact, Don Juan's honour features prominently in the episodes in which he remains a prisoner in Hassan's castle. His refusal to talk to him is reproached by Hassan by saying:

No word, Don Juan? Learn then, haughty boy,
That ev'n thy pride is poison'd with alloy! –
Thy stubborn pride shall melt, as Hassan cries,
Thy love, thy lady, Inez is my prize! (26)

This emphasis on Don Juan's pride is connected with the stereotypical representations of Castilians and Spaniards as proud individuals who were excessively concerned about issues connected with honour and nobility. This perception spread throughout Europe in the early modern period and was perpetuated by French enlightened thinkers (Iarocci 2006: 16; Lucena Giraldo 2006: 221, 224). These ideas are evoked in the depiction of Don Juan, but the hero's dignity and self-respect are essentially praised as positive traits of his character. Similarly, the leaders of the Christian coalition are presented in a very positive light. The firm courage and desperate fearlessness shown by Alphonso VIII of Castile, Sancho VII of Navarre, and the Archbishop of Toledo, Rodrigo Jiménez de Rada, are enthusiastically celebrated in the poem:

Navarre's bold King, undaunted at their host,
 With desperate charge attempts their monarch's post;
 Though foil'd, and foil'd again, he still returns,
 His ardent soul with noble fury burns.
 Moor falls on Moor; another comes in vain,
 In blood and horror, he hath burst their chain! –
 Where in the midst their bravest legions bleed,
 Behold Alphonso earn the warrior's meed:
 With ceaseless blows his gleaming faulchion falls,
 His arm strews death, his dreadful brow appals! –
 Unmindful of his person; hand to hand
 He meets th' invaders of his native land:
 Blood streams around him; foot by foot they yield,
 And desolating carnage dyes in the field! –
 The brave Rodrigo, fighting by his side,
 Hath mown a fearful passage, read and wide! – (56-57)

The epic nature of the battle is foregrounded to the point that it acquires a legendary dimension. The night before the battle, Don Juan has a vision in which he sees King Pelayo as if he were a celestial being or a saint. As the following excerpt shows, in the vision, the Asturian leader addresses Don Juan and gives him his sword:

A glorious vision bursts upon his sight,
 Celestial splendor takes the place of night; –
 He sees Pelagius arm'd, in gallant youth,
 Kneeling in pray'r before the cross of truth;
 A sacred halo plays around his head,
 And legions of the blest around him spread:
 Seraphs and saints, with golden harps, on high,
 Fill all the air with solemn harmony!
 A voice, at which 'tis hush'd, sublime and deep
 As rolling thunder, yet as soft as sleep,
 Bids the great King extend the sword of fame,
 To add new glory to a warrior's name!
 Pelagius rises; and to Juan's hand,
 With solemn air, entrusts the mighty brand! –
 'For Christ, St James, and Spain, this faulchion take,
 Be bold in faith, remember, and awake! (39)

Therefore, Don Juan becomes the chosen one, the hero who deserves to carry the magical sword of the first King of Spain and first victorious leader of the *reconquista*. Pelayo's sword plays a major role in the poem and is portrayed as a sort of talisman or even relic which eventually leads the Christian troops to the victory. The poet's emphasis on the magical attributes of the sword are somehow

reminiscent of chivalric romances and, especially, of the Arthurian tradition. This connection is explicitly established in one of the endnotes, in which the anonymous author explains who Pelayo was and compares him with King Arthur:

Pelagius was a King of Spain who gave the first blow to Moorish power, and planted the first germ of Spanish independence: he is a favourite hero with the Spaniards, and many romances have been written about him (like our own King Arthur, himself was not less renowned that his sword Excalibar [sic]): to serve the purposes of poetical interest, I have ventured to charm his sword. (77)

This comparison is a clear instance of cultural adaptation or domestication, in which the Spanish tradition is interpreted and even reformulated through its assimilation with the British legend of King Arthur. The readers of *Don Juan; or the Battle of Tolosa* must have been better acquainted with the Arthurian tradition than with the heroic deeds of the eighth-century Asturian King, although Pelayo was not a completely unfamiliar figure for the British reading public. As Laspra Rodríguez has recently examined (2015), although the Roderick theme received a higher degree of attention, the presence of Pelayo is also a conspicuous one in some of the texts written by canonical authors such as Southey or Wordsworth. Southey portrays Pelayo as the hope of the Spanish nation in the aforementioned *Roderick, the Last of the Goths* (1814) and Wordsworth started the composition of a poem devoted to Pelayo after knowing about the French invasion of 1808. However, Wordsworth's poem, which starts "A few bold patriots, reliques of the fight", remained unfinished and, consequently, unpublished. Furthermore, the legend of Pelayo was extensively re-elaborated by other French, Italian, Portuguese, and North American writers in the Romantic period, as the studies edited by Coletes Blanco (2015) thoroughly explore. Therefore, Pelayo's presence in *Don Juan; or the Battle of Tolosa* is part of a transnational interest in Spain, its legendary past, and the connections that it may have with its present crisis.

5. CONCLUSION

As the preceding analysis reveals, *Don Juan; or the Battle of Tolosa* reconstructs a particular episode of the so-called *reconquista* by combining both history and romance. The anonymous author follows the traditional accounts of the battle and adopts a clearly pro-Christian attitude by portraying the conflict as a fight between the *Spanish* legitimate inhabitants of Iberia and the Moorish invaders. Although the poem participates in the Romantic vogue for Spanish-Moorish themes and its interest in the decline of Al-Andalus, the author does certainly dissociate Muslim Iberia from the Spanish national identity. Moreover,

the insistence on the recovery of the freedom of Spain and the emphasis on the heroic character of the Spanish people establish an implicit connection between the Battle of Las Navas de Tolosa and the campaigns of the Peninsular War. Hence, past and present, facts and fiction converge in this poem so as to perpetuate the Romantic image of Spain that prevailed in British print culture in the first decades of the nineteenth century.

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ON THE APPLICABILITY OF THE DICTIONARIES OF OLD ENGLISH TO LINGUISTIC RESEARCH¹

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ABSTRACT. *The aim of this article is to review the standard dictionaries of Old English from the perspective of the evolution from traditional lexicography to electronic lexicography. An Anglo-Saxon Dictionary (Bosworth and Toller 1973), The student's Dictionary of Anglo-Saxon (Sweet 1976), A Concise Anglo-Saxon Dictionary (Hall 1996) and The Dictionary of Old English in Electronic Form A-G (Healey et al. 2008) are discussed with respect to headword, alternative spellings and cross-references, vowel quantity and textual evidence.*

Keywords: Lexicography, electronic lexicography, Old English, dictionary.

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SOBRE LA APLICABILIDAD DE LOS DICCIONARIOS DEL INGLÉS ANTIGUO A LA INVESTIGACIÓN LINGÜÍSTICA

RESUMEN. *El objetivo de este artículo es discutir la aplicabilidad de la información filológica proporcionada por los diccionarios de inglés antiguo a la investigación lingüística, entre los cuales se incluyen An Anglo-Saxon Dictionary, The student's Dictionary of Anglo-Saxon, A Concise Anglo-Saxon Dictionary y The Dictionary of Old English in Electronic Form A-G. El análisis gira en torno a los siguientes aspectos de los diccionarios bajo estudio: morfología, sintaxis y semántica (definición de significado y etimología). Las conclusiones insisten en los aspectos lingüísticos que no son compatibles o que pueden ser mejorados para satisfacer algunos estándares de la teoría lingüística moderna.*

Palabras clave: Lingüística histórica, inglés antiguo, lexicografía, morfología, sintaxis, semántica.

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1. INTRODUCTION

This article deals with the lexicography of Old English. To be more precise, it engages in the development from traditional to electronic lexicography as witnessed by the most representative dictionaries in the field of Anglo-Saxon studies.

Hanks (2012: 59-60) distinguishes four types of dictionaries: dictionaries of current usage for native speakers, bilingual dictionaries, dictionaries for foreign learners, and scholarly dictionaries on historical principles, the category to which dictionaries of Old English clearly belong. In the last two decades, two trends have become increasingly common to the edition of these four types of dictionaries, corpus compilation and computational processing. On corpus compilation, Granger and Paquot (2012: 15-16) remark that “for some time, lexicographers have been struggling with the constraints of print: with access to powerful corpus-querying software applied to billion-word corpora, we have the tools (and the data) to provide a fuller and more systematic account of how language works”. Regarding computing, Kilgarriff and Kosem (2012: 31) state that with the advance of computer technology “compiling and storing corpora has become faster and easier, so corpora tend to be much larger than previous ones”. At the same time, the reduction in the price of computers has contributed to the compilation of larger and more representative corpora. In Granger and Paquot's (2012: 18-19) words, “quite suddenly, a number of factors combined to make it

possible, at relatively low cost, to collect, annotate, and store corpora measured in billions of words rather than millions". In order to explain the development of electronic lexicography, a third factor should be added to the development of corpus linguistics and the generalisation of computers, to wit, the spread of the Internet and the design of the hypertext and mark-up language protocols, which allow lexicographers not only to publish their products online but also to provide them with search options that turn the lexicographical work into a multifunctional database. According to Tarp (2012: 107) "printed dictionaries will be published for a long period ahead but, at the same time, it is no secret that the electronic medium is gaining still more ground and will gradually overtake and outshine paper as the preferred platform".

Given this background, the aim of this article is to discuss the advances in the lexicography of Old English from the angle of the evolution from traditional to electronic lexicography. The scope of the article comprises the most authoritative lexicographical sources in Anglo-Saxon studies: *An Anglo-Saxon Dictionary*, hereafter Bosworth-Toller or BT, (Bosworth and Toller 1973), *The student's Dictionary of Anglo-Saxon*, henceforth Sweet, (Sweet 1976), *A Concise Anglo-Saxon Dictionary*, hereafter Hall-Merritt, (Hall 1996), and *The Dictionary of Old English in Electronic Form A-G*, henceforth DOE, (Healey *et al.* 2008).² The discussion that follows includes the updates of the dictionaries when available, that is to say, the *Supplement* to Bosworth-Toller by Thomas N. Toller himself (1921) as well as the *Enlarged addenda and corrigenda* by Alistair Campbell (1972), and the revised edition of Hall-Merritt by Herbert T. Merritt (1996).

These dictionaries are witnesses to the evolution from traditional to electronic lexicography and all of them are representative of their times, from the Victorian era to the Information Society. All four constitute superb sources of philological data, considering their scope and accuracy, although remarkable differences arise between them. Sweet, Hall-Merritt and Bosworth-Toller were published at the turn of the 20th century, that is to say, they are roughly coetaneous with *The Oxford English Dictionary*, which came out between 1884 and 1928, whereas the first letters of the DOE appeared in the mid-1980s. Sweet and Hall-Merritt are more suitable for learners, whereas Bosworth-Toller and the DOE represent highly scholarly works devised for experts, as has been remarked with respect to the DOE by Fulk (2009). More to the point of this work, the DOE clearly departs company with respect to the other three dictionaries in being an electronic dictionary.

² A word of caution is necessary regarding the publication dates. In the remainder of the article, the dates in citations correspond to the editions used in this study and not to the original dates of publication. *An Anglo-Saxon Dictionary* was first published in 1898, while *The student's Dictionary of Anglo-Saxon* and *A Concise Anglo-Saxon Dictionary* came out in 1896 and 1894 respectively.

Although current lexicography relies on computing, digitisation, databases and online resources, the importance of traditional methods of investigation and the wealth of philological data compiled with such methods must be acknowledged. The different approaches that have been adopted by these dictionaries raise questions relevant not only for applied disciplines such as lexicography but also for more theoretically oriented areas of Old English scholarship, such as morphology, lexicology and syntax. In this respect, this work may contribute to the research line in the linguistics and lexicography of Old English pursued, among others, by García García (2012, 2013), Martín Arista (2012a, 2012b, 2013, 2014, 2017a, 2017b), Mateo Mendaza (2013, 2014, 2015a, 2015b, 2016), Novo Urraca (2015, 2016a, 2016b) and Veá Escarza (2012, 2013, 2014, 2015, 2016).

In order to deal with the evolution of Old English dictionary making from traditional to electronic lexicography in a systematic way, the remainder of this article is organised as follows. Section 2 gives an overview of the dictionaries under analysis. Section 3 discusses the evolution from traditional to electronic lexicography as regards the entries and lemmatisation of dictionaries, headwords, alternative spelling and cross-references, vowel length and textual evidence. A discussion of these questions follows in section 4 and, to round off the article, section 5 draws the main conclusions.

2. OVERVIEW OF THE DICTIONARIES

In the field of Old English studies, the following comments on Bosworth-Toller can be considered a general assessment of the available dictionaries:

While the Bosworth-Toller dictionary is also, without a doubt, more systematic than Bosworth's earlier work, it still suffers from some of the inconsistencies in spelling and arrangement of headwords found in Bosworth's *Compendious Dictionary*, particularly in the treatment of orthographic variants and in a consistent method of cross-referencing (...) following the *vide* back to the main entry sometimes can lead the reader on a frustratingly circuitous route. For example, at *ciele* ('cold') the reader is directed to the alternate spelling *cile*; at *cile* the reader is directed to his final destination, *cyle*. (Ellis 1993: 4-5)

Ellis (1993: 4-5), in spite of raising some issues of Bosworth-Toller, states that "the Bosworth-Toller dictionary is far superior to Bosworth's earlier work, and together with Toller's 1921 *Supplement*, this work remains the most comprehensive Old English dictionary currently available". It must be noted, however, that the three dictionaries of Old English published at the turn of the twentieth century were devised for different users. Whereas Bosworth-Toller constitutes an academic work written in the same encyclopedic tradition as the *Oxford English Dictionary*, Sweet is a dictionary for beginners and Hall-Merritt an abridged dictionary, which

is made explicit in their respective titles, *The student's Dictionary of Anglo-Saxon* and *A Concise Anglo-Saxon Dictionary*. The Sweet dictionary was edited in answer to the Clarendon Press delegates' demand to develop an abridged version of the Bosworth-Toller dictionary, as stated by Sweet (1976: vii) in his preface: "if [a dictionary-DMR] is done ideally well and on an adequate scale it is never finished – and an unfinished dictionary is worse than useless- or, if finished, is never uniform as regards materials and treatment". This is a fundamental difference with respect to Bosworth-Toller and the section that follows must be read from this perspective. As regards the DOE, this dictionary has been reviewed by authors like Koopman (1992) and Fulk (2009), who have stressed, respectively, its adequacy for the study of syntax and morphology. Overall, it constitutes a remarkable philological contribution and the reference project in the field of Old English.

3. FROM TRADITIONAL TO ELECTRONIC LEXICOGRAPHY

This analysis has been carried out through a comparative study of the four dictionaries. It must be noted that given that the DOE is still in progress, in some general comparisons, such as the number of headwords, the data searched for in the other dictionaries were also restricted to the letters A-G, although, in most cases, evidence was gathered from all four works. This said, the following subsections deal with the scope, headword spelling, alternative spellings and cross-references as well as textual evidence, with a view to explaining the evolution from traditional to electronic lexicography as reflected in Anglo-Saxon studies. This procedure has been adopted to guarantee exhaustiveness, but it has to be borne in mind that the four dictionaries provide neither the same type nor the same amount of information on these questions.

3.1. ENTRIES AND LEMMATISATION

For assessing the scope, the number of entries presented in a given range of headwords has been considered. The set of words beginning from *fe-* to *feo-* has been selected for this purpose. The selection of items has paid attention to the restricted character of the DOE in its present state. The figure of entries found between *fe-* and *feo-* is tabulated in Table 1:

Table 1. Number of headword entries per dictionary.

	Hall-Merritt	Sweet	DOE	BT
Number of entries	224	127	185	173

As shown in Table 1, Hall-Merritt stands out as the most complete dictionary of the four under comparison in quantitative terms. This simply means that Hall-Merritt presents a greater number of headwords, which does not imply that it provides more information, as some of the headwords are, in fact, inflectional forms or simply spelling variants which refer the reader to another headword by means of a cross-reference. Figure 1 offers the beginning of the segment under analysis, with the display of the headwords contained in each dictionary. It allows for a qualitative analysis of the headword distribution in each work.

Hall-Merritt	Sweet	DOE	BT
<i>fearr</i>	<i>fear</i>	<i>fearr</i>	<i>fear</i>
∅	∅	<i>fearre-mearg</i>	∅
∅	<i>fear-bryþer</i>	<i>fear-bryþer</i>	∅
∅	∅	<i>fearrlic</i>	∅
<i>feas</i>	∅	∅	∅
<i>fēasceaft</i>	∅	<i>fēasceaft</i>	<i>fēa-sceaft</i>
<i>fēasceaftig</i>	∅	<i>fēasceaftig</i>	<i>fēa-sceaftig</i>
<i>fēasceaftnes</i>	∅	<i>fēasceaftnes</i>	∅
<i>feast</i>	∅	∅	∅

Figure 1. Headword entries per dictionary (fearr-feast).

As shown in Figure 1, both Hall-Merritt and the DOE display a similar inventory of headwords, which clearly outnumber the ones proposed in the other dictionaries. However, there are significant differences between them. On the one hand, the DOE introduces three complex words based on the noun *fearr* ‘beast of burden’, which are not present in the other sources, with the only exception of *fear-bryþer* ‘bull’ which can also be found in Sweet’s dictionary. On the other hand, Hall-Merritt counts the terms *feas* and *feast* as headwords, but they are actually spelling variants of *fæs* ‘fringe, border’ and *fæst* ‘firm, secure’ respectively, and the only information displayed in these headwords is the reference to the canonical forms to which they are related.

In this respect, not only Hall-Merritt presents inconsistencies regarding lemmatisation. Ellis (1993) points out that Bosworth-Toller also shows a great degree of instability as to the elements presented as dictionary entries, although that phenomenon is not observable in the selection presented above. However, in the 16 entries found between *būend* ‘dweller’ and *bunden* ‘bound, tied’, Bosworth and Toller display 4 non-lemmatised forms, which constitute 25% of the cases in

the selection. To wit, the unlemmatised entries are *büende part.* ‘inhabiting or dwelling’, *bügende* ‘bowing, kneeling’, *bulgon* ‘made angry, were angry’ and *bunden* ‘bound, tied’. The unlemmatised entries correspond to participial forms, both present and past, but also to inflectional forms of strong verbs, such as the preterite plural of *belgan* ‘to cause oneself to swell with anger’.

3.2. HEADWORDS

Apart from the selection of headwords, perhaps the major problem addressed by a lexicographer of Old English is to determine the headword spellings that are going to define the dictionary entries. In a language where a variety of spellings are available, this task becomes crucial, for it defines the first and foremost property of the dictionary. As a general tendency, since the publication of Sweet the Early West Saxon dialect has often been considered the standard variety of Old English. Ellis (1993), in his review of the problems of Old English headword spelling, follows Wrenn (1933: 82) in acknowledging the usefulness of Sweet’s normalisation for teaching purposes. However, the system of the Sweet dictionary is not devoid of problems. Despite his attempt to obtain an idealised, normalised standard of Old English, based on the Early West Saxon dialect, problems arise in several areas. On the one hand, only three texts from the Alfredian period (late 9th - early 10th century) are available. On the other hand, the lack of diatopic and diachronic perspectives in Sweet clearly constitutes a weak point, and authors like Wrenn (1933) criticise the inconsistencies of Sweet’s approach. In this vein, Ellis (1993: 6) summarises the problem in the way presented in Figure 2:

Sweet (1871)	Sweet (1976)	Late West Saxon
<i>biscep</i>	<i>biscep</i>	<i>bisceop</i>
<i>burg</i>	<i>burg</i>	<i>burb</i>
<i>fierd</i>	<i>fierd</i>	<i>fyrð</i>
<i>all</i>	<i>eall</i>	<i>eall</i>
<i>bion</i>	<i>beon</i>	<i>beon</i>
<i>monig</i>	<i>manig</i>	<i>manig</i>

Figure 2. Headword spelling variation in *The Students’ Dictionary of Anglo-Saxon*. (adapted from Ellis 1993: 6).

Figure 2 shows some inconsistencies of the headword spelling system adopted by Sweet (1976). It compares the spellings found in the dictionary against the standards Sweet himself proposed in his *Pastoral Care* (1871) and the spelling of

Late West Saxon. As seen in Figure 2, Early West Saxon spelling is maintained in Sweet (1976) in a limited number of words. Early spellings include the use of the unpalatalised <g> and the diagraph <ie>, which is, in fact, the only property that can be exclusively attributed to the West Saxon dialect. Figure 2 reflects the fact that, despite his initial purpose, Sweet (1976) makes use of spellings which are representative of a later period.

The importance given by Sweet to Early West Saxon is related to what Wrenn (1933: 67) termed “mechanical oversystematizing”. This concept implies the lack of alternative spellings and cross-references, as well as the use of *reconstructed* headwords, which display spellings that are not attested in any word form. Thus, Sweet presents the words *ceald* and *cield* both meaning ‘cold’ as separate words rather than spelling variants of the same word.

As regards his preference for the use of the <ie> spelling, even if unattested, it turned into a rather artificial system which was followed and even increased by other authors. Holthausen’s (1963) etymological dictionary includes the word *ciecen* ‘chicken,’ which Sweet lists as *cycen*.

Other dictionaries, such as Hall-Merritt, also attempt to use Early West Saxon spelling, but they are less likely to include unattested spellings. On the opposite extreme is the DOE, which prefers the oldest attested form for its headwords, which is in most cases a late form with the spelling <y>, where Sweet and Hall-Merritt opt for <ie>.

By way of summary, Ellis (1993) provides a comparison between the different spellings of some headwords in the different dictionaries.

Figure 3 presents a comparison between the different headwords defined by the four dictionaries. The figure summarises the two main tendencies, either Early West Saxon or Late West Saxon. In this respect, the DOE, as said above, represents the most systematic approach towards the use of the latest available form, while Sweet makes use of the oldest spelling, even if the precise form is unattested (signalled with an asterisk in the figure). Hall-Merritt and Bosworth and Toller represent compromise solutions, although, again, heading to different directions. Whereas Hall-Merritt aims at using the oldest spelling, he is more conservative than Sweet and adopts modern spellings where the potential oldest form is not attested in the texts. Bosworth and Toller attempt to make use of the latest spelling, but they are more unsystematic than the DOE, although Fulk (2009: 24) also finds some shortcomings in the DOE spelling of words, such as opting for forms of individual authors, such as Ælfric rather than truly Late West Saxon forms, thus *bysmor* instead of *bysmr* ‘disgrace’.

	BT	Sweet	Hall-Merritt	DOE B-D
concubine	<i>cyfes</i>	<i>ciefes</i>	<i>cifes</i>	<i>cifes</i>
to call	<i>cigan</i>	<i>ciegan</i>	<i>ciegan</i>	<i>cigan</i>
cold	<i>cyle</i>	<i>ciele</i>	<i>ciele</i>	<i>cyle</i>
merchant	<i>cypa</i>	<i>ciepa</i>	<i>ciepa</i>	<i>cypa</i>
onion	<i>cipe</i>	<i>ciepe</i>	<i>cipe</i>	<i>cipe</i>
a shout	<i>cirm</i>	<i>*cierm</i>	<i>cirm</i>	<i>cirm</i>
to turn	<i>cyrran</i>	<i>cierran</i>	<i>cierran</i>	<i>cyrran</i>
fastidious	<i>cies</i>	<i>*cies</i>	<i>cis</i>	<i>cies</i>
cheese	<i>cyse</i>	<i>*ciese</i>	<i>cyse</i>	<i>cyse</i>
coffin	<i>cyst</i>	<i>*ciest</i>	<i>cist</i>	<i>cist</i>
kettle	<i>cytel</i>	<i>*cietel</i>	<i>citel</i>	<i>cytel</i>
to kill	<i>dydan</i>	<i>*diedan</i>	<i>dydan</i>	<i>dydan</i>
to dip	<i>dufan</i>	<i>*diefan</i>	<i>dyfan</i>	<i>dyfan</i>
hidden	<i>digol</i>	<i>diegle</i>	<i>diegol</i>	<i>digol</i>
to dip	<i>dyppan</i>	<i>*diepan</i>	<i>dyppan</i>	<i>dyppan</i>
to conceal	<i>dyrnan</i>	<i>diernan</i>	<i>diernan</i>	<i>dyrnan</i>

Figure 3. Headword spelling comparison among dictionaries
(adapted from Ellis 1993: 8-9).

Differences can also be observed between Bosworth-Toller and the first dictionary by Bosworth. As has already been mentioned, Bosworth did not intend any kind of prescriptivism when compiling the *Compendious Anglo-Saxon Dictionary* (1848) and this is reflected in a series of inconsistencies in the spellings selected, where forms include spellings with <e>, <i>, <y>, which correspond to different periods of the West Saxon dialect.

Leaving aside the question of spelling, there are other features affecting the headwords where the dictionaries reflect a diversity of approaches. While most dictionaries, with the exception of the thesauri (like *A Thesaurus of Old English* and *Historical Thesaurus of the Oxford English Dictionary*) and some etymological works, are organised alphabetically, Sweet, includes an innovative mixed system. Whenever a word functions as base of derivation or part of a compound, the resulting complex words are listed immediately after it, thus breaking the alphabetical order, which is resumed once the derivational paradigm of the word in question is completed. Consider the case in (1) where the headwords *sc̅ir* (f.) and *sc̅ir* (adj.) are non-consecutive entries:

- (1) **Scīr** *f.* office, administration; district, shire, diocese, parish.
 ~ **biscop** *m.* bishop of a diocese.
 ~ **lett** *n.* piece *or* measure of land.
 ~ **(e)mann, scīrig-** *m.* official, steward; procurator; native of a district.
 ~ **gemot** *n.* shire-mote
 ~ **gerefa** *m.* judicial president of a shire, sheriff.
 ~ **gesceatt** *n.* property of a see
 ~ **geþegen** *m.* thane of shire
(e)wita *m.* chief man of shire.
scīr transparent, clear (weather); bright, glittering, white, brilliant; pure (wine); clear (voice); splendid.
 ~ **baso** bright purple.
 ~ **e** *av.* Brightly; clearly (*of* voice).
 ~ **ecg** bright-edged.
 ~ **ham** in bright armour.
 ~ **mæled** with bright ornaments (sword)
 ~ **wered** bright (light)
scīran declare, tell, speak...

As can be seen in example (1) the expected alphabetical order is interrupted to include the lexical family of the noun *scīr* before the adjective *scīr*, and the same holds true for the derivatives of the adjective, which are displayed before the verb *scīran*.

3.3. ALTERNATIVE SPELLING AND CROSS-REFERENCES

Closely related to the definition of headwords is the question of spelling. Old English was not stable at any linguistic level, as would be the case with any language from which a time span of 500 years was analysed. One of the levels that are not stable is spelling, as shown by the Present-Day English word *Thames* whose evolution, as presented in the *Oxford English Dictionary*, is shown in (2):

- (2) *Temes – Temese*
Temze – Temeze (Tamise)
Temys – Temmes(se) – Themes – Themys – Themise – Thamyse – Thamise
Thames

As exemplified by this kind of variation, the spelling information available from an Old English dictionary is a key element. Diatopic and diachronic variation constitute pressing issues for the lexicography of Old English. When several spellings can be proposed for a given form, decisions have to be made regarding which lexeme is going to be considered as canonical and which ones are to be treated as alternative forms of the word. The dictionaries under analysis also

show differences in this respect, as presented in Figure 4. The canonical element is indicated under <C> whereas the alternative forms are displayed under <A>:

Hall-Merritt		Sweet		DOE		BT	
C	A	C	A	C	A	C	A
<i>fabnian</i>	<i>fægnian</i>	<i>fægenian</i>	<i>fabnian</i> , <i>fægnian</i>	<i>fabnian</i>	<i>fægnian</i>	<i>fægnian</i>	<i>fagnian</i> , <i>fægnigan</i> , <i>fægenian</i>

Figure 4. Canonical and alternative spellings.

As is the case with headword organisation, the treatment of variant spellings is inconsistent and causes circularity. Consider the examples in (3), taken from Hall-Merritt:

- (3) a. *ābugan* (=on-) ‘bow, incline, bend, submit’
onbugan ‘to bend; bow, submit, yield to’
- b. *onbyhtscealc* = *ambibtscealc*
ambibtscealc ‘functionary, retainer’
- c. *oncierran* (e, i, y)
oncigan (ei = ie)

As (3) shows, Hall-Merritt is inconsistent in the treatment of spelling variation. Example (3a) shows that the author acknowledges the fact that *ā-* and *on-* are variant forms of the same prefix. In spite of giving that information in the entry for *ābugan*, Hall-Merritt creates another headword, *onbugan*. However, in the latter headword, no information is given on alternative spellings of the prefix. In both cases, a translation of the terms is included. In this respect, it should be remarked that the translations are not identical. In (3b), however, Hall-Merritt identifies two alternative spellings and refers the reader to the second term. As in the previous case, the reference to the variation is unidirectional. No reference to the form *on-* is made under the headword *ambibtscealc*. Finally, (3c) evidences inconsistencies as regards the choice of a standard form for the headwords. This example comprises two consecutive headwords of the dictionary. In the first case, the selected spelling for the headword is the diphthong *-ie-*, which displays the alternative forms *-e-*, *-i-* and *-y-*. The following word, however, is presented with the canonical form *-i-* for which an alternative *-ie-* form is attested.

3.4. VOWEL QUANTITY

A further distinction among the dictionaries under scrutiny has to do with the treatment of vocalic quantity. Old English had seven simple vowels and four diphthongs, with their corresponding long variants, as presented in (4):

- (4) Short vowels: /i/ - /e/ - /æ/ - /o/ - /u/ - /a/ - /y/
 Long vowels: /ī/ - /ē/ - /ǣ/ - /ō/ - /ū/ - /ā/ - /ȳ/
 Short diphthongs: /ei/ - /io/ - /ea/ - /eo/
 Long diphthongs: /ēi/ - /īo/ - /ēa/ - /ēo/

However, this phonological distinction is not signalled in the original texts. Rather, it constitutes a feature of modern editions and, as such, adopted in various ways by different authors. Vowel quantity in Old English is distinctive because different vocalic length implies a difference in meaning, as shown in (5):

- (5) *bær* 'bare, naked, unclothed' vs. *bǣr* 'a bier, handbarrow, litter'

Hall-Merritt and Sweet include information on vocalic quantity, and indicate vocalic length by means of a macron (ˉ) placed upon the long vowel or upon the first element of a long diphthong. The DOE also accounts for vocalic quantity in their headwords while, following the original texts, it does not mark it in the textual material included under the headword. Bosworth-Toller, on their part, make use of the diacritic (˘) with an ambiguous meaning. It sometimes denotes vocalic length while it shows stress position in other cases, especially when distinguishing derivatives from compounds. Consider (6) as an illustration:

- (6) *bær* 'bare, naked, open' vs. *bǣr* 'a bier, *feretrum*'
fōr-tācen 'a fore-token' vs. *for-tēab* 'misled, seduced'

This unsystematic use of the symbol (˘) causes some problems when looking up a given word. On the one hand, this dictionary does not always include this information and, on the other hand, the information available may lead to misunderstandings regarding the position of the stress in the word, as we can see in example (7) where a comparison between the four dictionaries is made:

- (7) BT: *candel-leóbt*.
 SW: *candel-leobt*.
 CH: *candel-lēobt*
 DOE: *candel-lēobt*

As can be seen in example (7), if the diacritic shows word stress, it is wrongly placed, as compounds in Old English are regularly stressed on the first element. If we consider it as a vowel quantity marker, there is a conflict with Sweet's (1976) proposal, while showing agreement with the other two works in the comparison. This point is also confirmed by the treatment given to this word in other sources.

In the DOE, searches can be carried out disregarding vowel length and making use of the short vowel, in such a way that the query results include forms with both long and short vowels.

3.5. TEXTUAL EVIDENCE

The final aspect of comparison is the treatment of the textual evidence that supports the inclusion of a given headword or form in the dictionary.

Again, Sweet does not provide the reader with that information. Hall-Merritt includes the acronym of the text in which the form is attested at the end of each entry, as in (8):

- (8) **niðerhrēosende** (ȳ) *falling down*, Æ.

Bosworth-Toller and the DOE are the two dictionaries that best illustrate dictionary entries with textual evidence. Bosworth-Toller includes, along with the references to the textual sources, citations, as is illustrated in (9):

- (9) **BROC**, es; m.? A brock, badger; taxo = tassus [tasso *It*: taison *Fr.*], meles:- Broc *taxo* vel *melus*, Wrt. Voc. 22, 53. Sum fyðerfēte nȳten is, ðæt we nemnaþ taxonem, ðæt ys broc on Englisc *there is a four-footed animal, which we name taxonem, that is brock in English*, Med/ ex Quadr. 1, 2: Lchdm. i. 326, 12 [Wȳc. brok: *Laym.* brockes, *pl*: *Dan.* brok: *Icel.* brokkr, *m*: *Wel.* *Corn.* broch: *IR.* broc, *m*: *Gæl.* broc, bruc, *m*: *Manx* broc, *m*: *Armor.* broc'h, *m*].

The DOE follows a similar structure, but includes a textual reference not only for the headword, but also for each of the attested spelling, thus providing the reader with more detailed and accurate information. This can be seen in (10).

- (10) **earm-bēag**
 Noun (m., cl. 1)
 Att. sp.: earmbeag, earmbeah | ermboeg || armbages (m. nom. pl., WerdGIA)
 || earmbeaga
 6 occ. (in glosses and Beo)
 arm-band, bracelet
Beo 2756: geseah ða sigehreðig ... maððumsigla fealo, gold glitnian grunde getenge, wundur on wealle ... þær wæs helm monig eald ond omig, **earmbeaga** fela searvum gesæled.
HIGl D410: *dextrocerium .i. brachiale, armillum earmbeag*.
AntGl 6 791: *dextrochirium brad earmbeah*.
CollGl 11 24: *dextrocerium earmbeag*.
LdGl 19.43: *armilla ermboeg*.
WerdGIA 4.29: *dextralia armbages*.
 Lat. equiv. in MS: armilla, armillum, brachiale, dextrale; dextrocherium = (*brad*) *earmbeag*
 See also: earm noun, bēag; cf. earm-gegyrela, -hrēad.

As (10) shows, the DOE is the only dictionary of Old English that gives the information on the textual frequency of the lemma. This is the result of the incorporation of a corpus of reference to the project. Given that the data are exhaustive, it is also possible to determine if a word occurs in prose, poetry or glosses. This is done by through the links to the texts of the citations, which contain information similar to the one displayed in (11), which corresponds to the link **HIGI** in (10) and includes the metadata of the text (at least, title, author/ editor, year and pages).

- (11) HIGI (Oliphant)D16.1
 Latin-Old English Glossaries: Oliphant, 1966 21-208, corrected from MS; Oliphant, R.T., The Harley Latin-Old English Glossary, *Janua linguarum, series practica* 20 (The Hague); with corrections by Schabram, 1968; Schabram, H., Review of Robert T. Oliphant, The Harley Latin-Old English Glossary in *Anglia* 86: 495-500, and Voss, 1989; Voss, Manfred, 'Quinns Edition der kleineren Cleopatraglossare: Corrigenda und Addenda,' *Arbeiten aus Anglistik und Amerikanistik* 14: 127-39.

The hypertext links also relate the lemma to the two free forms identifiable in the compound (*earm* and *bēag*), as well as to other compounds of *earm*, thus providing some hints on the word-formation processes relevant for the word in question. Last but not least, the DOE is clearly superior to previous works not only as to the amount of textual information but, above all, as to the relation established between meanings and morphosyntactic patterns. For instance, the entry to *ā-būgan* describes this verb as appearing in, among others, constructions with inanimate subject and genitive of person ('to bow'); participial constructions ('inclined') and with dative of person ('to turn far from; 'to submit to'),

4. DISCUSSION

As far as the features common to the four dictionaries are concerned, all of them are similar in trying to present "headword spellings as they are most commonly found in Old English texts" (Ellis 1993: 5). In practice, this means that they are more focused on the West Saxon variety of Old English than on the other varieties, as grammars in general do, due to the scarcity of the linguistic evidence from other dialects in comparison to West Saxon (thus Campbell 1987; Hogg 1992; Quirk and Wrenn 1994; Hogg and Fulck 2011). For this reason, the DOE represents the spelling of late texts, most of which are written in West Saxon. Although these dictionaries are geared towards West Saxon, they also account for the records written in the other dialects.

On the side of differences, the dictionaries at stake differ in terms of textual material, format, organization and degree of exhaustivity. The major difference,

and a clear advantage, of the DOE with respect to the other dictionaries, is the textual material on which it is based. As a part of the DOE project, the *Dictionary of Old English Corpus* was compiled and has been regularly updated. The 2004 version comprises around three thousand texts and three million words and includes at least one version of the written records of Old English. On the basis of all the available evidence, the DOE clearly achieves more comprehensiveness and more accuracy than the other works, which still remain fundamental sources of Old English scholarship.

Leaving aside the question of scope raised above, Sweet has a clear advantage over the others in the fact that it is the only dictionary that arranges entries not only alphabetically but also by word family. All dictionaries reviewed in this paper are complete, with the exception of the DOE which, as its title indicates, has reached the letter G. With the exception of Bosworth-Toller, which does not always lemmatise, thus including numerous inflected forms as headwords (typically past participles or irregular forms), all dictionaries lemmatise, thus unifying all inflectional forms under the corresponding lemma headword. It is worth noting in this respect that the DOE includes the infinitive and the past participle of verbs on a regular basis. Numerous differences arise that are related to alternative spellings. Sweet contains fewer spelling alternants and fewer inconsistencies and circularities in this respect.

All dictionaries, except the DOE, which is accessible and searchable online, have been published in paper. An online version of Bosworth-Toller is available at <http://bosworth.ff.cuni.cz> but its functionalities are not comparable to those of the DOE. While there are also digitalised versions of Sweet and Hall-Merritt, they do not differ with respect to the paper version. Online publication makes a radical distinction with respect to paper. The product can be revised, refined and, above all, standardised throughout the project. It can also be enlarged by means of additional supplementary files and its users can suggest general improvements or point out minor flaws. Finally, through hypertext links (headwords and cross-references), the DOE allows its users to search the dictionary database and the 3 million word corpus with a web browser, both locally or online. While dictionaries in paper format must be checked manually, electronic dictionaries like the DOE can be consulted through several search options. These include the search by headword and within a given headword, but searches involving several headwords cannot be launched.

The DOE, with its database format, online access, search options, hypertext links and electronic distribution (compatible with constant revision), as well as its corpus of reference, not only incorporates the latest trends in electronic

lexicography but is also compatible with the standards of current work in corpus linguistics. Moreover, the exhaustivity of meaning definitions and morphosyntactic patterns, and the accuracy of the relation between meanings and forms make the DOE compatible with up-to-date linguistic research.

5. CONCLUSION

It could be debatable that lexicographical works published in a time span longer than a century are comparable at all. Moreover, contributions with different scope -a student's dictionary, a concise dictionary and two scholarly dictionaries- have been assessed as to the same standards. These considerations must guide the overall conclusion of this research because, while the DOE stands out as the most comprehensive work, this dictionary has benefited from a longer lexicographical tradition, a fully developed linguistic science and all the advances of the digital society. Furthermore, as a scholar no less than Henry Sweet (1976: vii) put it, "an unfinished dictionary is worse than useless". Leaving aside this question, BT deserves praise for its comprehensiveness, its treatment of irregularities and its etymological information; Sweet for its accuracy and lexical organisation; and Hall-Merritt for its balanced as well as consistent headword spelling. All in all, the DOE represents a remarkable contribution because, by fully conforming to the standards of electronic lexicography, has a corpus of reference, database format, online access, search options, hypertext links and electronic distribution (compatible with constant revision).

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THE USE OF POLITICAL CARTOONS DURING POPULAR PROTESTS: THE CASE OF THE 2011 TUNISIAN UPRISING

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ABSTRACT. *This study investigates the use of political cartoons in the Tunisian context during its transitory phase in the aftermath of the 2011 uprising. It explores how political cartoons were used to critically reflect the socioeconomic and geopolitical conditions in Tunisia at that time. Additionally, it analyzes the predominant themes of Tunisian political cartoons during the transitory phase. To address these two research questions, this study uses a qualitative approach to analyze selected samples of political cartoons focusing on textual and graphic elements. The methodology adopted in this paper also employs textual analysis drawing upon semiotic theory addressing the framing of pictures, systems of signs, and visual aspects and modes of presentation.*

Keywords: Political cartoons, media discourse, graphic text, visual representation, Tunisian uprising, Arab Spring.

EL USO DE CARICATURAS POLÍTICAS DURANTE LAS PROTESTAS POPULARES: EL CASO DEL LEVANTAMIENTO TUNECINO DE 2011

RESUMEN. *Este estudio investiga el uso de las caricaturas políticas en el contexto tunecino durante la fase transitoria que siguió al levantamiento popular de 2011. Explora cómo se utilizaron estas caricaturas para reflejar de forma crítica las condiciones socioeconómicas y geopolíticas en Túnez en ese momento. Además, analiza los temas predominantes en dichas caricaturas políticas durante esa etapa transitoria. Estas dos cuestiones de investigación se abordan mediante un enfoque cualitativo que permite analizar muestras seleccionadas de caricaturas políticas centrándose en elementos textuales y gráficos. La metodología adoptada en este artículo también recurre al análisis textual de la teoría semiótica abordando la enmarcación de imágenes, sistemas de signos, y aspectos visuales y modos de presentación.*

Palabras clave: Caricaturas políticas, discurso mediático, textos gráfico, representación visual, levantamiento tunecino, primavera árabe.

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1. INTRODUCTION

Comics and related media such as cartoons, graffiti, and posters have frequently been effective tools to transmit political messages in a playful manner. The power of the visual medium has played a significant role in influencing public opinions and protests. Prevalent in demonstrations, revolutions, and popular protests throughout history to the recent so-called “Arab Spring,” cartoons have featured as a satirical form of communication.

The term cartoon “refers first to metaphorical codification and second to a satirical or humorous genre through which a cartoonist subtly informs, criticizes and entertains his audience” (El Refaie 2009: 181). More specifically, political cartoons represent a form of media discourse that uses verbal and non-verbal signs to disseminate information and express ideas and opinions on contemporary issues. Though political cartoons do not occupy large portions of the media, they can have a huge impact on the audience and/or readership as they effectively and humorously convey messages succinctly. They function as communicative devices in society and play a paramount role in influencing public discourse, especially during periods of political turmoil and popular protest.

Very often, political cartoons have enabled audiences to look critically at their socioeconomic and political reality. In many instances, political cartoons prove to be more effective in disseminating information and demonstrating ideas than verbal texts, which usually require more time from both writers and readers. Cartoons communicate messages and critiques camouflaged as humour. These aspects of cartoons allow them to attract more attention and raise more curiosity, especially in countries where journalism and freedom of the press can face strict censorship.

Through cartoons, cartoonists try to respond to current socioeconomic and geopolitical issues in a humorous and satirical manner that can be read and understood quickly and directly. In fact, cartoonists try to translate the current events into culturally familiar signs and symbols that are locally and, sometimes globally, recognized. In times of crises and popular protests, these satirical symbols have direct impact on public opinion and social protests on the street. Accordingly, this paper seeks to explore how political cartoons can be used to understand and criticize socioeconomic and political processes in the Tunisian context in the aftermath of the revolution of January 14, 2011.

2. LITERATURE REVIEW

It is evident that contemporary mass media have become a prevailing channel of communication that catches the attention of the public using verbal and non-verbal elements as tools to express opinions and thoughts from a certain point of view (Mhamdi 2016). This communicative aspect has made media discourse a viable and compelling field of research. During recent decades, researchers have been investigating the use of language in different genres to achieve communicative tasks (Greenberg 2002: 183). More precisely, studying various approaches to language in its different connections with media enables researchers to explore the use of language in depth to help disseminate information and a mutual understanding of socioeconomic, geopolitical, and other events in a certain society. Thus, news media play a mediating role between events and news creators on one side, and the receivers and consumers of news on the other (Mhamdi 2017a).

Cartoons, as a type of media discourse, are a form of social artifact used to focus on the use of language in society to mirror social realities (Giarelli and Tulman 2003). Specifically, “using language resources to attract public attention and interest by the media, journalists, especially cartoonists, harness both linguistic and non-linguistic elements ingeniously and persuasively to create effect in a literary or dramatic passion and to evoke a particular response from readers” (Sani *et al* 2012a: 53). For Sani *et al* (2012a), political cartoons are

considered to be graphically illustrated in a single visual frame and accompanied frequently by written texts or thought bubbles in a form of dialogue.

Distinguishing cartoons from comics, Samson and Huber state that “the style of cartoon is mostly characterized by simple lines, exaggerated features, as well as sketch-like and simplified figures. Comics are more oriented towards stories, their artwork is detailed, anatomically correct, and the drawing often closely resembles reality” (2007: 2).

To be politically powerful, authoritarian regimes seek to have control over visual production and consumption (Khatib 2013: 1). Due to the power of the political cartoon genre, which permits the use of linguistic and non-linguistic cues, cartoonists express their thoughts and points of view regarding current socioeconomic and political issues through which social agendas are set (Greenberg 2002: 182). Political cartoons, therefore, function as communicative tools in society. They form a distinctive media genre with their own history, specific styles, conventions, and communicative aims (El Refaie 2009: 181).

Recently, there has been a growing interest in political cartoons across various disciplines such as sociology, psychology, communication and education (Greenberg 2002: 181-182). The increasing focus on political cartoons suggests that they are an established genre within media discourse. From a historical perspective, Benjamin Franklin was said to have originally started editorial cartooning when he first published an editorial cartoon in an American newspaper depicting an image of a snake dissected portraying the popular “Join or Die” slogan to encourage a united front against British colonialism (Burns 2007: 526).

Political cartoons appeared as an influential social medium due to the wealth of meanings and forms they embed. The textual and visual messages contained in political cartoons have a social impact that is derived from the simultaneous appeal “to the intellect and emotion” (Gocek 1998). In this same line of thought, it is contended that “consideration of the multimodel nature of the clues for ironical intention is essential for a proper evaluation of the clues used to signal irony” (Attardo *et al* 2003: 257).

Medhurst and DeSousa identify four main themes common to political cartoons. These are politically common places, cultural allusions, situations, and personal character traits (1981). According to Morris, cartoon portrayals are always satirical and comparable to armaments launching attacks on political leaders (1992). Using symbolic convergence theory, Benoit *et al* analyze political cartoons depicting the Clinton-Lewinsky affair (2001). The sample used 2000 cartoons covering public and media reaction to the American president. The analysis revealed the satirical portrayal of Clinton and the enormity of the scandal.

Conners investigated the use of political cartoons in the context of the 2004 US presidential election campaigns (2005). His findings reveal that political cartoons were used to manipulate voters' choices among the candidates; that in general, in election periods, cartoons are used by the campaign machinery to channel public in favor of one candidate over others. These findings question the role of policy makers in manipulating cartoonists due to their influential role whether as challengers to governments or gatekeepers to them.

Stouter *et al.* explore the process of writing and editing cartoons in terms of the role they play in society (2008). The findings further endorse the direct impact that graphic illustrations have on their audience. Employing a multimodal theory of humour, Tsakona tackled the issue of language and interaction in cartoons (2009). Focusing on the verbal and visual elements of cartoons, the researcher contends that cartoon humor is a complex process, which includes various mechanisms of interplay between linguistic and non-linguistic elements. The findings recall El-Refaie argument that “visual metaphors cannot be described adequately in formal terms only. Rather, they must be considered as visual representations of metaphorical thoughts or concepts” (2003: 75).

Eko studied how four African political leaders had been dehumanized in the post-Cold War era by a number of African newspapers through the use of political cartoons (2007). Another study that focused on the African context is that of Sani *et al.*, which investigated “the linguistic elements used in the cartoon written texts to illustrate how Nigerian cartoonists specifically use language to construct satire” (2012a: 52). Employing a perceptual theory of satire and critical-discourse analysis, Sani *et al.* (2012a) identified lexical items in Nigerian cartoon texts and explored how Nigerian cartoonists create satirical impressions about political leaders.

In their second study of the Nigerian context, Sani *et al.* studied “the nature and function of humor in Nigerian political cartoons, using theoretical perspectives of humor as “a method of analysis” (2012b: 148). The findings suggest that the purpose of using humor in Nigerian political cartoons is to relieve audiences of politically stressful situations. Additionally, the study confirms previous findings that the use of political cartoons aims at persuading audiences and orienting them toward certain opinions about current issues in a particular society (159).

In the Arab world context, a novel and instructive perspective on the culture of the Arab world is presented by Mahfouz which utilizes Arab media cartoons to reflect the daily lives of Arab citizens. Analyzing the cartoons and how they interact with their context, Mahfouz explores the fundamental traits of Arab culture and simultaneously provokes readers to scrutinize their personal understanding and assumptions (2011).

The so-called “Arab Spring” has recently been a focus of media and research attention. Khatib skillfully examines the importance of the visual aspect in the Middle East context (2012). The study explores the different ways the term “image politics” can be politically used and understood. The researcher explains that the visual includes a variety of elements encompassing “physical, electronic, non-electronic virtual and embodied spaces” (Khatib 2012: 7). This understanding of the visual relates to current studies that perceive images as tools of resistance, counteraction, and activism (Mhamdi 2017b).

Totry and Medzini’s influential study examines the use of political cartoons in popular protests to focus on socioeconomic and geopolitical issues by examining the works of the Palestinian cartoonist Nagi Al-Ali who was assassinated in 1987 (2013). The findings echo Mahfouz presentation of the Arab world cartoons culture as they reveal the potential of Arab political humour to mobilize public opinion and bring about regime change (2011). Drawing more than forty thousand cartoons that mostly address issues related to Palestinian-Israeli conflict, Al-Ali is perceived as one of the most influential Arab artists of the twentieth century (Wozniak 2014: 12).

In the same context, Wozniak tackles the issue of political humour to examine cartoons representing the so-called Arab Spring through the application of an image studies approach. Seeking to explore common themes addressed by cartoonists, the researcher presents the findings into categorized themes. Wozniak’s investigation is one of the pioneering studies that address Arab political humour in the context of the so-called Arab Spring. Her findings mainly reveal that cartoons can be seen as “predictors, opinion changers or chronicles, not necessarily in terms of facts, but in terms of opinions” (2014: 22). She concludes by stating that Arab cartoonists seek to “teach a Tunisian lesson” that Arab citizens are capable of revolutions and uprisings against their authoritarian regimes. This conclusion is proved to be true after Arab dictators in Tunisia, Egypt, Libya, and Yemen were ousted one after the other.

Despite the considerable research on political cartoons, the Tunisian context seems underresearched, as no research has specifically focused on the use of political cartoons and their impact on Tunisian audiences. In fact, this genre of media discourse has witnessed a remarkable growth in Tunisia especially in the aftermath of the revolution of January 14, 2011, which signaled the outbreak of the so-called “Arab Spring.” This has made the Tunisian context a fertile field of research for political cartoons. This paper is an attempt to bridge this gap by building on previous studies and applying existing theories on the use of political cartoons for the Tunisian context.

The Tunisian context in this study refers to the aftermath of the Tunisian revolution which burst on December 17th, 2010, when Mohamed Bouazizi set

himself on fire and which caused the ousting of the president Zine El Abidine Ben Ali on January 14th, 2011. In fact, the so-called “Arab Spring” started from Tunisia and then a series of uprisings spread across a number of Arab countries where some of them are still witnessing political turmoil and military unrest until today. The “Arab Spring” was the first time in history that events in the Arab world were reported through social media such as Facebook, Twitter, and YouTube. It is asserted that “The Arab Spring had many causes. One of these sources was social media and its power to put a human face on political oppression. Bouazizi’s self-immolation was one of several stories told and retold on Facebook, Twitter, and YouTube in ways that inspired dissidents to organize protests, criticize their governments, and spread ideas about democracy” (Howard *et al* 2011: 2). Arab political cartoons witnessed a boom in the aftermath of the “Arab Spring” and Tunisia made no exception. It is argued that the “Arab Spring” represents the ‘golden age’ for political cartoonists (Wozniak 2004: 12).

3. METHODOLOGY

This paper seeks to answer two main research questions: first, what were the predominant themes of Tunisian political cartoons during the transitory phase after the revolution? Second, how were political cartoons used to reflect and criticize the socioeconomic and political plight of Tunisia in the aftermath the January 2011 revolution? To address these questions, data has been collected from a selection of online political cartoons that were frequently circulated and shared on Facebook users’ accounts on the list of the researcher’s Facebook account.

Since the outbreak of the Tunisian revolution on December 17, 2010, Facebook has become the main collective source of information and the most salient tool of communication for Tunisians. Sharing videos, pictures, and posts was the focal tool for interaction between them. This study explores the most shared cartoons among a sample of Tunisians during the Tunisian revolution and its aftermath. The age of the target population varied from 20 to 55 years old including male and female users. All the sample population is Tunisian individual and group Facebook users on the researcher’s private account list. The posts have been collected by Facepager software, which is generally used to extract public data from social networking websites.

The frequency of posts that were shared during the period under study was measured through the application of a machine-learning algorithm that aims at identifying the number of times a post was shared by users. Although the extracted data revealed between 37 and 52 posts related to cartoons were shared among the sample population, only 16 cartoons were finally selected as corpus for this study. This selection was based on the researcher’s decision to consider a post

to be “frequently shared” only if it is shared by more than 50% of the sample population. Any post that was shared by less than 50% of the sample population was removed from the corpus and considered negligible.

It is worth mentioning that the corpus of the 16 cartoons investigated in this study includes texts and terms in three languages: Arabic, French, and English. The reason behind using Arabic and French is obvious as Tunisia is an Arabic-speaking country that is also a francophone member. Having been a French colony from 1881 to 1956, Tunisia has ever since established strong ties with France where French is the second language in the country. French is heavily present in the Tunisian educational system and widely spoken in Tunisians’ daily lives. However, Tunisian cartoonists do not commonly use English language. Nevertheless, the presence of some English terms in a number of the sample cartoons in this study may be due to the wider context where the cartoons were developed and then frequently shared online.

In fact, the Tunisian revolution outburst on December 17, 2010, with no clear outcomes looming ahead. Because of the government strict control of media at that time, Tunisians had no other choice than to use social media to spread their opinions and make their voices heard in order to fight for their cause. Therefore, the use of English may be understood as a tool to reach international community and let the world know about what is taking place in Tunisia. The resort to a few English terms was a way to gain international community sympathy and support and to counter react to the mainstream media discourse, which was favouring the government official presentation of events taking place in Tunisia at that time.

The study uses qualitative approach to analyze the samples. Cartoon texts in this context were used as units of analysis where the main variables of interest to this study include the linguistic textual and graphic elements of the political cartoons under investigation. More specifically, content analysis was employed to explore the content of cartoon texts selected for analysis (Kress and Van-Leeuwen 2006). The selection of the sample is based on the frequency of appearance and circulation on individual and group Facebook pages and accounts. It is worth noting that the focus of this paper is not on the cartoonists who originated the 16 political cartoons which represent the sample of this study, but rather the focus is on the main themes tackled by the cartoons and how various mechanisms of interplay between linguistic textual and graphic elements intermingled satirically to represent the socio- economic and political conditions in the aftermath of the 2011 Tunisian uprising.

Though the focus of this investigation is not on cartoonists, it is evident that cartoons do not spring from void, but they are rather the artistic materialization of cartoonists’ identities, ideologies, thoughts, visions, and origins. Cartoons function in a mutual relation and interplay with their context where they impact, and

are impacted by, the wider context. For this reason, it is indispensable to note that all the cartoons belong to Tunisian cartoonists and they were shared on Facebook accounts of Tunisian users. Additionally, these cartoons were produced, and then shared, as soon as the Tunisian uprising burst. The cartoonists, being Tunisian citizens living in the same socio-political context and witnessing the same conditions, especially the historical moment of ousting the Tunisian president, have reacted to this changing context.

Media scholars have built on Saussure's concept of the sign, consisting of the signifier and signified whose outcome are codes that serve representational functions. In this respect, Fairclough states that "written texts in contemporary society are increasingly becoming more visual (...) not only in the sense that newspapers, for instance, combine words with photographs (...) but also because considerations of layout and visual impact are increasingly salient in the design of a written page" (1995: 17). In this same line of thought, Kress and Van-Leeuwen argue that "language always has to be realized through, and comes in the company of, other semiotic modes"; clarifying that "any form of text analysis which ignores this will not be able to account for all the meanings expressed in texts" (1998: 186). Accordingly, the analysis of the selected political cartoons must acknowledge the complexity of reading cartoons posed by their semiotic sophistication. Texts and images are integrated in a way that compels readers to negotiate and decode both verbal and non-verbal codes to generate meaning. For this reason, the methodology adopted in this paper will also employ textual analysis drawing upon semiotic theory. Semiotic analysis of the sample cartoons in this study entails addressing the framing of pictures, systems of signs, style of drawing, use or absence of color, page layout, and all other visual aspects and modes of presentation (Hutcheon 1994; McCloud 1993).

Critics of cartoons and comics argue that readers/viewers play a paramount role in interpreting the encoded content. Scott McCloud and Thierry Groensteen affirm that cartoons entail more interpretation than prose (1993: 28). Actually, readers play a crucial role in reading beyond the cartoon where meaning awaits further exploration to seek "closure" (McCloud 1993: 90).

The analysis of the 16 political cartoons rests upon theorists as Scott McCloud, Thierry Groensteen, Charles Hatfield, and Will Eisner. Accordingly, a close investigation of the components of the cartoons such as the framing of pictures, systems of signs, layout, border strips, comic styles and visual aspects and modes of presentation is necessary for the interpretation. This method of approaching political cartoons is similarly advocated by what has been referred to as Groensteen calls "pertinent contextual rapports" (Groensteen 2007) and a creation of a "grammar of comics" (Eisner 2008: 19; McCloud 1993: 5).

The spatio-topical apparatus of political cartoons imposes on the reader an active involvement in the creation of meaning. Essentially, this study is genuinely concerned with the dynamic role of the reader as a significant constituent of the cartoons interpretive process. It is the historical context of the drawing and the circulations of cartoons that determine readers' interpretation. In this context, Reader Reception Theory is deemed to be an indispensable theoretical tool upon which the analysis rests. The analysis is primarily directed through Hans-Georg Gadmer's "historical situatedness" (Selden 1989: 95). Consequently, time and historical elements are crucially important in the interpretive process, especially that the circulation of the 16 political cartoons took place during a post-revolutionary Tunisia.

The methodology used for analysis provides a framework for understanding the language, tone, and themes indicated by linguistic and non-linguistic cues as advocated by Hutcheon (1994) and McCloud (1993). It also permits the examination of cartoon text content against the broader socioeconomic and political context of Tunisia during the transitory phase of the aftermath of the 2011 revolution. This historical moment has made the politics of Tunisia more visible than ever especially that social media offered oppositional parties and groups as well as ordinary individuals unprecedented opportunities to use images and videos where they are not only heard, but most importantly, seen (Khatib 2013). It is argued that "language and visual communication can both be used to realize the 'same' fundamental systems of meaning that constitute our culture, but each does so by its own specific forms, do so differently, and independently" (Kress and Van-Leeuwen 2006: 19).

During the Tunisian revolution and its aftermath, Tunisian Facebook users had a widespread tendency to share news, thoughts, and feelings and to exchange information about their neighborhoods. Facebook was the most effective medium of communication for Tunisians at that crucial time and posting pictures, videos, and cartoons and sharing these posts became a collective daily practice. On Facebook accounts, Tunisian people had an unprecedented opportunity to express themselves freely, to transcend boundaries, and to call for freedom, social justice and regime change. Political cartoons are said to play an important role in such circumstances. Therefore, the analysis of political cartoons in the Tunisian context of the 2011 revolution and its aftermath is the focus of this study.

4. ANALYSIS AND DISCUSSION

The analysis of the political cartoons sampled in this study will be presented and discussed through the identification of the thematic issues subsumed in the cartoons and a semiotic investigation that highlights the framing of pictures, systems of signs,

and style of drawing. The content and semiotic analyses of the selected sample of the political cartoons that were circulated and shared by Tunisian Facebook users revealed the emergence of eight main themes prevalent in Tunisian media, political parties, and public interest in the aftermath of January 2011 revolution. The focus of political cartoons on those eight themes made them a common interest for the Tunisian public during the transitory phase in the aftermath of January 2011 revolution.

4.1. THEME 1: OUSTING PRESIDENT ZINE EL ABIDINE BEN ALI

Following the uprising in Tunisia from December 17, 2010 to January 14, 2011, the ousting of Tunisian president Zine El Abidine Ben Ali, who left the country and fled to Saudi Arabia, represented a major event in Tunisian history. It received huge local and global media coverage, and political cartoonists were no exception. Cartoonists exploit the power of visual representation to turn abstract ideas into concrete illustrations that can be easily grasped by audiences. As shown in Figure 1, one of the most frequently circulated cartoons among the sample, illustrated the idea that a successful revolution would finally free the Tunisian population from dictatorship and the authoritarian regime.



Figure 1. Soon? (Mhamdi 2014).

The analysis of a cartoon necessitates the exploration of its symbolic dimension, as Scott McCloud puts it, “details are very much concerned with pictorial representation” (1993: 141). Symbols, therefore, channel meaning and, in the context of the above figure, they mediate history and represent a national maturity. The above panel is, in fact, composed of two adjacent symbols that allegorically vehicle the rage of Tunisians vis a vis the political agenda of their president and the latter’s defection from Tunisia. The volcanic eruption that occurs at the background of the panel symbolically imitates that of Tunisian people and it connotes political and social instability during which the “air force 7” accommodates the ousted president on the verge of fleeing to Saudi Arabia.

The choice of the plane number, “air force 7”, functions as a remainder of the president’s early years of presidency when he took over power on 7th November, 1987, change and social renewal that Ben Ali strongly related to the same number. The cartoonist sarcastically posits an irony of fate that attributed to the plane on which the ousted president will head to his final destination and exile that same number. The number “7” is thus endowed with a double layer of meaning, past power and actual loss.

This incident represented a historic moment that signaled the victory of the revolutionary Tunisians who succeeded in ousting their dictator. Such message is channeled mainly by the cartoon’s “Mise en scene”. Pascal Lefevre asserts that the “Mise en Scene” in comics “concerns the representation of a scene by a specific organization of its virtual but figurative elements such as décor, props, and characters” (2012: 71). For instance, Zine El Abidine Ben Ali is represented with a number of his family members boarding the plane and bidding his people farewell. The irony in this cartoon is that the group of people who are wearing purple and holding bags are asking “what about us?” Purple is the symbol of the political party of Zine El Abidine Ben Ali (Democratic Constitutional Rally) and the bags held by people are, in Tunisian culture, symbols of flattery.

The cartoon text “SOON” with the question mark refers to the surprisingly unexpected ousting of Ben Ali who left the country and the presidency in less than a month after the uprising burst

The cartoonist is, thereby, referring to the fate of the supporters of the president during his authoritarian and oppressive regime. These supporters are now left behind, while the president is fleeing with his family. The ex-president and his family members appear relaxed and comfortable with huge amounts of money as opposed to the crowd who appear worried and are prevented from boarding the plane by the police officer. It is implied that the supporters will face the anger of the revolutionaries and would be made accountable for the actions of Ben Ali’s regime. Additionally, Figure 1 paves the way for the cartoons depicted in Figures 2 and 3 whose main theme is the freedom and liberty enjoyed by Tunisian people in the aftermath of Ben Ali’s era.

4.2. THEME 2: POLITICAL FREEDOM AND PERSONAL LIBERTY

Figure 2 represents the expected and longed-for future that lies ahead for the Tunisian public after they successfully ousted their dictator. The Tunisian flag in the background image represents the whole country and its people, and the hands with broken shackles stand for the beginning of a new era of freedom and liberty for all Tunisians. Additionally, the absence of framing in figure 2 connotes the transgression of social and political barriers yearned for by Tunisians.

Similarly, Figure 3 typically represents the freedom and peace that the Tunisian revolutionaries would achieve as the outcome of their uprising. The lunar image of the Tunisian flag, and the common man sitting in the corner, who finally frees a dove holding an olive leaf, motivates the readers' thoughts toward a positive expectation of a new era of peace and liberty. As figure three represents, liberty is born out of Bouaziz's wound, which is not only physical, but also social. Poverty drove the man to illegally sell vegetables in Sidi Bouzid's market. Following the confiscation of Bouazizi's goods by the local police, the loss of hope and social alienation pushed him to the edge of depression. The fall resides in the act of burning his body.



Figure 2. Freedom (Zaghbi 2011)



Figure 3. Uprising (Mhamdi 2014)

The overall symbolism of this cartoon is the dove of peace as a phoenix rising from the ashes of the suffering of the people, represented by the man in flames. Death bears the seeds of a new beginning hand a new life. Accordingly, in Figure 3, the caption "UPRISING" is given a powerful metaphorical meaning of the phoenix.

In this way, both cartoons, signal the outbreak of a new era in Tunisian history following the ousting of Zine El Abidine Ben Ali on January 14th, 2011. Based on the connotations of both cartoons, there is a call for the Tunisian public to celebrate the outcome of the uprising, namely, political freedom and personal liberty, despite the gloomy atmosphere of suffering indicated by the use of red and dark colors.

4.3. *THEME 3: THE TUNISIAN ELECTIONS*

After January 14, 2011, a transitory phase began in Tunisia when the prime minister of Ben Ali's rule, Mohammed Gannouchi, assumed power for less than 24 hours. His temporary ascent to power was followed by the chairman of the parliament, Fouad Mbazaa, who assumed the presidency according to the Tunisian Constitution. This move was not appreciated by the Tunisian public as Mbazaa was known to have been an important figure in the ousted president's regime. Consequently, there was a call for presidential and parliamentary elections. That occurred when the Tunisian interim government, led by the then prime minister, Beji Kaid Sebti, started preparing for the 2011 parliamentary elections from which the president would be elected by members of the democratically elected parliament.

The first Tunisian elections after the revolution received huge media coverage both locally and internationally. It was also the focus of many cartoonists who ironically sought to express their thoughts and ideas. The irony in figure 4 lies at the level of opposing between the "said" and the "unsaid" as Linda Hutcheon puts it (1994: 11). The panel opposes terrorism to the threat of democracy. Figure 4, for instance, presents a typical cartoon that tackled one of the most important issues which the interim government, parliament, and political parties were concerned of; namely, the looming terrorist threat, given the geopolitically uncertain conditions surrounding the country.

The cartoon in Figure 4 graphically depicts how democracy will defeat the hand of terrorism. It depicts a man with a long beard and a turban trying to block the Tunisian people's vote to capture the election box with his left hand, while a voter's hand with the Tunisian flag cuts the terrorist's arm with an election card. This act attributes motion to the cartoon transmitted through the terrorist's facial expressions indicating pain and suffering as a consequence of the democratic act of voting. It is worth mentioning that a huge number of local extremists were against the Tunisian elections and they tried to terrorize people and discourage them from taking part in the elections. The connotation of the cartoon signifies that the Tunisian public should fight the terrorist threat by participating in the elections. The cartoonist is calling for the conduct of free and fair elections that would constitute a major challenge to terrorism. There is

a strong call for Tunisians to actively participate in the elections and give their voices to political leaders who would build a new democratic Tunisia.



Figure 4. Elections (Ouerteni 2014).

However, there were also other themes that characterized cartoon representations of the Tunisian elections of 2011. The importance of participating in the elections as a means to fight terrorism was not the only theme tackled by cartoonists. A number of cartoons were concerned with the large number of political parties racing for the parliamentary election campaign. This confused the voters who felt uncertain as to how they should vote. The cartoon in Figure 5 entitled “Road to Elections” depicts an ordinary Tunisian puzzled by seven different road signs, symbolizing the uncertainty felt by Tunisian electors. Road signs are supposed to smooth the way and to clarify directions. Ironically, the cartoon figure stands in full confusion and loss which political vision to embrace.

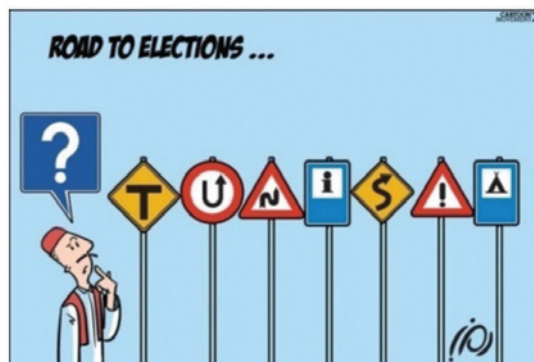


Figure 5. Road to Elections (Movement 2012).

This exaggerated variety of political parties, the majority of which began after January 14, 2011, is the main reason for his hesitation. In fact, the proliferation of political parties was said to have discouraged Tunisian participation in the parliamentary elections. As the above figure allegorically channels, despite that all political parties are united under the umbrella of one country whose name is being formed by the signs themselves, their heterogeneous messages obscure the path in front of the electors.

4.4. THEME 4: THREATS TO THE REVOLUTION

One of the main themes that were the focus of many cartoons in the aftermath of 2011 revolution were the threats faced by the Tunisian revolution. There was concern that some local parties and a number of foreign countries would not support the uprising. The cartoon in Figure 6 satirizes the various threats facing the revolution, the only hope of the Tunisian working class and poor people for a better life, by portraying a working-class man holding a balloon that symbolizes the revolution but, unfortunately, he faces one of two fates: arrows or crocodiles. The written texts next to the five arrows denote the threats of external countries, supporters of the ousted president's regime, and the local bourgeoisie. The texts next to the crocodiles denote the threats of unemployment, poverty, corruption, coercion, violence, injustice, and cost of living. All the texts in Figure 6, whether in Arabic language or the name of the country U.S.A which is written in English, present the Tunisian public powerless before their fate and their only hope, the revolution, depicted as a fragile balloon, is also faced with many threats. The image of a balloon also represents an ideal and an idea that may not take flight in such a context where local and foreign threats are looming ahead.



Figure 6. Revolution (Mechtat 2011).

Additionally, the cartoon in Figure 7 also depicts external threats to the Tunisian revolution. The cartoonist portrays Tunisia as cake to be shared by five foreigners around a table with their plates, forks, and knives ready for the feast. From their clothes styles, it can be deduced that they are from Arab Gulf Region and Western countries. The characters' appearance reveal their geographical belonging and therefore, their agenda and political intentions are better illustrated through their greedy faces and unbridled lust for sharing the cake. Each of the five has money—a sign that they intend to pay local actors, including conspirators, corrupt officials, bourgeoisie, and vested interests, to secure their interests in the country. The cake with the Tunisian flag stands for the country being served by a police officer who represents the implication of the Ministry of Interior in this affair. The portrait on the wall corresponds to the president Zine El Abidine Ben Ali and this is reinforced by the background which reveals where the scene is taking place, namely the presidential palace in Carthage. Though the president was ousted, the presence of his portrait with his face opposite to the round table in his presidential palace where the country is being served to foreigners is very symbolic. Furthermore, the caption represents the colorful logo of Tunisia in a similar way as the touristic leaflet, which indicates the exotic vision of the country by the various foreigners. This image is very revealing and it directly transmits the message of the cartoonist to the audience that Tunisia has become a shared land to be served to foreigners with the implication of local actors.



Figure 7. Tunisia: A Shared Land! (Mhamdi 2014).

4.5. THEME 5: THE THREAT OF TERRORISM AND RADICALISM

With the rise of the Islamic party, Al-Nahdha, as the winner of the 2011 parliamentary elections, a new threat came to the forefront: the fear of political Islam, radicalism, and terrorism, especially from the geopolitical situation surrounding the country and the expansion of ISIS from Iraq to Syria and Libya. Following terrorist incidents of suicide bombings, the targeting of liberals, and the rise of radicalism, this threat became a reality. Tunisia has long been known for its open-mindedness, modernity, moderation and, after Lebanon, was considered one of the most modern Arab countries. The new radicalized status quo was a threat to that long history and the main victims would be future generations. Figure 8 depicts this new threat of Islamic radicalism and the brain-washing that targets younger generations. The cartoon is calling the attention of the audience toward this looming threat that may change aspects of Tunisian society. The visual metaphor being used is that of children on a production line being given blinkers. The focus of the cartoon is on children as they are easy targets and represent the future of the country. The clothing and general appearance of the man perpetrating the act reveal that he stands for the new wave of political Islam. He is a representative of Islamic ideologies intended to be ingrained in the minds and psychologies of the young generation. Additionally, it is worth noting that not a single female child is depicted in the cartoon which connotes the radicalists' perception of women which has always been degrading. As shown in Figure 8, the origin of the threat comes from radical Muslims.

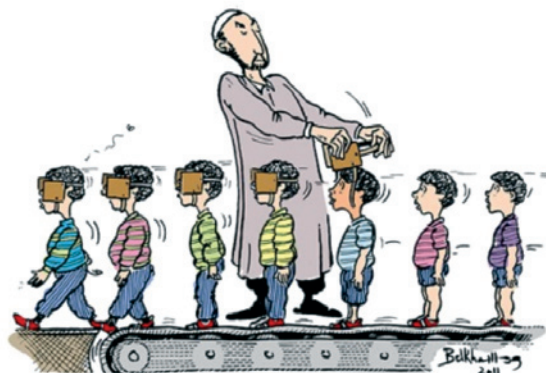


Figure 8. (Belkhatib 2011).

Radicalism and terrorism are perceived as genuine threats to the Tunisian Republic in its transitory phase. Cartoonists are trying to warn against these threats using satire and irony. The democratic rights and liberty of the Tunisian society are at risk and this is not what the majority of the revolutionaries had yearned for nor expected. The aims of the revolution were never to change Tunisia into a radicalized state nor relinquish the achievements of more than fifty years of secularism.

Figure 9 further symbolizes the deviations that took place after the 2011 revolution and the threats to Tunisian society. The cartoon represents an infamous Tunisian Islamist, Bechir Ben Hassan who, known for his radical views, called for a prohibition against women traveling alone, as is the case in Saudi Arabia. The cartoon symbolically represents a Tunisian woman wearing a burqa chained to Bechir Ben Hassan. The use of the woman's black clothing and the metallic chain is deliberate and signals the threat of losing women's rights, for which Tunisia has long been praised. The positioning of the woman in black chador in the background indicates the hidden intentions of political and religious preachers of the period. The female character is illustrated as the prisoner of the bearded male cartoon figure that humorously depicts Bechir Ben Hassan's vision of mapping spaces and instilling conditions concerning the voyage of women without a legal and mature male companion. The cartoon text states that "Bechir ben Hassan prohibits women from travelling alone". The textual and graphic texts call readers to be aware of what could result from radical preaching, with a focus on the plight of women's freedom.



Figure 9. Bechir Ben Hassan Forbids Women to Travel without Mahram (Majdoub 2012).

4.6. THEME 6: FINANCIAL CORRUPTION

Throughout Tunisian history, whether prior to, or in the aftermath of January 14, 2011, the issue of financial corruption among government officials has been a major concern. However, following the 2011 revolution, the topic of financial corruption was no longer taboo and, hence, this topic came to the forefront of media agendas. Political cartoonists seized this new level of freedom and tackled the issue both harshly and subtly.

Figure 10 represents three government officials and their boss, all with blocked ears and wearing black glasses. The text of the cartoon states the figures are “protectors of the public treasury,” but with deaf ears and almost blind eyes the cartoonist’s message is obvious. The choice of the black color for the glasses is symbolic as it elicits shortness of sight. This is an ironic image that depicts the opposite of the caption. The message is simply that these “protectors” are corrupt and represent the real danger to the public funds.



Figure 10. Protectors of the Public Treasury (Ayouni 2013).

Following the same line of thought, the cartoon in Figure 11 portrays a fat government official stealing a huge amount of public funds while pointing at a delinquent who he describes as “the most dangerous criminals.” Remarkably, the disproportion of the characters’ sizes connotes, on the one hand, the social and economical marginalization of the delinquent and it reflects, on the other hand, the corruption, greed and egoism of the government official.

Here, the cartoon calls upon the readers’ critical thinking to deduce the connotative meaning, which points out that it is actually the government official who is the most dangerous criminal. In other words, if the delinquent boy stole the woman’s bag, the government official has absconded with all population’s

money. The irony is the way politicians can sometimes point to law and order issues to distract attention from their own corruption. Based on Figures 10 and 11, and the frequency of appearance and circulation of these cartoons on the sample Facebook users' accounts of the study which exceeds 65% during the period under study, it is evident that the theme of financial corruption is a major concern for cartoonists as well as for the Tunisian public. In fact, the cartoon in Figure 12 represents the outcome of financial corruption in Tunisia after the 2011 revolution when ordinary Tunisians were the main victims.



Figure 11. The Most Dangerous Criminals (Mhamdi 2014).



Figure 12. (Mhamdi 2014).

As made clear in Figure 12, a father is sitting with his wife and four children around a table where no food is available, but the father draws pictures of fruit

and chicken. This image ironically summarizes the situation of poverty and hunger felt by a large number of Tunisians. As previously mentioned, what exacerbated this situation was the financial corruption that followed the revolution. Here, the imagery again suggests the futility of idealism if not translated into reality. We cannot eat the idea or image of food. The representation of hunger is represented at two levels: first by the cartoonist and second by the character in order to stress the miserable conditions of many Tunisians.

4.7. *THEME 7: POLITICAL UNCERTAINTY AFTER THE 2011 UPRISING*

The 2011 revolution in Tunisia, which resulted in the ousting of the president and signaled the outbreak of the so-called “Arab Spring” made the politics of countries experiencing uprisings more visible than ever. The 2011 Tunisian parliamentary elections brought about major changes in the political system and new political parties came to the forefront. This new status quo was characterized by chaos, disorder, and uncertainty. Many Tunisian politicians tried to justify this status as being a normal outcome of any post-revolution transitory phase. However, this justification was not always welcomed by the media.

Political cartoonists were no exception and they subtly tackled the political uncertainty of the transitory phase. Figure 13 clearly satirizes the “Tunisian political debate” where everyone is accusing his adversary of being “anti-revolution.” The avatars in the panel below represent different animal figures accusing one another for being a conspirator against the revolution. Their physical differences and distinct facial expressions point to all political and socioeconomic actors of the Tunisian context at that time.

The diverse representation of the cartoon figures skillfully illustrates the total chaos, disorder, and anarchy of the political plight in Tunisia, where anyone could be easily accused of being “anti-revolution.” This is revealed through the various anima-like figures with their different specific traits, shapes, facial expressions, and gestures. This situation is reminiscent of the “red scare” during the Cold War between the US and its rival, the Soviet Union, where anyone in the US could easily be denounced as a communist.

Additionally, Figure 14 explicitly warns against the overall outcome of the political uncertainty in Tunisia during its transitory phase. As is clearly represented in the cartoon, all political parties and leaders, whether the pros or the cons for the subsequent reforms after the revolution, are in the same boat and face the same fate. The photographic images in the cartoon specifically refer to the failure of the three-party coalition ruling the country at the time. As can be seen, the boat, the symbol of the country, is sinking and the political leaders of the coalition are also

sinking and fighting the waves as each tries to save themselves. The sinking boat bears the names of the “Troika”, the three-party coalition which was composed of three political parties governing Tunisia during that era.



Figure 13. Tunisian Political Debate (Khiyari 2013).



Figure 14. Troika is sinking (Hanafi 2013).

As shown in Figure 14, the cartoonist cautions against the probable fate of the political system in Tunisia and the collapse of the coalition in the transitory phase, which would lead to the collapse of the government.

4.8. THEME 8: THE TUNISIAN EXCEPTION TO THE “ARAB SPRING”

The so-called “Arab Spring” refers to the series of uprisings that started in Tunisia on December 17, 2010, and spread rapidly across Egypt, Libya, and Syria. These uprisings resulted in the ousting of presidents, changing political systems, and the rise of some political parties at the expense of others. However, this series of uprisings also resulted in political chaos, social disorder, unemployment, insecurity, and rise of radicalism and terrorism.

It is evident that the situation was not identical in all the Arab countries that experienced uprisings. The conditions in most countries in the aftermath of uprisings were said to be worse than before, with the exception of Tunisia (Howard *et al* 2011: 6). The latter is considered to be the only successful case, which managed to be on the right track by building a democratic system. That system respects freedom, human rights, transparency, and its political focus is based on free elections and “checks and balances” between the executive, legislative, and judiciary powers. Figures 15 and 16 visibly represent Tunisia as an exceptional case in the middle of a barren “Arab Spring” that has recently turned into “Arab Autumn”.



Figure 15. Tunisia Elections
(Bleibel 2014)



Figure 16. The Arabic Spring
(Bleibel 2014)

As is shown in the two cartoons, Tunisia is metaphorically represented as a flourishing rose in the middle of a barren land. The cartoonists are positively representing the Tunisian experience as the only promising case in the gloomy atmosphere of the surrounding Arab countries and their uncertain futures. This representation calls for an optimistic message to Tunisian audiences and leaves room for hope of a better future.

Accordingly, it is worth mentioning that cartoonists do not only focus on negative issues through their cartoons, but also tackle positive themes. Being part

of the media spectacle, political cartoonists are critical mirrors of their societies portraying socioeconomic and geopolitical conditions through their powerful medium that embeds visual and textual cues.

5. CONCLUSION

This study investigates the use of political cartoons in social media in the Tunisian context during the transitory phase after the 2011 uprising. The sample included 16 political cartoons, which were frequently shared and circulated through Facebook. The methodology used provided a framework for understanding the language and themes subsumed in visual and textual cues. Through the examination of the 16 cartoons, the study permitted the exploration of the broader socioeconomic and political context in Tunisia during the transitory phase following the 2011 revolution.

The findings of this study suggest that political cartoons were actively employed to mirror the socioeconomic and geopolitical conditions in Tunisia following the uprising of 2011. Tunisian cartoonists reflected the status quo during the transitory phase and subtly transmitted their critical messages through skillfully crafted cartoons. The cartoons sampled revealed an embedded approach that integrated verbal and non-verbal elements to generate meanings and transmit codes. The cartoonists' aim was mainly to satirically provoke and shock their audiences, leading them to question the reality of their situation and critically react to the status quo.

Additionally, the findings reveal the presence of eight main themes that were tackled by Tunisian cartoonists during the transitory phase. These predominant themes were of major concern not only to cartoonists, but also to the media in general and the Tunisian public. The themes were as follows: ousting the president, freedom and liberty, elections, threats to the revolution, the threat of terrorism and radicalism, financial corruption, political uncertainty, and the Tunisian exception to the so-called "Arab Spring."

6. LIMITATIONS

The study, nevertheless, has obvious limitations. First, the sample cartoons analyzed included only 16 online cartoons available on Facebook. Hence, the findings, especially those pertaining to the predominant themes, cannot be generalized since other themes were tackled by other cartoons appearing in print media or other social networks. Second, the study did not focus on one cartoonist and opted for a variety of cartoons from various cartoonists. This variety prevented the researcher from giving additional information on the cartoonists that may have influenced the context for analysis.

7. FUTURE STUDY

Because of these limitations, the investigator suggests that further research be undertaken, in which a focus on one or two Tunisian cartoonists could be addressed. Additionally, enlarging the sample of cartoons under investigation could add new findings to the current literature. Eventually, an investigation into the use of political cartoons in Tunisian print media in the context of 2014 elections and its aftermath is highly recommended.

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LIVING IN THE POSTHUMAN NETWORK SOCIETY: MOBILITY AND SURVEILLANCE IN *BLACKHAT*¹

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ABSTRACT. *Although not a box office success and with serious flaws regarding narrative structure and performance, Blackhat (2015) is undoubtedly a film that shows its belonging to a specific context and historical moment: it reflects upon some of the worries, changes and consequences of the combination of new technologies and socio-political events. The purpose of this paper is to analyze the visual and aesthetic mechanisms the film uses to present firstly contemporary changes in communication and secondly present-day worries related to security and the risk society, which have triggered the expansion of surveillance systems. Finally, it will also address the ways through which this new network society affects and is the tool for the construction of new identities while it also changes our perception of reality.*

Keywords: Network Society, surveillance, mobility, dataveillance, posthuman, space, flows.

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VIVIENDO EN LA POSTHUMANA SOCIEDAD VIRTUAL: MOVILIDAD Y VIGILANCIA EN *BLACKHAT*

RESUMEN. *Sin ser un éxito en taquilla y con serios fallos en relación a su estructura y actuación, Blackhat (2015) es sin lugar a dudas una película que pertenece a un contexto y momento histórico específico: la película refleja algunas de las preocupaciones, cambios y consecuencias que la combinación de nuevas tecnologías y sucesos socio-políticos han supuesto en los últimos años. El propósito de este artículo es analizar los mecanismos visuales y estéticos de los que se vale la película para presentar en primer lugar los cambios actuales en comunicación y en segundo lugar cómo la preocupación por la seguridad y una sociedad de riesgo han propulsado la expansión de los sistemas de vigilancia. Finalmente, se centra en explicar cómo esta nueva sociedad en red influye y es el medio con el que se construyen nuevas identidades individuales y se cambia la percepción de la realidad.*

Palabras Clave: Sociedad en Red, vigilancia, movilidad, vigilancia de datos, posthumanidad, espacio, flujos.

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Blackhat (2015) is a US film directed by Michael Mann and released in January 2015. It starts with a montage sequence that functions as the visual demonstration of how a malware virus is spread into a nuclear plant's computer system in China, causing an explosion and victims. A furloughed convict, Nick Hathaway — Chris Hemsworth —, together with two FBI agents and a Chinese one try to hunt the cybercriminal who has provoked the explosion, in a journey that will take them across a number of places: Chicago, Los Angeles, Hong Kong, and Jakarta. Although the film seems to “be trying to make some serious points about cyberwarfare and mass surveillance in a globalized world” (Macnab 2015: np), most critics found it disappointing (see Bradshaw 2015; Macnab 2015; O’Sullivan 2015). Although not a box office success, and with serious flows regarding narrative structure and performance, *Blackhat* is undoubtedly a film that overtly shows its belonging to a specific context and historical moment: it ponders on some of the worries, changes and consequences of the combination of new technologies and socio-political events. The purpose of this essay is to analyze the visual and aesthetic mechanisms the film uses to present firstly contemporary changes in communication and secondly contemporary worries related to security and the risk society, which have triggered the expansion of surveillance systems, not only at the governmental or official level but also at the particular or people-to-people

level. In addition, this paper will also center on how this new network society affects the construction of our (post)human identity and our perception of reality, and conclude the film's concerns as going beyond mere market expectations.

It is an undeniable fact that technology and mainly the Internet have changed the way people communicate, relate to others and live. We have become a technological generation for whom digital technology, computers, e-mails, and the Internet are constituent parts of our lives. We can have face-to-face interaction with friends who live in the other side of the world; we shop online, we work through and with the web, and send good wishes, money, photos, and all kind of documents via the internet. It is people who make society and, as the sociologist Manuel Castells points out: "Technology is society, and society cannot be understood or represented without its technological tools" (2000: 5). This relatively new way of living based on communication technologies gives birth to what Castells calls "the network society" in which there are movements of people, goods and information over large distances. This is not a new phenomenon but nowadays there is a key difference with past times: they take place in real time from one end of the world to the other. This is the basis of the new spatial arrangement that Castells refers to as "the space of flows." He defines it as "purposeful, repetitive, programmable sequences of exchange and interaction between physically disjointed positions held by social actors in the economic, political and symbolic structures of society" (2000: 442). In this new state of things, we still live in the geographical space conformed by real world and time, what Castells denominates "space of places." It is the physical support in which people bodily interact and live. But localities are "disembodied from their cultural, historical, geographical meaning, and reintegrated into functional networks, or into image collage, inducing a space of flows that substitutes for the space of places" (Castells 2000: 406). In other words, one of the consequences of digital technologies is the creation of alternative realities and communities, specifically composed of data, to the extent that they become a reality that occupies a space very close to traditional physical reality. In this way, in later years the dichotomy 'real world' versus 'virtual/computerized one' has been born. The real world is experienced by what we have traditionally understood to be real time and physical/tangible space. The virtual world, on the other hand, belongs initially to a separate level, intangible and mediated and controlled by computers and other technological devices which mainly deal with information. Even though the distinction between virtual and physical seems to be clearly delimited, if the conceptualization of both of them is approached from a Posthuman perspective, this difference is not so categorical since "in the Posthuman, there are no essential differences or absolute demarcations between bodily existence and computer simulation, cybernetic mechanism and biological organism, robot

teleology and human goals” (Hayles 1999: 3). That is, both are entangled and one is inseparable from the other, because as Hayles further contends “all material objects are interpenetrated by flows of information, from DNA code to the global reach of the World Wide Web” (1999: 15).

Nevertheless, Castells’s concept of the “space of flows” constitutes a very appropriate perspective from which *Blackbat* can be understood since it deals with *flows* in a very direct and explicit manner, to the extent that throughout the film there is an alternation of shots depicting *flows* and shots depicting *places* both in the virtual and in the physical realms. The first shot in the film, the establishing shot that usually shows the location of the film, is very meaningful. It is an extreme long shot, so extreme that it is a general view of the Earth. Our planet is surrounded and covered by millions of connections, there are not any visible borders, every place appears interconnected with the rest of the world and the sound of electronic beeping and whispering voices evoke transnational communication. The next scene offers the visual definition of Castell’s space of flows: the camera crosses the line between the real and the physical worlds. The camera *enters* the computer screen and the audience travels through it like an input, unstoppable and at dizzying speed. Without limits or borders this intangible sent order — afterwards we find out it is a malware — travels through a usually invisible space of flows and ends up with an explosion. In the next scene, sound and images are edited in a fast manner to produce a documentary aesthetic: television screen shots giving the sensation of being realistic footage. They are images that we are used to seeing when we watch the news on the television: firefighters, injured people, and ambulances. This is our physical reality, outside the computer, and the scene functions as a demonstration and reminder of how this flow of information does cause damages in the space of places. Actions in the virtual world have consequences in the tangible one, and this is for many people a real threat.

The silent presence of the 9/11 attacks has become an almost permanent imprint in the minds of many Americans causing a change in the way people live and think. The terrorist attacks have had a major impact in their collective consciousness, because they have lost the feeling of being in a safe place at home, in their country. According to the German sociologist Ulrich Beck we live in a “world risk society” that is, in a world of “uncontrollable risk [...] that does not arise from the fact that everyday life has generally become more dangerous. It is not a matter of the *increase*, but rather of the *de-bounding* of uncontrollable risks. This *de-bounding* is three dimensional: spatial, temporal and social” (2002: 41). For Beck, these uncontrollable risks “are not being linked to place, that is, they are difficult to impute to a particular agent and can hardly be controlled on the level of the nation state” (2002: 41).

According to the American cognitive linguist George Lakoff, at a national level governments are the only ones responsible for the citizens' welfare and national security. He establishes a parallel between the work of the nation and a family where the government is the responsible father in charge of his citizens/children's security (2006: 50). This responsibility also seems to legitimize governments to control and police their citizens to prevent clandestine activities, that is, they ideally work towards guaranteeing the citizens' safety in every conceivable respect. In practice, it implies a constant increase in the surveillance systems, which can jeopardize the population's privacy.

New technologies have been developed to improve the efficacy and scope of surveillance systems at the same time as they have triggered enormous changes in the systems themselves. According to Gabrielidis, surveillance systems have evolved a great deal from Foucault's notion of the Panopticon that he developed in *Discipline and Punish* (1977), a model that was suitable to describe the need for control measures in the 18th and 19th centuries' disciplinary societies but that seems, to say the least, worrisome to be applied to the practices of 21st century society (2015: 492). The Panopticon was a model of prison in which the design allowed a single watchman to see all cells and inmates at once. Parfait, quoted by Gabrielidis, explains that each inmate, acknowledging the possibility of being permanently seen, makes possible the smooth functioning of the power system without any person actually assuming the surveillance task (2015: 493). Even though the vigilant was not physically able to observe all prisoners at once, the simple possibility of being watched forced convicts to control their own behavior. More recently, Polish sociologist Zygmunt Bauman proposed the term Synopticom as counterpart to the Panopticon (1998). Instead of many being policed by few, the new technologies and digital media allow for a society in which eventually it is the many who watch the few. That is, in contrast with the Panopticon the Synopticon is a device not interested in the production of a docile and useful working force but in the creation of a viewer subject, a consumer by means of the legitimation and diffusion of a style of life (Gabrielidis 2015: 493). On top of that, initially the media offered the possibility of following up the lives of few people that became very influential in the lives of their audience. On the other hand, these people felt controlled and deprived of privacy from their spectators –the so-called price of fame. But nowadays surveillance technologies are intended for all citizens.

These surveillance technologies allow our *patronizing* authorities to control a huge amount of private and public information, while putting forward the notion that we are under surveillance for our own sake. The problem is, Bauman signals, that “ubiquitous care ‘from the cradle to the grave’ could be felt to be oppressive, sometimes infuriatingly so” (2006: 136), and more so when the surveillance

comes not only from the government but from everyone else. The Internet and social networks have brought about a new model of horizontal surveillance, the “Anfisinóptico”, in which all become mutually monitor and monitored (Gabrielidis 2015: 493). The question that arises then is to what extent the lack of privacy and universal control that seems to accompany governmental surveillance can be justified; Bauman himself opens the debate when he explains that “freedom with no security feels no less dreadful and off-putting than security without freedom” (2006: 137). This context may produce a shared feeling of paranoia that can also be found in other contemporary films such as Jason Bourne’s trilogy *The Bourne Identity* (2002), *The Bourne Supremacy* (2004) and *The Bourne Ultimatum* (2007), and more recently in *Closed Circuit* (2013), *Captain America: The Winter Soldier* (2014) or *Furious 7* (2015). In *Blackbat*, Hathaway initially collaborates with the US government but he ends up being persecuted by it. Bourne’s films are paranoid thrillers that share with *Blackbat* the figure of the isolated individual who has to fight the US government and defend himself against the ever-controlling authorities. A figure that according to Lake embodies “basic American (and basically liberal) values, including the insistence on personal autonomy, the desire for mobility and freedom and the belief that the right reasons for doing things must come from the self, not an external authority” (2013: 13). The aesthetic of the governmental surveillance is shown on the screen of the FBI agents’ mobile phones, where the real space of places is shown in its virtual portrait, and Hathaway is another “flow” located thanks to his ankle bracelet. Humans go beyond the borders between the ‘space of places’ and ‘the space of flows’ as well as beyond the differentiation between human and machine. They become posthuman or, as Haraway claimed some years ago we had become, explicit cyborgs since our very existence is nowadays unavoidably intermingled with technology:

The inability to divorce everyday life from technology renders the classical humanist framework (in which the human and the inhuman, the natural and the unnatural, are held in binary opposition) obsolete. Rather than continuing to see ourselves as humans, it makes better sense to claim that we are cyborgs. (2000: notes, 148)

Thus the cultural notion of the traditional human being has evolved to the new being conceived as the fusion of a physical body and identity/information, inhabitants of the virtual or at least controlled and located in both spaces at the same time. The former human subject, then, also becomes an object captured and controlled by an increasingly improved surveillance system (Gabrielidis 2015: 481).

During the 9/11 attacks, the US government was apparently overcome by the circumstances and what is more, it proved to be unable to protect its citizens. Many US citizens lost their lives on that fateful day while many others, including

their relatives, were watching helplessly the events. This caused a general feeling of terrified anguish and the more or less justified belief of being under the spot light, a possible random target for terrorism. Gradually, people of the first world stopped trusting their governments as protectors because they have failed to protect them. As Bauman contends “no longer is the state the omnipotent master of its territory” even though “it remains in charge of law and order inside its territory” (2006: 134). As a consequence of 9/11 events, US and European citizens suffered mass surveillance under governmental control while at the same time they were still possible targets for terrorists. This feeling of being permanently watched, related to the above mentioned notion of the ‘Anfisipnoptico’, can be inferred in the restaurant scene analyzed below.

The scene is shot with a shaking hand-held camera that suggests real action and the presence of someone else. The camera uses a very subjective perspective as if someone were shooting with his/her mobile phone in a very dark mise-en-scene that also recalls the visual style of noir films.



Fig. 1. Screen shot from *Blackbat*. Restaurant scene.

The gaze is the protagonist's in this scene; shot/reverse shots are used in the dialogue when Hathaway is narrating his past life. Hathaway and Chen Lien — Wei Tan — are followed by the shaking camera. Point of view shots and extreme close-ups focus on Hathaway's gaze at the same time as the subjective camera monitors Chen Lien totally unaware and defenseless in the background. Hathaway senses the surveillance and is looking for the eye, technological or human, that is watching them. Finally, he stands up and locates the surveillance camera in the adjoining room. The hidden camera is sending images, flows, information to other

places. Thus, the scene implies that paranoia may actually exist when threats are not delusions. In the network society risks are real, and not only the threat of terrorism but what Roger Clarke calls “Dataveillance”, the transmission of personal and private information from one place to another that creates dangers for the individual such as “wrong identification, blacklisting, denial of redemption, acontextual use of data, unknown accusation and accusers” (1987: np). These flows of information that “constitute the basic thread of our social structure” (Castells 2000: 508) also constitute a real danger for society as a whole. As Clarke contends, it creates a “prevailing climate of suspicion, reduction in self-reliance and self-determination, weakening of society’s moral fibre and cohesion” (1987: np), among others. Moreover, as Azcona claims in her analysis of the Bourne films: “the mechanisms that allow people to be mobile are turned into control devices to track, monitor and stop (if necessary) those very mobilities they foster and promote” (2014: 4).

If “space is not a photocopy of society, it is society” (Castells 2000: 441), what are the effects for real space as it becomes controlled, shaped and ruled by the space of flows? Could we infer that the real is dying because of the virtual? Is the “space of places” being gradually absorbed, Castells proposed, by “the space of flows” (2000: 406). What are the implications for individuals? Castells argues that some people think that better connectivity leads to stronger virtual communities but does “the internet favor the development of new communities, virtual communities, or, instead, is it inducing personal isolation, severing people’s ties with society, and ultimately with their real world?” (2000: 386). Loneliness, alienation, depression are some of the symptoms of the new citizen in this network society. In virtual realities, very frequently people self-invent their identities; it is not difficult to find profiles of people who share nothing in common with the actual person. People try to improve themselves in the virtual world and change the perception of their identity. Gabrielidis claims that “social networks impose some types of demands, due to their functioning, that force individuals to portray themselves — like this fashionable trend of taking selfies — and their environment. They constantly externalize their thoughts, political ideas, musical tastes and share them online” (2015: 480; my translation). Many people create a virtual but public persona that sometimes develops a totally independent life from the real one and lives and relates in connection with other ‘virtual identities’. Sometimes, perhaps often, they will never meet each other in real/bodily life. Image and personal data published on social networking sites become a more conscious and deliberate construction of an identity project than the self that is known, seen and touched in the real world. With greater or lesser fortune, individuals choose the images that they want to project according to their ideas of what their own society understands as an ideal, successful, respectable or worthy model.

According to Madan Sarup, from a Lacanian perspective the construction of the self is directly related to its relation to society and the others, since human beings are eminently social and “there is no separation between self and society” (1993: 6). Moreover, it is with contact among individuals (the other) and thus with the adoption of language — the means whereby humans communicate — that human beings eventually become social subjects with an illusion of an identity, because “there is no subject independent of language...[and] we all have to represent ourselves in language” (1993: 10). If we extrapolate Lacan’s ideas to our present discussion, we find a state of affairs in which social networks, language, and images intermingle to portray individual virtual identities, the result being offered to public scrutiny. In addition, Lacan sees language and desire as notions directly linked; desire is not for him a mere sexual drive but an ontological principle that impels individuals to pursue a sense of wholeness in terms of identity (Sarup 1993: 16). However, for Lacan such endeavor to achieve ontological unity is doomed to failure as there is no coming back to the sense of unity of the imaginary. Mostly in contemporary developed countries, an increasing number of individuals are projecting two split identities, sometimes irreconcilable: one in the real physical world and another virtual one in the “space of flows.” Social networks, initially populated by a majority of young people, now are in the process of becoming universalized and inhabited by any kind of individual. To cite but a few examples, in some social web sites, one can find very conservative married men and exemplary fathers in the real world who cast virtual identities as womanizers by uploading bare-chested photos to the Internet to boast about their worked-up muscles; or adult women who adjust to the archetypal patriarchal model of mother-wife at home and pose in the virtual world exposing their bodies in sexy attitudes to collect on-line admirers and a number of ‘likes’ per day. In a narcissistic way, they build their desired and virtually self-perceived personalities driven by the others’ reaction, by the others’ eye. In terms of Lacan’s ‘dialectic of recognition’, we acquire the perception of what we are from how the others perceive and respond to us but never forgetting that “we are never going to get a stable image... there is always the possibility of misinterpretation [and]... the stable ego is illusory” (Sarup 1993: 12). Furthermore, it can be argued that egos are much more illusory and unstable within the frantic and expiring dynamics of Internet social networks. This permanent exposition to public judgement inevitably creates personal and identity conflicts because of the desire to offer the best possible image to others and the resulting frustration when the image does not have the expected repercussion or recognition. Visible, even if only as a virtual identity, to the entire World Wide Web, the individual wishes for recognition from the viewers. Lacan’s concept of desire, as contended above, is not so much related to sexuality as it is influenced and mainly extracted from the German Idealist philosopher Georg W. Friedrich Hegel:

Desire, being the revelation of an emptiness, the presence of an absence, is something essentially different from the desired thing. Desire is directed towards another Desire, another greedy emptiness, another “I”. Desire is human only if one desires not the body but the Desire of the other; that is to say, if one wants to be ‘desired’ or, rather, ‘recognized’ in one’s human value. All desire is desire for a value. To desire the Desire of another is really to desire a ‘recognition’. (Sarup 1993: 17-18)

In this sense, some individuals construct ideal disembodied identities in the ‘space of flows’ trying to become the Lacanian ‘desire of the Other’. Or as Bracher explains, also from a Lacanian perspective, the individual feels “passive narcissistic desires” of being somehow loved, perceived and noticed by the “Other, which is “the ultimate authority or source of meaning constituted by the Symbolic order and epitomized in our notions of Nature, Society, God, and so on” (1993: 23). The construction of these self-improved virtual identities allows subjects on the one hand to feel good about themselves and find some sense of fulfillment. On the other, they can also be the source of fragmentation and frustration when the successful virtual subject is hardly reconcilable with the physical one still living in the ‘space of places’. Identities become more fragmented and complicated, struggling between the real and the expectations and obligations they have imposed upon themselves in virtual life. The possibilities offered by the virtual realm allow individuals to create new, different and improved personalities, the type of person they cannot be in the physical realm, and the obscure villain in *Blackbat*, Sadak — Yorick van Wageningen — constitutes a good example of how a bland individual in real life grows up to be a powerful villain in the virtual one.



Figure 2. Screenshot from *Blackbat* (2015). The villain in his cellar.

This very brief shot of the villain is hardly noticeable at the beginning of the film, when the malware is extending through cables and circuits. He is shot from a high angle and he seems Mr. Nobody, invisible, hidden in a dark room with classical furniture and wooden walls like a modern phantom of the opera. The angle of the camera suggests that he is in a cellar, insignificant, indistinguishable in the darkness. He can be any of those people who spend their lives in front of a computer screen. Sadak is not even a computer genius, as spectators learn afterwards he has only modified the malware downloaded from the web, but he is still a real threat. He is able to destroy the most beautiful landscapes and kill people because he has the power to control the flows. He seems narcissistic and probably suffering from delusions of grandeur because he is *someone* in the net and *nobody* in the real world. The film epitomizes Sadak as a new type of criminal much more difficult to control in our contemporary cultural imaginary. He embodies the most feared side of the network society together with terrorism and radicalism. Sadak is a person without conscience or moral principles; he makes the most of the lack of control in the web and does not hesitate to destroy the real world where he probably does not fit. Using Beck's words, he could be described as an uncontrollable risk de-bounded in its social dimension.

Furthermore, in the new *space of flows* the individual identity can be not only pretended, but also supplanted. Personal identity now consists of data recorded, information travelling through the net. However, this is not a recent phenomenon as identity has always been linked to information and data. Katherine Hayles states that "we are essentially informational patterns" (1999: 22). Whether cyborgs, as Haraway calls us, or as posthuman beings, it is undeniable that in spite of being physical bodies living in the 'space of places,' part of our actual identity is also made by information already kept outside our physical bodies, in the web memory. The Internet, as Gabrielidis describes, "functions collecting images and personal data, that in the case of the average citizen initially were surely intended to be shared only with friends, but eventually, this information can become the source of their own surveillance and the support of the power exercised over them" (2015: 487; my translation). Nevertheless, as Gabrielidis herself acknowledges, in our time "being completely removed from this visibility regime has a dark side, it can be the real and concrete disappearance of a person" (2015: 491; my translation). One does not exist unless his/her personal data is not stored and used in the virtual world. Moreover, whoever can get your information may also appropriate your identity. Identity has become something out of the individual control, based and supported by the virtual. This is one of the examples of the threat that Clarke's concept of *Dataveillance* involves. Sometimes the only thing that protects our personal information and money is a password or a pin, as *Blackbat* also

warns. Hathaway himself supplants a high-ranking FBI officer's identity in order to achieve the Black Widow, a security program he needs. He writes an email pretending to be this officer, Ben Hitchens, and gets the password which allows him to take control of the software. This time it is 'for a good cause' but the danger of losing our identity and possessions is another source of worry and paranoia in our present network society; again paraphrasing Beck, an uncontrollable risk de-bounded, this time in its spatial/ontological dimension.

Finally, the traditional heroic pattern rules again. The criminal is killed by the hero and Hathaway escapes with the girl. The film ends in an airport, a place associated with constant mobility, quintessentially the place where people move, and nobody stays. Both, Hathaway and Chen Lien have become flows in the real world because they will not be allowed to remain in a single place for a long time. They should be vigilant because now they are in a bigger prison than that in which Hathaway was at the beginning. The Earth is a 'shrinking world' that has become "an increasing interconnected space in which distances can be transcended at supersonic speeds or even at the push of a button" (Kirsch 1995: 529). Our world is now at the same time an attainable space and, in consequence, a totally monitored place, not only by technological devices but by the huge device constituted by billions of eyes watching our virtual identities. Hathaway and Chen Lien may have money now, but it is in the virtual space, it is data, flows of information, and it can be discovered and cut at any moment. The two main points I have discussed in this paper are present in the film's ending: surveillance and flows. Hathaway and Chen Lien walk by one of the Airport corridors surrounded by flows of unknown people. People are moving in different directions, but all of them are being watched through surveillance cameras, their freedom and mobility are fragile. At any time Hathaway and Chen Lien can be recognized and stopped. Ultimately, they cannot escape, because the network's tentacles can reach every place, the entire world is accessible for them. The Earth, as the first scene showed, belongs to the net.

The spread of new technologies has changed our perception of the world. Nowadays the real and the virtual overlap and influence each other. In our network society, the increasing importance of the virtual over the real seems to be changing very quickly the way we (post)humans live, behave and move, in short, they are transforming our society. *Blackbat* is a good example of the dangers brought about by this negotiation existing between the real and the virtual. Our real ontology, the physical one, seems to be losing ground in the confrontation with the virtual one. The real is ruled, controlled and invaded by the virtual. Furthermore, this instant communication of people, goods and money which would have the potential to change the world for the better is perceived somehow like a threat. It entitles governments with the self-proclaimed right to control everyone, because new

menaces are diffuse and untraceable and in the alleged interest of the common good no one is exempt from the vigilant eyes. This feeling of permanent movement, connection, fragmentation, and self-invention of identities comes as a result of the possibilities that new technologies have brought about. The interpenetration and the blurring of the limits between physical identities and virtual ones, together with the idea of living in a world in which there is no escape and in which we are always the object of surveillance on the part of governments but also due to our voluntary exhibition on the World Wide Web are, beyond its mere narrative adventure, main concerns in *Blackhat*. May be structurally Michael Mann's is not a flawless film, but it offers a serious warning about the dangers of our present quest for new virtual identities, thus surpassing mere market expectations.

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**ANALYSING TEACHERS' ROLES REGARDING CROSS-CURRICULAR
COORDINATION IN CONTENT AND LANGUAGE INTEGRATED
LEARNING (CLIL)**

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ABSTRACT. *When analysing the main drivers for the success of Content and Language Integrated Learning (CLIL), interest has been paid to the significance of coordination between language teachers and content teachers to promote an effective integration of content and language. A decisive factor in teaching seems to be teachers' perception of their own professional identity, pedagogical standpoints, and performance. The aim of this study is to investigate their understanding of how CLIL influences content and language teachers' perceptions on the roles they take and on their own professional development. It endeavours to gain insight into CLIL teachers' opinions and their understanding of the importance of establishing coordination processes. The results obtained show that teachers believe that working in a CLIL programme benefits their professional profile, and that coordination between foreign language (FL) teachers and content teachers at different levels is fundamental.*

Keywords: CLIL, perceptions, coordination, methodology, professional development.

ANÁLISIS DE LOS ROLES DEL PROFESORADO EN LOS PROCESOS DE COORDINACIÓN TRANSVERSAL EN LA ENSEÑANZA INTEGRADA DE LENGUA Y CONTENIDOS (AICLE)

RESUMEN. *Entre los principales factores que contribuyen a la efectividad del Aprendizaje Integrado de Contenidos y Lengua (AICLE), destaca la coordinación entre los profesores de la lengua extranjera y los profesores de las llamadas disciplinas no lingüísticas. Uno de los elementos decisivos de la práctica docente se encuentra en las propias percepciones que el profesorado tiene de su identidad profesional, posicionamiento pedagógico y actuación en el aula. El objetivo de este estudio es investigar las percepciones del profesorado con respecto a cómo AICLE influye en su desarrollo profesional y opiniones sobre la importancia de establecer una estructura de colaboración entre todo el profesorado implicado. Los resultados obtenidos muestran que el profesorado está convencido de que AICLE beneficia el desempeño profesional del profesorado y que la coordinación entre los profesores de lenguas y los de contenidos es fundamental para el éxito del programa.*

Palabras clave: AICLE, percepciones, coordinación, metodología, desarrollo profesional.

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1. INTRODUCTION

The popularity of Content and Language Integrated Learning (CLIL) across Europe has escalated in recent decades (Marsh 2013). The rationale behind CLIL is that it is both possible and desirable to expand learners' linguistic competence in one or more additional language(s) through their use as vehicular language(s) in the teaching of selected content subjects (Coyle, Hood and Marsh 2010; Mehisto, Marsh and Frigols 2008).

In spite of this predominantly positive view, some critical voices have been raised against the 'CLIL frenzy'. Bonnet (2012: 66) states that the "added value of CLIL" needs to be questioned. In fact, in some contexts research confirms the negative effect of CLIL on learners' knowledge of content subjects and on their command of the language of instruction, partly attributed to the inappropriate input they receive from their teachers (Costa and D'Angelo 2011). For some, it is possible that the purported benefits of CLIL stem from external factors, such as the socio-educational background of CLIL students, rather than to CLIL tuition itself (Bonnet 2012; Bruton 2011, 2013; Costa and D'Angelo 2011). Even the consideration of CLIL as an umbrella term, encompassing "any learning activity where language is used as a

tool to develop new learning from a subject area or theme” (Coyle, Holmes and King 2009: 6), has led others (Cenoz, Genesee and Gorter 2013, Cenoz 2015) to wonder whether there is any teaching or learning activity that does not fall within CLIL.

On the other hand, the outcomes of this approach have been covered extensively. CLIL allows the construction of content and language knowledge on the basis of semantic scaffolding (Lorenzo *et al.* 2009; Marsh 2009; Meyer 2010). Besides, CLIL learners are credited with a better mastery of oral registers (Berton 2008; Marsh 2007; Frigols 2008), particularly speaking (Coyle 2013; Lasagabaster 2008; Ruiz de Zarobe 2008, 2011), lexico-grammatical competence and pragmatic efficiency (Jexenflicker and Dalton-Puffer 2010; Lo and Murphy 2010; Lorenzo *et al.* 2009; Madrid 2011). Learners experience greater involvement in a more enjoyable environment (Coyle 2013) and, as a result, they are more motivated towards learning an additional language (Arnold 2011; Coonan 2012; Frigols 2008; Merisuo-Storm 2007; D’Angelo and García 2012; Ruiz de Zarobe 2013). CLIL is also said to contribute to broader educational objectives, such as critical thinking and intercultural learning (Méndez García 2013).

In terms of professional growth, CLIL creates an egalitarian atmosphere in which both teachers and students become co-experts in the additional language and cooperate to co-construct language learning and classroom interaction “while the technical content expertise remains with the teacher” (Hüttner, Dalton-Puffer and Smit 2013: 276). CLIL also boosts teachers’ self-esteem and motivation by triggering “rethinking of their teaching vision” (D’Angelo and García 2012: 76). In this context, teachers’ perceptions of their actual performance may significantly affect their understanding of the challenges that CLIL entails (Halbach 2009; Ramos Ordóñez and Pavón 2015), how to construct teacher collaboration (Meyer 2010), and how to scrutinise teachers’ profile and competences (D’Angelo and García, 2012; Hylliard 2001; Pavón and Ellison 2013). A lot of attention then has been given to reviewing teachers’ opinions of their role in CLIL and a number of studies have specifically investigated teachers’ perceptions of CLIL in different European contexts (Hüttner *et al.* 2013 [Austria]; Infante, Benvenuto and Lastrucci 2009 [Italy]; Moliner 2013; Pena and Porto 2008; Travé 2013 [Spain]; Viebrock 2012 [Germany]).

This paper sets out to look into teachers’ views of professional coordination. Coordination has been reported to produce positive results in English as a Second Language (ESL) and content-based instruction contexts (Creese 2010; Davison 2006; Tan 2011). In particular, this paper investigates teachers’ opinions about the difficulties and benefits arising from collaboration between content and language teachers, and on the roles they take while establishing this coordinated work; it also analyses CLIL in their professional careers and, more specifically, how it influences their own academic and professional development.

2. TEACHERS' BELIEFS AND PERCEPTIONS OF THEIR PRACTICE

Literature on teacher cognition acknowledges the need to carry out research on teachers' beliefs, although one of the main challenges it poses is the fact that beliefs are not directly observable (Borg 2006) and entail "accepting a proposition for which there is no demonstrable knowledge" (Woods 1996: 195). Beliefs are an important area in teacher cognition research because they enhance reasoning and assessing. Beliefs are closely related to constructs such as assumptions and knowledge, these three elements having been referred to as BAK (Woods 1996). Beliefs are further characterised by being propositions "consciously or unconsciously held", "evaluative in nature", "imbued with emotive commitment" and "a guide to thought and behaviour" (Borg 2001: 186). They lead to reflection on teaching and, therefore, pave the way for change: "without addressing teachers' pre-existing beliefs, changes cannot successfully be implemented in teacher attitudes or behaviour" (Hüttner *et al.* 2013: 269). Teachers' beliefs and perceptions of their own identity, the role they play in their institution and their pedagogical standpoints become a decisive factor in teaching (Tan 2011) and in how willing teachers are to embrace changes (Méndez García and Pavón 2012; Méndez García 2013). Despite the fact that it is difficult to establish a one-to-one correlation between beliefs and educational actions, teachers' self-perception and learning experiences seem to be at the heart of their decision-making processes and performance (Musanti and Pence 2010) because the way teachers see educational practices has an "enormous influence on the teacher's actions in the classroom" (Viebrock 2012: 78-79).

Research on beliefs and perceptions allows us to gain insight into students' motivation and experience, and into teachers' classroom behaviour (Hüttner *et al.* 2013). CLIL teachers' perception of their practice and their willingness to get involved in collegial participation are influenced by elements such as their expectations of support, their attitude to CLIL, the effort they put into the CLIL programme and the perceived achievements of CLIL tuition (Coonan 2007; Moliner 2013). Eventually, teachers' beliefs and practices are modified by students' performance (Bustos 2001; Pena and Porto 2008), which greatly contributes to teachers' overall perception of the outcomes of CLIL.

3. CROSS-CURRICULAR COORDINATION IN CLIL ENVIRONMENTS

An important characteristic of institutions providing CLIL education is the necessity for all stakeholders to coordinate and collaborate (Lorenzo and Moore 2010; Lorenzo, Trujillo and Vez 2011; Viebrock 2012). Particularly significant are the exchanges between language and content teachers since in the context of this study they are the ultimate agents responsible for planning, implementing

and assessing the CLIL subjects. Davison (2006) sets the bases for content and language teaching co-operation as a process that requires:

- Conceptualising the task (planning, teaching and evaluating) so that content teachers are familiarised with the underlying principles of foreign language learning.
 - Adopting a common curriculum (not just a common methodology and materials) in which the foreign language and the content-area curricula merge.
 - Establishing goals and assessment. The incorporation of language goals into content subjects may be challenging because content teachers may not be aware of the language demands of their own area.
 - Agreeing on the roles and responsibilities of teachers.
 - Weighing diversity and L2 learning support.
 - Reflecting on the tools for monitoring, assessment and feedback.
- (Davison 2006: 456-457)

A major step in coordination is agreeing on methodological and pedagogical foundations given that “pedagogies that are perceived as highly effective in the literature and used widely among language professionals (e.g., scaffolding, making links between form and function, noticing gaps in input, providing opportunities for negotiation) are perceived as less important than the content teachers’ pedagogical practices” (Creese 2010: 101).

However, collaboration is not without its problems. It not only calls for external support and incentives, but also for internal resources, agreement on teaching loads, time to experiment, and relationship building (Davison 2006). The process of developing professional relationships with colleagues may cause anxiety, whereas trust may take some time to establish (Musanti and Pence 2010). Likewise, the methodological and pedagogical innovations associated with CLIL and the change in teaching patterns raises issues of control, personality clashes and resistance to advice (Hargreaves 1994). In spite of the difficulties inherent in collaboration and the initial resistance it is met with, co-operation constitutes a *sine qua non* of the teaching profession. It is only through peer exchanges that isolation is overcome, knowledge is co-constructed and beliefs in teaching are revisited (Musanti and Pence 2010).

4. RESEARCH DESIGN

4.1. GOALS AND RESEARCH QUESTIONS

The main objective of this qualitative study is to enquire into teachers’ perceptions regarding the impact of CLIL on their professional development. It should be clarified,

however, that this study looks into professed rather than enacted beliefs. It explores teachers' ideas on the potential influence of CLIL on their teaching practice and on the importance given to cross-curricular coordination. More specifically, coordination between teachers of an additional language and teachers of content, coordination between teachers of the content subjects, and coordination between the teachers of the language subjects are investigated. The possibility to set up a connection between the language that students learn as a vehicle of communication with the content they are learning favours a bi-directional relationship between the academic knowledge and the language needed to understand and express this knowledge. Moreover, this collaboration could be extended to other areas and include the coordinated work of content teachers, and also the coordination between the teacher of the language of instruction, the teacher of the mother tongue and the teacher of other languages present in the curriculum. Hence, a concurrent objective is looking into teachers' perceptions of the roles taken by language and content specialists in the CLIL programme. As a consequence, the research questions guiding this study are:

- a) In what way does CLIL affect teachers' perception of their professional development?
- b) How do content and foreign language teachers perceive and structure interdisciplinary coordination?
- c) How do content teachers perceive and structure their own interdisciplinary coordination?
- d) How do foreign language and first language teachers perceive and structure their own interdisciplinary coordination?

4.2. CONTEXT AND PARTICIPANTS

The study reported here has been conducted in Andalusia, a monolingual region in which the only acknowledged official language is Spanish. This study was carried out during 2012 in primary and secondary schools involved in the Plan to Promote Plurilingualism initiated in 2005 (Junta de Andalucía 2005). Plurilingual education is nurtured in a partial-immersion programme in which at least three of the subjects are taught through an additional language (generally English, but also French or German) considered as an "instrumental language, a language of learning, a teaching vehicle, which is used in parallel to the first language (the mother tongue). It does not, at any time, invalidate the first language" (Junta de Andalucía 2005: 18-19).

In this context, the teaching of content is exclusively carried out by content teacher specialists, with the exception of some cases in primary education,

where the content teacher may also be a specialist in an additional language. Schools appoint a coordinator, usually a teacher of an additional language, who is responsible for coordinating the work of the teachers involved in the programme. There is also a language assistant, a native speaker who mainly collaborates with content teachers.

A total of 42 primary and secondary education teachers (27 content teachers and 15 language teachers, 18 teachers of primary education and 24 teachers of secondary education) from 25 state-run schools (10 primary and 25 secondary schools) participated in this cross-sectional study. The age of the participants ranged from 30 to 45, and around two thirds of the teachers were women (68%). All of them were engaged in the Plan to Promote Plurilingualism (Junta de Andalucía 2005), and had received training and guidance on the principles of CLIL through conferences and workshops. This training enabled them to become familiar with CLIL curricular organisation, the creation of content and language integrated lesson plans, methodological strategies, adaptation and elaboration of materials, and assessment. It is important to note that the participants belonged to schools with an average experience of five years of implementation of the bilingual programme.

4.3. INSTRUMENTS AND DATA COLLECTION

A questionnaire with 25 questions (see the Appendix) was designed to both encourage teacher reflection and elicit quality-rich data on teachers' perceptions of their CLIL practice, but not specifically on their beliefs. With a view to obtaining qualitative data, all the questions formulated in the questionnaire were open-ended. The questionnaire was distributed online to 55 teachers participating in a professional development programme and teachers were invited to submit their answers within the course of one week. 42 teachers answered all the questions, a response rate of 76.3%.

Data were analysed by identifying key ideas and emergent themes in the answers given to the questions. The authors labelled and analysed data independently and then worked together until they reached a joint agreement on the issues that emerged. The analysis of the data was based on the inductive approach of grounded theory proposed by MacKey and Gass (2005), by which the focus is on the emergent categories arising in the different stages of the analysis and not on pre-established categories. For example, the analysis of the data corresponding to research question 1 was codified according to two main emergent themes, teachers' perception of the skills CLIL education demands and the desirability or necessity to shift methodological practices.

5. RESULTS

The data presented below has been grouped according to the research questions posited. The first sub-section addresses the teachers' understanding of how CLIL influences their personal development. The next three sub-sections delve into their perceptions on the collaboration process between content and foreign language teachers, between content teachers, and between language teachers¹.

5.1. ACADEMIC AND PERSONAL DEVELOPMENT

Getting involved in a new educational initiative is always a challenge for teachers. Participating in CLIL requires a clear understanding of the aims and characteristics of the specific bilingual programme, and a solid knowledge of curricular organisation, strategies, techniques, and specific assessment procedures.

In the main, when it comes to analysing teachers' perceptions of their own personal and professional development, their opinions are overwhelmingly positive. They consider CLIL a rewarding and enriching teaching experience, and a medium to achieve intellectual improvement:

It is clearly enriching for me, both personally and professionally. (T2)

Making students progress intellectually contributes to our own global and intellectual development. (T3)

They state that the challenge of teaching content through an additional language is an exciting objective in their professional life, which incentivises and stimulates them, while acknowledging that it requires more effort:

The bilingual programme has changed the traditional attitude that we always feel at the beginning of the academic year; we have found a new stimulus in our work. (T39)

The motivation of students compensates for the effort that the teachers have to make everyday. (T10)

It is common to find views which emphasise that teaching becomes more motivating and that CLIL has brought about continuous training and adaptation to a different type of practice, which ultimately influences teachers' professional development:

¹ Teachers' quotations are labeled with a T followed by a number from 1 to 42, the respondents' number.

Teachers get more motivated because this is a new incentive for our professional routine. (T36)

In addition, teachers envisage CLIL as a way of expanding their professional development, which not only becomes “more global”, but also promotes the incorporation of an intercultural perspective into education, and equips them to better understand and deal with diversity:

We have a richer and more global professional development, for example through contact with other European schools. (T32)

I think that bilingual programmes facilitate a more tolerant attitude towards diversity. (T36)

Most of these positive judgements derive from respondents' awareness of the methodological shifts CLIL calls for:

We are forced to renew our teaching habits, use new materials, teach differently, and assess using other criteria... All this benefits our professional performance day by day. (T14)

The necessity to overcome the difficulties of using an additional language demands the use of more varied resources and a wider capacity from teachers to create an effective learning environment. (T23)

They are well aware that they need to have a firm grasp of specific strategies and techniques, and consequently are prone to take part in continuous training activities:

Getting engaged in the bilingual project demands a continuous development of the teachers' competences in order to obtain positive results in our classes. (T37)

Finally, in spite of this overall positive perception, it cannot be denied that CLIL is challenging due to the necessity to invest a considerable amount of time and effort, and to the need to incorporate manifest methodological and pedagogical changes. Hence, it is not surprising that some may consider their engagement in CLIL a highly demanding experience:

Due to the necessary changes in my teaching performance, the elaboration of materials and the extra number of preparation hours, the personal burden, for example in my case, may be excessive. (T8)

Depending on our expectations, it may cause stress rather than intellectual development in certain teachers, especially older ones. (T32)

5.2. COORDINATION BETWEEN FOREIGN LANGUAGE TEACHERS AND CONTENT TEACHERS

As stated above, the impact of a new educational paradigm on the respondents' perceptions and the need to make significant changes to their methodology are seen as decisive factors in the implementation of CLIL programmes. In this context, understanding that the additional language subject plays a pivotal role in CLIL, and helping students garner the linguistic competence necessary to assimilate academic content, is of paramount importance.

With regard to structuring coordination between the additional language teachers and content teachers, the target vehicular language as a subject plays a significant role in CLIL contexts as it aids the development of the specific academic language proficiency required in the content subjects. One of its functions is to stimulate fluency and to develop strategies to understand and verbalise academic content. In addition, the language as a subject acquires a new dimension in CLIL, since the traditional perception of learning a language as an independent subject has shifted to acceptance that it can be the medium for understanding the content of other areas. For many teachers, the assumption is that coordination between language and subject teachers is a basic premise beyond question:

Coordination between the FL teachers and the content teachers is the basis for successful teaching of content. (T39)

One of the functions of coordination between language and content teachers is to reach an agreement on the linguistic necessities that instruction through an additional language may require. Inevitably, this process might demand a partial restructuring of the language syllabus, which is occasionally adapted to allow for the anticipation of a particular linguistic element needed in the content class:

There should be a close collaboration between FL and content teachers. It is vital that both teachers agree on the linguistic needs of the students/learners or the linguistic demands of the content subject. (T18)

I think that support from FL teaching is fundamental. I cannot teach History if my students do not know how to use the past tense. (T9)

It is noteworthy that teachers are aware that this type of coordination has the potential to enhance a sense of integration and cross-curricular teaching, reinforces the collaborative dimension, and can benefit the whole school:

It is a fantastic measure because it obliges teachers to work as a team. (T4)

Coordination is essential in order to construct something stable, not only among the colleagues in the bilingual project, but also in general. (T41)

In addition, teachers emphasise that it brings about methodological gains for both language and content teachers, and helps them develop their teaching strategies:

Working together will enhance the development of a more effective and participative methodology. (T22)

This coordination should be obligatory because getting to know the methodological strategies of both types of teachers may be very useful and tremendously beneficial. (T39)

The identification of teachers' roles in CLIL may be a source of disquiet for some professionals because it may be difficult to separate linguistic performance from knowledge of content and often content teachers are unsure about their role with respect to both. In the present study, the responses reveal the demand for a clear and well-structured assignment of roles. Respondents report that the language studied in the language classes should support content learning, to either or both anticipate and consolidate vocabulary, linguistic structures and functions:

FL teachers should support content areas by providing the foundations and language structures that content teachers have to use in their content materials. (T41)

It is essential that FL teachers help consolidate linguistic aspects by working on specific vocabulary used in content classes, consolidating the use of certain grammar structures and focusing on facilitating the comprehension of content material. (T37)

Common assessment criteria and instruments, specific attention to linguistic errors in the language classes and the recurrent argument for a shared methodological dimension constitute three further essential factors:

Coordination should go beyond anticipation of linguistic elements and cover procedures, selection of contents, and definition of assessment criteria and instruments. (T11)

I think it is necessary that FL teachers and content teachers reach a consensus about strategies and methodological principles. (T31)

Finally, views are expressed that it is important to coordinate a common use of everyday language both in the FL classes and in the content classes as a way of agreeing on models of usage in these two contexts:

It is really productive to work on specific vocabulary prior to teaching the content, but it would also be beneficial to focus on common use of the language in the FL class and in the content class. (T5)

However, it is also significant that some respondents question the feasibility of successful coordination between language and content teachers and stress that time constraints constitute a major limitation:

Coordination is impossible because of the incompatibility with our schedules. Also we have very little time available, a lot of bureaucratic work, reports, etc., too much extra work. (T30)

5.3. COORDINATION BETWEEN CONTENT TEACHERS

In general, teachers assume that coordination among content teachers is also beneficial *per se* and should be established:

This coordination is essential so that students can assimilate vocabulary and concepts with ease. No coordination, no benefits. (T2)

Coordination is at the very heart of the effectiveness of the programme. Without coordination we couldn't achieve positive results. (T5)

Teachers seem to agree that this coordination is likely to improve the understanding and processing of information, especially if there is thematic cohesion among the different subjects:

Working with shared and similar concepts in our content subjects makes the outcome of our teaching more fruitful. (T4)

All kinds of coordination are important, but this is even more necessary because it enables students to draw connections between the content of the different subjects. (T15)

The larger the number of interrelated vocabulary items and concepts addressed, the higher the possibility of facilitating comprehension and assimilation of content:

Coordination of content helps facilitate assimilation as students benefit from receiving interconnected academic material. (T21)

By working together, content teachers help students connect concepts from different areas. (T26)

Similarly, it is argued that coordination of content subjects not only facilitates the development of the language, but it is also a key process in consolidating a sense of connection among teachers, and the feeling that collaboration is enriching for both school and teachers:

It does not only benefit the assimilation of content, but working with similar concepts also supports the linguistic dimension. (T29)

It is not only a fundamental measure; it is also rewarding to establish links with your colleagues. (T8)

We should use this coordination as a means to learn from our colleagues. (T12)

As with language-content teacher coordination, respondents also emphasise the importance of the methodological dimension in the coordination between content teachers, on the grounds that it is crucial for enabling quality education:

It would be desirable if we could use a common methodology. (T35)

Quality in education is also based on getting to know different kinds of teaching and choosing the best practices from each other. (T3)

Content teachers concur that promoting homogeneity in the use of teaching strategies, common techniques, and connecting and revisiting topics and concepts helps achieve better results:

Working together will allow us to plan common tasks to work on contents in an integrated way, and will additionally help us share ideas and strategies. (26)

Teachers must insist on exploiting the techniques of redundancy specifically in order to strengthen cohesion and interrelation of contents in the different subjects. (T33)

Further illustrative aspects are the importance of reaching a shared view on assessment, class management dealing with disruptive students, and establishing a solid collaboration with the families so that students can receive support at home:

I believe that we should also try to coordinate assessment criteria, classroom management and even attention to discipline problems. (T14)

I would suggest that it could be highly beneficial to collaborate with the families, so that parents can support their children's learning at home. (T34)

Although a consensus exists on the necessity and gains of this type of coordination to promote the assimilation of content material, there are also some concerns about its implementation, or at least about the difficulties that content teachers may encounter when coordinating their work. Indeed, some consider that it is hard for content teachers to coordinate their teaching, mainly due to the absence of resources and, once again, time constraints:

Even though this coordination is crucial to the success of the programme, in reality, conditions do not make it possible. (T30)

In practice, it is really difficult for content teachers to work together as the slots in their work timetables do not simply coincide. (T26)

5.4. COORDINATION BETWEEN FOREIGN LANGUAGE AND FIRST LANGUAGE TEACHERS

The role of the other languages involved in CLIL is likely to be viewed as a way to support and consolidate the additional language and, by extension, the CLIL programme. Some respondents openly recognise the potential of collaborative relationships between language teachers:

To me, an integrated curriculum is based on the collaboration between teachers in all areas, and the coordination between language teachers is an area that should be explored. (T19)

The language subjects involved in bilingual programmes may facilitate the learning of content through these languages. Language teachers seem to be aware of this phenomenon and suggest a coordinated approach to improve language competences. Even for some this should be established prior to any other kind of coordination:

All language subjects promote the acquisition of learners' language competence and it seems obvious that this should be tackled in a coordinated way. (T28)

The first type of coordination that should be established is the coordination between the language subjects, and once this is established, we could move on to develop coordination in the other areas. (T34)

Working with common language functions and structures, and similar types of discourse and textual genres in the different languages may strengthen linguistic elements and the communication strategies which are necessary to understand and verbalise content material:

Working with similar language functions in the L1 and in the FL is highly beneficial for the two languages; students can compare the languages, which leads to a better language use of both of them" (T21)

It is important that we work on language functions, vocabulary, types of discourse and textual genres in the three languages (L1, FL and even a second FL). I think it is crucial in promoting metalinguistic reflection. (T22)

In addition, this collaboration transcends the language dimension as the knowledge and expertise provided by the different language teachers may have a positive impact on their understanding of the mechanisms that are necessary for the acquisition of languages. It may also foment a more communicative performance, and, consequently, improve the quality of their teaching:

In our school we are coordinating the use of common communicative functions in the mother tongue and in the FL and the results are fantastic. (T14)

6. DISCUSSION

The data yielded in this study confirm that, as posited in research question (a), involvement in CLIL seems to influence teachers' thoughts about their own professional development. Even though teachers quite often experience a certain degree of discomfort that stems from the challenges arising from this innovative way of teaching and learning (Pavón and Rubio 2010), in line with other studies (Hüttner *et al.* 2013), a positive feeling is generally reported. CLIL teachers claim that, though difficult to put into effect, participating in CLIL leads to positive, rewarding, motivating and stimulating outcomes. Teachers believe that through CLIL they are more motivated and are actually becoming better professionals because of the necessity to participate in continuous training and adapt their materials and methodology to the new teaching and methodological requirements (Wolff 2012).

As to research question (b), on the supposed gains of coordination between language and content teachers, data indicate that, similarly to contexts where content-based instruction is utilised (Lo 2015), there are perceived benefits for students (who are said to improve their proficiency in the language of the CLIL class), and for content teachers (who benefit from a different use of teaching strategies and new methodological approaches). There is a necessity to define the roles of language and content teachers, as language teachers are often credited for providing linguistic support by anticipating and/or consolidating vocabulary, linguistic structures and functions. As to content teachers, a key question is whether they act solely as teachers of content material or if they also need to occasionally resort to linguistic explanations about the vehicular language. If the content teacher is also a language specialist this should not be an issue. However, when content teachers are only specialists in their subject(s) they may simply consult language teachers when they need clarification on linguistic aspects, as reported by Tan (2011) in studies conducted in content-based instruction contexts. On the other hand, CLIL teachers may foster a structure of collaboration in which language teachers, when required, adapt their language classes to the linguistic items and functions that students might need in the content classes (Pavón and Ellison 2013). Responses show that the role of the language is perceived as a fundamental support to content subjects because it helps expand learners' language proficiency. Ideally, in the language class, vocabulary, structures and functions should be connected to the cognitive and linguistic demands of content subjects. Finally, the benefits extend not only to academic use of the language (as in *Cognitive Academic Language Proficiency*) but also to everyday use of the language (*Basic Interpersonal Communication Skills*) (Cummins 1984, 2008).

As regards research question (c), coordination among content teachers, there is evidence that teachers find coordination relevant for the consolidation of content

material, and advantageous for students, teachers and the school in general. According to Coyle *et al.* (2009) and Dale, Van der Es and Tanner (2010), success in CLIL largely depends on the establishment of coordination mechanisms among content teachers. Coordination among professionals in charge of different content subjects based on similar thematic areas, concepts, ideas and notions seek to facilitate the assimilation and consolidation of academic material and to reduce the difficulties of teaching through an additional language, an issue on which teachers concur. According to the data, connecting topics and using interrelated vocabulary and concepts in the different subjects is a productive means to help students understand and process content. Working with shared vocabulary and concepts in the content subjects has been reported to have a noticeable impact on connecting new and previously established concepts (Graaf, Koopman and Tanner 2012). However, professionals warn that content teachers' coordination needs to go beyond these factors and comprise agreement on methodology and teaching practices.

Finally, coordination among language teachers (question d) seems to yield some gains, according to the responses. When examining teachers' coordination in different contexts (Creese 2010; Davison 2006; Graaf *et al.* 2012), coordination between teachers of different languages has not received as much attention as coordination between language-content teachers, and content-content teachers. However, planning shared and common work on language functions may facilitate the cognitive development connected to the operation of interlinguistic processes, thus contributing to an acceleration of positive transference and consolidation of communication strategies between all the languages (Lorenzo 2013). In line with this idea, it seems reasonable that similar benefits can be reaped from coordination with the other languages present in the curriculum. This specific coordination may assist "the formation of a common linguistic capacity" (Pavón *et al.* 2014: 4). This coordinated work in the different language subjects may bring about important gains and play a significant part in facilitating the understanding and expression of academic content, which in turn may reinforce the processing and consolidation of academic material in the content subjects (Coyle 2015; Meyer *et al.* 2015). Research in this field reveals that collaboration between the first language teacher and the additional language teacher may be an effective strategy for supporting students' understanding of content (Dobson, Pérez and Johnstone 2010: 52). It is argued that joint work among language specialists enhances the cognitive processes and interlinguistic transference that ultimately leads to the consolidation of communication strategies in the different languages (Lázaro and García-Mayo 2012; Laupenmühlen 2012; Méndez García and Pavón 2012). Some of the advantages brought to the fore are the promotion of common cognitive processes, transference among the languages,

and strengthening of shared communication strategies. Furthermore, verbalising content in different languages through the use of similar types of discourse and analysis of textual genres (narrative, descriptive, etc.) seems to improve common macro and micro linguistic structures (Lorenzo and Rodríguez 2014). Although language teachers' coordination is not frequently addressed in CLIL research, the teachers investigated state that selecting common linguistic objectives and contents, designing activities that require similar use of the language, and in general working with linguistic elements and communication strategies may have a distinct effect on CLIL.

7. CONCLUSION

Putting CLIL into practice is not an easy endeavour. In fact, there is no single recipe or standardised CLIL model because of the wide variety and enormous complexity of the factors that are involved (Marsh 2013). The success of CLIL rests on taking all important decisions and adequately deciding the procedures on an adequate selection of all-important decisions and procedures related to curricular organisation, the role of the different stakeholders, and pedagogy and materials, which makes it difficult to delineate a single model that can lead to specific outcomes (Cenoz *et al.* 2013; Mehisto and Genesee 2015). Among these variables and dimensions, following the perceptions of the teachers investigated and in line with studies on the same topic (Davison 2006; Graaff *et al.* 2012), coordination and collaboration between language and content teachers is perceived as a decisive constituent for the success in CLIL.

As perceived by teachers, CLIL becomes both a rewarding but highly challenging experience. It is through CLIL that practitioners strive to put into practise new methodologies to explore their subjects from different perspectives and in a more student-friendly way. Teaching their subjects through the CLIL language does motivate, stimulate and keep them updated; more importantly, it provides teachers with a sense of achievement. In this regard, coordination proves to be paramount. Content teachers need the support and expertise of foreign language teachers to make the most of their subjects. Foreign language teachers in turn incorporate a new dimension into their lessons, which are enriched by the necessity to link the language programme with the language and notions of the content areas they need to support. Finally, the collaboration between teachers of the mother tongue and foreign language is beneficial in their constant search for courses of action to improve students' language competences.

Consequently, CLIL demands a radical change of perspective in terms of the roles that teachers play. In general, their opinions confirm that the efficacy

of this educational proposal requires the existence of a structure of connection, coordination and collaboration between all the stakeholders (Mehisto 2009, 2012), and especially, between teachers (Viebrock 2012). In CLIL, this proposition is really important because setting-up an organisational model based on coordination between subjects and the collaboration between teachers and team work may contribute notably to raise the standards in two different dimensions. First, coordination facilitates the learning and consolidation of academic content, and improves students' language proficiency (Lorenzo *et al.* 2011: 301). Secondly, coordination determines some important decisions that have to be taken by the school management team and "will be crucial for the organisation of the teaching and for the achievement of subsequent outputs" (Baetens-Beardsmore 2009: 210).

The participants in this study, all of them actively involved in Andalusian CLIL schools, concur that teachers involved in the bilingual programme need to redefine their roles and work in a coordinated and collaborative way. But their opinions need to be heard and ideally should influence schools and educational administrations, which have a key role to play in facilitating coordination. Hence, special conditions need to be set up to foment coordination and collaboration, for example, designing schedules with the necessary slots to allow teachers to share, discuss and plan their teaching together. In addition, it seems to be crucial for teachers to become aware of the research-evidenced benefits that this three-level coordination among teachers of the mother tongue, the language of the CLIL programme, and content teachers may bring about, and not just simply base their future actions on intuitions. A further element highlighted is the necessity to redefine their roles and functions when working in a coordinated way, specifically when it comes to reaching a consensus on methodological issues and evaluation practices. Finally, CLIL teachers would welcome recognition for their involvement in the programme. Administrators need to incentivise the extra amount of work that putting coordination into practice entails; otherwise, there is a serious risk of withdrawal on the part of the teachers or, unfortunately, a depletion of the quality of teaching. These are dimensions which require further investigation in order to gain insight into the challenges and benefits of implementing a structure of collaboration in CLIL.

Considering the limitations of this study, it has to be noted that the focus is teachers' beliefs and opinions, in particular, teachers' views on their role and performance in CLIL, and the potential of coordination and collaboration as a means to achieve tangible benefits. Although these opinions are essential to understand how teaching is conceived and, ultimately, practised, the results obtained need to be complemented with further investigations on the outcomes deriving from building this structure of collaboration.

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APPENDIX

QUESTIONNAIRE FOR TEACHERS

The following questions are meant to be a starting point for pondering on some crucial aspects for the organisation of the bilingual programme. The objective of the questions is to foster personal reflection based on your own understanding and experience.

Personal information

1. Age and sex.
2. Years of experience in CLIL bilingual schools.
3. Teaching in Primary or Secondary Schools?
4. In your opinion, are foreign languages necessary for the students' future professional career?
5. Do you think that learning through English will benefit or harm the students' intellectual and academic development?
6. Are you aware of the European policy/recommendations on multilingualism?
7. Are you familiar with different models of bilingual education?
8. Are you aware of the differences between immersion programmes and CLIL?
9. May teaching through a foreign language affect the assimilation of academic content negatively?
10. Is CLIL beneficial for teachers?
11. To what extent does working in a bilingual school influences your personal and professional development?
12. In your opinion, what is more important for teachers, exhibiting a high command of the foreign language or having a solid knowledge of methodology?
13. Is teachers' coordination and collaboration an essential element in CLIL?
14. Are teachers in general used to collaborating?
15. In which areas would collaboration be more relevant?

16. Do you think that content teachers need to collaborate with foreign language teachers?
17. If so, what kind of collaboration needs to be facilitated and implemented?
18. Would it be important for content teachers to collaborate with other content teachers?
19. Would it be necessary for content teachers to deal with common thematic areas?
20. What do you think about the collaboration between language teachers (mother tongue, foreign language used for instruction, and possibly a second foreign language)?
21. Are you aware of the process of language transfer?
22. How much do you know about the characteristics of tandem teaching?
23. How could assessment benefit from constructing collaboration between teachers?
24. Do you think that assessing the language should be a pivotal aspect for content teachers?
25. What is your opinion about using the mother tongue in the bilingual class?

DO ANXIETY AND ENGLISH PROFICIENCY LEVEL AFFECT WRITING PERFORMANCE IN SECOND LANGUAGE (L2) LEARNING?

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ABSTRACT. *The present study shows a piece of research conducted to establish the degree of correlation between anxiety and English proficiency level of adolescents with writing performance in second language (L2) learning. For this purpose, we have developed a predictive-correlational study taking under consideration students from a high school of Granada (Spain). In our present study, we find that the English proficiency level predictor variable is more closely correlated with writing performance than anxiety. Although the anxiety variable has shown a negative correlation to writing performance, only the former English Proficiency Level has been included in the linear multiple regression model as the single and efficient predictor.*

Keywords: Writing performance in L2, anxiety, English proficiency level, adolescence.

¿LA ANSIEDAD Y EL NIVEL DE COMPETENCIA EN INGLÉS AFECTAN AL APRENDIZAJE DE LA ESCRITURA DE LA SEGUNDA LENGUA (L2)?

RESUMEN. *El presente estudio muestra una investigación, cuyo objetivo es establecer qué grado de correlación se establece entre la ansiedad y el nivel de competencia en inglés con el aprendizaje de la escritura de la lengua inglesa en adolescentes. Para este fin, hemos implementado un estudio correlacional-predictivo tomando como objeto de estudio a estudiantes de un instituto de Granada (España). En nuestro estudio, hemos encontrado evidencias empíricas que concluyen que el nivel de competencia en inglés de los adolescentes está más correlacionado con el rendimiento escrito de la segunda lengua (L2) que con la ansiedad. Aunque la variable ansiedad muestra un correlación negativa con el aprendizaje de la escritura de la segunda lengua, sólo el nivel de competencia en inglés ha sido incluido en el modelo de regresión lineal múltiple desarrollado como el único y más importante predictor.*

Palabras clave: Rendimiento escrito en L2, ansiedad, nivel de competencia en inglés, adolescencia.

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1. INTRODUCTION

1.1. ANXIETY IN SECOND LANGUAGE (L2) LEARNING

Since the 1960s, numerous researchers have suggested that anxiety interferes with second language learning. Studies identified anxiety as a factor associated with language learning that can be an obstacle for teachers and students (Horwitz, Horwitz and Cope 1986). Although there are many studies about the effects of anxiety on second language learning, the fact is that the lack of consistency in measures does not provide a clear view on this topic, as researchers have pointed out. Measures used are not specific to language learning. MacIntyre and Gardner (1989) were the only researchers to limit their study to French students, and just a few of the studies referring to this topic focused on analyzing anxiety in language learning. Learners experienced palpitations, trembling, and difficulty concentrating, bringing as a result behavioural responses such as the avoidance of certain learning situations, such as missing classes (Akse, Hale, Engels, Raaijmakers and Meeu 2007; Woodrow 2011). Over time, different findings have demonstrated a positive correlation between anxiety and language learning with different measures such as test anxiety, facilitating-debilitating anxiety, etc. (Horwitz 2001). Learning a foreign language involves assessing learners' performance in the

classroom. Horwitz *et al.* (1986: 120) defined the anxiety associated with foreign language learning, which they termed Foreign Language Anxiety (FLA), as “a distinct complex of self-perceptions, beliefs, feelings, and behaviours related to classroom language learning arising from the uniqueness of the language learning process”. It is assumed that speaking is not difficult because it is easy for people to understand each other; nonetheless, significant difficulties present themselves in second language learning. L2 learners often have a limited vocabulary, and this can sometimes be problematic by causing a lack of spontaneity, which makes learning a foreign language quite challenging to many.

As a consequence, students’ anxiety is the result of the difficulties they encounter while learning a foreign language. Native speakers already possess an ability to use language which foreign language learners simply do not possess and may never fully acquire. This is challenging for learners, who must assimilate and implement techniques and strategies to properly use a second language (Horwitz 2001).

School is a complex period involving experiences, affectivity, as well as the use of social competencies and cognitive systems. Changes to specific areas such as the cognitive or affectivity system can lead to emotional disturbances which may affect the learning process (Bonifacci, Candria and Contento 2008; Zhang 2013).

1.2. RELATIONSHIP BETWEEN THE FOUR ESSENTIAL FOREIGN LANGUAGE LEARNING SKILLS AND ANXIETY

Researchers have identified and examined four essential skills related to the study of foreign language learning: listening, speaking, reading and writing (Sparks, Patton, Ganschow and Humbach 2009). There is a correlation between these skills and anxiety which affects students’ academic performance. Pae (2013) establishes correlations between the four essential foreign language learning skills and anxiety. Several studies have determined that there is a correlation between anxiety associated with foreign language listening and grades received in listening comprehension (Melanlioğlu 2013), and that there is a further correlation between general foreign language anxiety and final course grades. Learners also commonly exhibit apprehension with regards to the Speaking skill. These two skills differ between reading and writing. Reading is related to general anxiety, as Pae (2013) explains, because reading levels vary as a function of the target language. Horwitz (2001) considers that reading is a skill that provokes anxiety in foreign language learning, and is distinguishable from general anxiety. Thus, there are identifiable differences between learners according to their levels of reading proficiency in relation to anxiety. The correlation established between these skills concerns

how emotional disturbance could affect the development of anxiety (Bonifacci *et al.* 2008). These skills require the development of cognitive abilities suitable for understanding texts. For the foreign language learner engaged in reading and writing, the interaction of cognitive skills with emotional conditions (avoiding negative affectivity and disturbances which predispose learners to suffer anxiety) is a determinant factor (Bonifacci *et al.* 2008). Thus, in order to achieve success in the foreign language classroom, solid writing and reading abilities in the student's first language (L1) assure success: "superior writing ability combined with reading skills is an advantage in achieving academic success." (Bayliss and Raymond 2004: 43).

Although, as Pae (2013) has put forth, there is no data to support the relationship between writing and speaking, there are studies that do make this connection. Writing anxiety is generally associated with foreign language classes in which higher anxiety scores correlate to low self-concepts. This is a specific language skill, whereas speaking anxiety is associated with a more general type of anxiety. A student's level of anxiety varies according to the mode of communication employed; thus, there are students who suffer anxiety in a second language generally, whereas others experience anxiety in specific skills (Cheng, Horwitz and Schallert 1999; Cheng 2004).

Anxiety in a second language classroom can be caused by low self-confidence, manifesting itself in low self-esteem associated with writing and speaking (negative affectivity, fear of failure, or fear of evaluation). Negative self-perception of language competence plays an important role as a predictor of anxiety levels (Cheng *et al.* 1999). Writing and speaking are closely related and are obviously critical elements in developing command of a foreign language. Self-perception factors influence learners' expectations, affecting their foreign language classroom anxiety, and could even cause them to underestimate their ability to perform in the language they are learning (Cheng *et al.* 1999; Cheng 2002; Liu 2006; Pae 2013).

There are discrepancies in the relationships between the four skills and foreign language anxiety, as many researchers have shown (Horwitz *et al.* 1986; Cheng *et al.* 1999; Pae 2013); however, there are different factors which influence the development of anxiety related to each skill. The learning of each of the four skills is essential to gaining proficiency in the foreign language, and is directly linked to the development of prominent anxiety symptoms:

Among others, the discrepancy between a learner's first and second language competence in different skill areas, a language learner has varied experiences in acquiring each of the four language skills, and his or her history of success and

failure in performing each skill might lead to differentiated attitudes, emotions, and expectations about each of the language skills. Language-skill-specific anxiety might well be one of the negative emotions and attitudes formed during the process of second language learning. (Cheng *et al.* 1999: 439).

1.3. ANXIETY AND WRITING SKILL

Writing skill is fundamental to the production of a foreign language. The content and grammatical complexity of writing assignments can affect the comprehension of texts, and can also affect other skills. Consequently, we focus on writing because “writing ability is the more important predictor of success” (Bayliss and Raymond 2004: 44). Language anxiety also influences writing skill. Horwitz (1986) notes that anxious students experience difficulty when writing a composition. They usually write short pieces whose quality is not as high as that of non-anxious students, who are more proficient in their compositional skills and express their opinions and ideas at a higher level.

Writing is a complex and difficult process “which requires visual memory, attention, phonological processing, semantic operations and motor performance” (Moretti, Torre, Antonello, Fabbro, Cazzo and Bora 2003: 215). This is a less specific skill in contrast to the others. At certain stages of development, such as during childhood and adolescence, cognitive resources are not fully developed; when combined with other possible disturbances that an adolescent might experience, this can lead to academic failure, as many scholars, including Bonifacci *et al.* (2008) and Grant (2013), have pointed out. Due to the fact that learning results from the interaction of specific cognitive skills and may be influenced by emotional conditions, affectivity can have a detrimental effect on a student’s ability to retrieve and produce verbal information, as in the case of the development of reading skills.

Another factor that can influence writing anxiety as it relates to low learning achievement is self-esteem. Negative thoughts and feelings, reflected in anxiety symptoms, can affect the writing process and result in a student avoiding testing situations (Teksan 2012). Writing anxiety is linked to the fear of being evaluated and criticized. This skill requires the proper use of grammatical structures and rules, making learners feel dependent upon the opinions of teachers (Teksan 2012). Surprisingly, students’ opinions of their compositions are usually higher than their academic results would suggest. There is no correlation between students’ high expectations and their results, since their self-esteem is too high in this area, according to researchers who study the matter. In secondary education, learners are predisposed to suffer anxiety because at this stage they

are continuously evaluated; they feel pressure to produce good work, and in order to avoid receiving negative feedback, they might sometimes avoid these situations. The effect that anxiety has on students depends on their abilities, gender, etc., so writing ability is an important skill to students who are learning foreign languages (Teksan 2012). While most adolescents experience writing anxiety, they typically feel confident in their compositional abilities and are willing to write about any topic. But the fact is that students' academic results do not reflect this self-confidence: "...students are not afraid about not being understood for their writings, not avoiding critics about their writings... On the other hand, it can be asserted that almost half of the students feel writing anxiety, writing does not relax them..." (Teksan 2012: 489).

In the classroom, students are given specific writing assignments. Sometimes they do not clearly understand how to follow instructions in some contexts, resulting in apprehension that affects the quality of their writing over time, and ultimately, can influence various personal choices such as career selection. This apprehensiveness affects self-esteem; believing they might be unable to improve may cause them to avoid writing whenever possible. This takes place because, as Masclé (2013: 217) explains, apprehensive writers do not see writing as a process, and they feel they lack control over their ability to write. Conversely, those with high self-esteem are capable of improving their writing because low levels of anxiety are positive influences on these students (Teksan 2012: 493). The study carried out by Teksan (2012) presents gender differences related to writing anxiety. In this study concludes that, females experience more writing anxiety than, male students, and they act responsibly, conscientiously trying to avoid mistakes, whereas others studies conclude that males are more anxious than females because they do not receive rewards as female students do. Teksan (2012) notes that writing a diary increases students' anxiety, as they become more attentive to writing and attempt to avoid mistakes. We therefore conclude that writing anxiety is caused by adolescents' hypersensitivity to being assessed.

1.4. ENGLISH PROFICIENCY AFFECTS STUDENTS' ACADEMIC SUCCESS

The proficiency level of English students is considered another factor affecting academic success, as scholars have noted. Two commonly tools used to measure English proficiency are the Quick Placement Test (QPT) and the Test of English as a Foreign Language (TOEFL). Many studies have assessed the implications of English proficiency on the scores students attain on these tests. Bayliss and Raymond (2004) have identified some problems with these measures, as have other researchers. Both the QPT and the TOEFL assess the overall proficiency level of

English learners with a single global score, but without providing individual scores for each of the four skills tested. According to the Bayliss and Raymond (2004) study, there is a strong correlation between students' English language proficiency and their academic performance, as observed by teachers in the classroom. According to Hubert's analysis (2013), learners' foreign language proficiency is a predictor of overall academic success. Participants in this study tended to improve their foreign language writing and speaking performance at similar rates long-term. Those learners whose language level was intermediate tended to be proficient and improve their results. Hence, one may conclude that those students who are proficient in foreign language classes usually produce better compositions (Hubert 2013). However, this does not necessarily imply that they are proficient in speaking, because as Bayliss and Raymond (2004) point out, these tests do not provide an individual with an oral proficiency score. These researches show a correlation between English proficiency level and test results in writing or oral presentations. In this sense, it could be considered that this is another variable which affects students' performance in the foreign language classroom.

2. MATERIAL AND METHODS

This research is a correlational-predictive study. As Bickman and Rog (2009), Payne and Williams (2011) and Remler and Van Ryzin (2014) indicate, the main objective of such a study is to predict the behaviour of one or several dependent variables from the greater or lesser correlative effect of other independent or predictor variables.

2.1. VARIABLES OF THE STUDY

According to the typology developed we employ two types of variables:

- a) Dependent or criterion variable: English writing performance.
- b) Predictor or independent variable:
 - b1. The level of anxiety in the English language class as measured by the Foreign Language Classroom Anxiety Scale (FLCAS).
 - b2. The English proficiency level (QPT).

2.2. PARTICIPANTS

The number of volunteers who participated in this study was $N = 71$. For their selection, following Meltzoff (2000) and Trochim and Donnelly (2006), we used

a nonprobability sampling method (convenience sampling). Students who were subjects of the study were from a high school in Granada in Andalusia, Spain, in their second year of *Bachillerato* (the final two years of high school). Their specialized courses of study by subject matter were: 53% Natural Sciences and 47% Humanities and by gender: 55% male and 45% female.

2.3. DATA COLLECTION

To collect data we used two different measures (independent variables). First, to measure the level of anxiety in the English class we employed the Foreign Language Classroom Anxiety Scale (FLCAS) of Horwitz *et al.* (1986), consisting of a Likert scale with 33 items as follows: 5: Strongly Agree / 4: Agree/ 3: Neither Agree nor Disagree/ 2: Disagree /1:Strongly Disagree.

Second, to measure the level of pupils' proficiency level in English, we used results from the Quick Placement Test (QPT), versions 1 and 2. Although the standard QPT contains two parts, for purposes of this study, only Part One (questions 1–40) was used. Questions 1–10 contained three possible answers: A, B, or C, while the remaining questions had four possible answers: A, B, C, or D.

Finally, for the dependent variable we used a writing test. Pupils were assigned to write a composition entitled “Do all people have the same opportunities in our society? Why?”¹ The students were evaluated through a combination of teacher comments, our research team's classroom observations and evaluation of the students' compositions.

2.4. RELIABILITY AND VALIDITY OF DATA COLLECTION INSTRUMENTS

As parameters of quality in the measures used for the data collection we have considered validity and reliability criteria. To guarantee that these measures assert these criteria, we have used the FLCAS and QPT as sample standard measures. We have taken into account the consistency, precision, and reliability of measurement tools. We employed a measure of internal consistency to ensure scale reliability, implementing the most convenient coefficient, Cronbach's alpha, in its normal version for the FLCAS scale, and in its version for ordered polytomous items using SPSS software for the QPT test. The results of both coefficients were .82 for FLCAS and 0.77 for QPT. In both tests, the obtained reliability exceeded .75, which, according to Hogan (2004) and Muñiz (2003),

¹ This essay subject was borrowed from a *Selectividad* (Spanish University Access Test) exam question.

is considered to be a reliability level between “high” and “very high.” On the other hand, if each item of the scale is deleted individually, the Cronbach’s alpha reliability coefficients give similar results. In any case, these values of Cronbach’s alpha improve in comparison with the values obtained in both measures ($\alpha = .82$ for FLCAS and $\alpha = .77$ for QPT). The fact is that there is not an essential item for the measure of these two constructs as a subject of study (English proficiency level and level of anxiety).

3. DATA ANALYSIS AND RESULTS

In order to analyse the collected data using the previously discussed measures, we employed SPSS v.22. Using this software, we conducted descriptive, inferential and multivariate analysis, which enabled us to achieve the goals of this paper.

3.1. DESCRIPTIVE AND INFERENTIAL ANALYSIS

We first present histograms with normal distribution (with mean and standard deviation) taken from results in the scores of students’ writing test (0–10 points / standard average out of 5) and FLCAS (33–165 points / standard average out of 99) and the QPT (0–40 points / standard average out of 20).

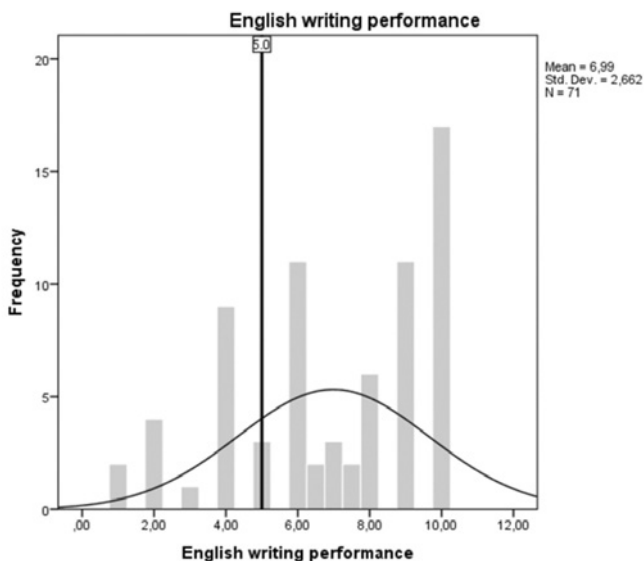


Figure 1. Histogram with normal distribution curve for English writing performance scores.

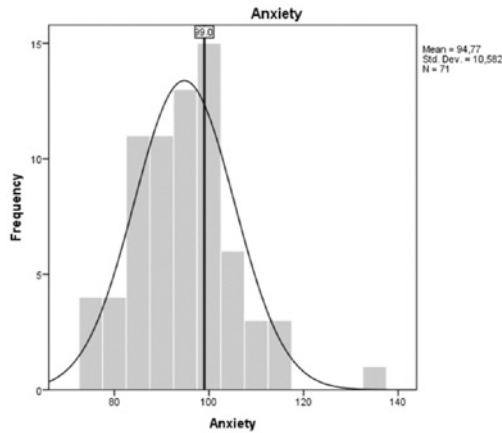


Figure 2. Histogram with normal distribution curve for FLCAS anxiety scores.

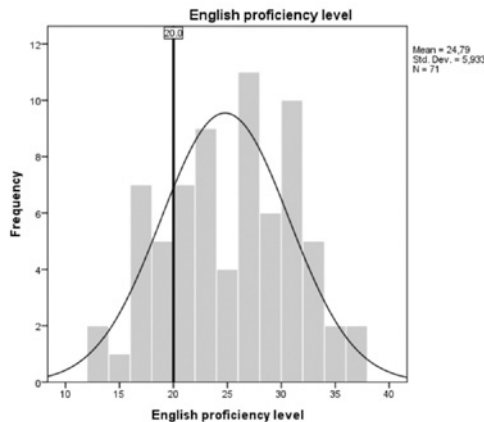


Figure 3. Histogram with normal distribution curve for QPT English proficiency level scores.

By examining these charts, we observe that students have achieved high performance in English with a grade of about 7 (average = 6.99), almost 2 points higher than the average; the level of anxiety in the English language class is mid-low (average = 94.77), 5,23 points less than the average. Consequently, the English proficiency level of pupils can be considered to be lower intermediate (average 24.79); the Council of Europe would consider this to be midlevel, such as B1 or B2, depending on the pupil. Considering the two main variables identified (subject matter of *Bachillerato* and gender), descriptive results (sample group, mean, and standard deviation) have been obtained.

Table 1. Statistical description of the variables English Writing Performance, total scores of Anxiety in English language class (FLCAS), and the English Proficiency Level depending on the Subject Matter of the *Bachillerato*.

Variable	Subject Matter	N	Mean	Std. Deviation
English Writing Performance	Natural Sciences	38	7.44	2.80
	Humanities	33	6.45	2.41
Anxiety (FLCAS)	Natural Sciences	38	94.50	8.58
	Humanities	33	95.09	12.63
Total English Proficiency Level	Natural Sciences	38	26.24	6.02
	Humanities	33	23.12	5.45

Table 2. Statistical description of the variables English Writing Performance, total scores of Anxiety in English language class, and the English Proficiency Level depending on Gender.

Variables	Gender	N	Mean	Std. Deviation
English Writing Performance	Male	39	6.42	2.87
	Female	32	7.67	2.22
Anxiety (FLCAS)	Male	39	94.54	10.77
	Female	32	95.06	10.50
Total English Proficiency Level	Male	39	24.72	6.47
	Female	32	24.88	5.29

What is significant in these two charts is that the Subject Matter of the *Bachillerato* that students chose scarcely influenced the mean in the two dependent, or criterion variables English Writing Performance and total Anxiety (FLCAS) scores), with a mean of 7.44 in Natural Sciences versus 6.45 in Humanities in English Writing Performance, and 90.50 in Natural Sciences and 95.09 in Humanities. However, there are more visible differences in the English Proficiency Level in the QPT. The average in the group of *Bachillerato* in Natural Sciences is about 26.24, in contrast to the Humanities *Bachillerato* of about 23.12. One can conclude that pupils of the Natural Sciences *Bachillerato* performed better on the English exams than the Humanities group, while the total Anxiety score results are reversed. In the case of Gender, the differences are not visible; moreover, the three dependent variables are considered. In all three cases, females have slightly better scores than

males. All the tests described applied the independent-samples Mann-Whitney U Test six different times, and it crossed *Bachillerato* and Gender predictor variables with the three considered dependent variables. From the results obtained we can deduce that the Subject Matter of *Bachillerato* and Gender variables have rarely produced statistically significant differences between the variables in English Writing Performance, Anxiety (FLCAS) in English class, and the English proficiency level, which are considered dependent variables. On one occasion, the independent-samples Mann-Whitney U test generated statistically significant differences ($U=435$; $z=-2.21$; $n_1=33$, $n_2=38$; $p<.05$) in English Proficiency Level when it crosses with the variable Subject Matter of *Bachillerato*. In that sense, we can see that *Bachillerato* students of Natural Sciences, with a mean of 26.24, have displayed superior English language competence when compared to that of the Humanities *Bachillerato* students with an average of 23.12. Nevertheless, the main purpose of this study is to prove in what sense the variable of Anxiety (FLCAS) and English Proficiency Level can predict the performance in that language from the covariance or correlation that maintain those variables between them.

3.2. ANALYSIS OF MULTIPLE LINEAR REGRESSIONS

In order to attain our objective, we have implemented a multiple linear regression using the stepwise method. The main results after the calculation of this technique show that the inferred model has achieved the first and only step in the English class and also that the correlation between the dependent variable (English Writing Performance) and the only predictor variable (English Proficiency Level, because anxiety variable has been removed of the model with a correlation $r = -0.319$, $p < .01$) rises to $r = 0.654$, a moderate correlation, and is associated with an R Square coefficient of 0.428; this is a variance of about 48% or 42%, that is shared with both variables if we take R Square adjusted. Finally, we express the regression coefficient using the inferred multiple regression equation: $Y_{\text{English Writing Performance}} = -.291 + .294_{\text{English Proficiency Level}} + b_{\text{Anxiety (FLCAS)}} \text{ (removed)}$. In this equation both parameters, as the constant “a” ($p < .05$) as the tangent “b” ($p < .001$), have obtained a levels of significance, which are statistically significant.

3.2.1. Assessment of adjustment of the inferred model

For the evaluation of this model, different criteria must be considered. Kahane (2008) and Meyers, Gamst and Guarino (2013) highlighted the following: the coefficient of determination (R^2), regression line adjustment, and the significance of the model measured by the analysis of variance (ANOVA). From the coefficient of determination, we note that it rises to 0.42, which confirms that the important

percentage is S^2 of the dependent variable (English Writing Performance) which is about 42%, explained by the predictor variable included in the model (English proficiency level). In showing adjustment of the model we suggest:

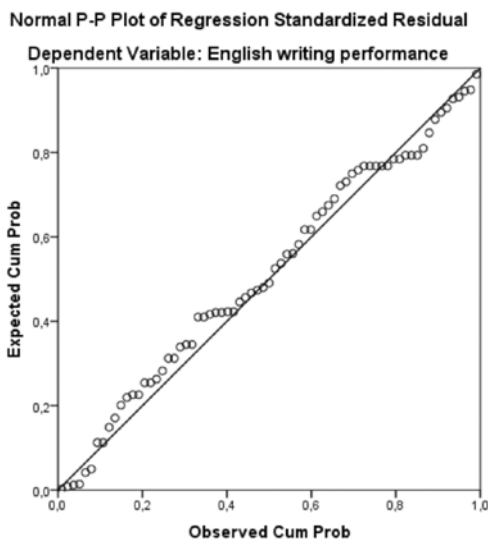


Figure 4. Normal P-P plot of regression standardized residual.

In Figure 4, we note -a more or less moderate variance between observed and expected values for the model due to the proximity of the value pairs to the regression line. Finally, we analyse whether just one predictor variable inserted in the model is relevant for the prediction of the dependent variable (statistical variance from zero, or not). To accomplish this, a subsequent ANOVA was computed:

Table 3. ANOVA

Model	Resources of variation	Sum of Squares	df	Mean Square	F	Sig.
1	Regression	212.331	1	212.331	51.650	.000***
	Residual	283.655	69	4.111		
	Total	495.986	70			

Predictors: (Constant), Total English Proficiency Level (QPT)

Dependent Variable English Writing Performance

$p < .05^*$ $p < .01^{**}$ $p < .001^{***}$

Table 3 demonstrates that “F” value (51.65 for 1 and 70 degree freedom) is associated with $p < .001$ and we conclude that, the regression inferred model is statistically significant, that is, the explained variance (regression) is more significant than the unexplained variance (residual). This result is relevant as applied to the predictive goals sought in this research study.

4. DISCUSSION

There are relevant conclusions that may be drawn from this study. First the levels of anxiety in English class (FLCAS) are not sufficiently relevant to predict whether anxiety interferes in students’ writing performance. The fact is that there is a statistically significant negative correlation between anxiety levels and English writing performance ($r = -0.319$; $p < .01$), although this association is not strong enough to establish a predictive model.

Nonetheless, students’ knowledge of English certainly affects writing performance. These results show a positive and statistically significant correlation ($r=0.654$; $p < .01$) as part of the lineal multiple regression inferred model. That is, we can affirm that the main discovery in this analysis is that English proficiency level, rather than anxiety, affects writing performance in English class, and is necessary for predicting students’ results in this area. Hence, it must be emphasized that the inferred model has shown to be valid for predicting the dependent variable of English writing performance. These results support the conclusions established by some scholars such as Bayliss and Raymond (2004), Matsuda and Gobel (2004) and Hubert (2013) that connect pupils’ language proficiency to writing performance. Over long-term periods, students improved their compositions and produced high quality, error-free writings.

In the second year of *Bachillerato*, learners must be proficient enough to pass required exams. At this stage of their education, the *Boletín Oficial del Estado* (BOE) (Official State Gazette) has established that students must be evaluated on their ability to write clear and detailed texts in a foreign language, utilize proper grammar and syntax, and apply cohesion and coherence at an appropriate register. These criteria have been applied by instructors and the research team in assessing student compositions, the dependent variable. Recent studies have shown that anxiety is a variable which interferes with the learning of English and affects writing performance. There are several variables which can influence the development of anxiety in English class, and thereby affect writing skills. Although the present study does not show a conclusive result in correlating anxiety to writing performance, there is evidence provided by other studies which supports our hypothesis (Horwitz *et al.* 1986; Cheng *et al.* 1999; Horwitz 2001; Stephenson 2006; Teksan 2012; Dordinejad and Ahmadabad 2014). What Teksan (2012) suggests in his study is that

variables such as gender, status, or ability influence the development of anxiety, most especially in composition students who tend to feel confident in writing about any topic. Their self-confidence is usually higher in writing than in other skills, such as speaking, where levels of apprehension are higher (Stephenson 2006; Teksan 2012). Volunteers participating in these studies have shown that they are proficient in the correct use of the written foreign language.

We chose to use previous knowledge of the foreign language (English) as a predictor variable because at this stage it is presumed that these students are proficient and precise in their command of the foreign language as BOE has established. The second year of *Bachillerato* is the culmination of pre-university studies, in which students have developed techniques and strategies to be autonomous and efficient in their continuous learning, and are finally able to express themselves properly in English. Therefore, this study has shown that this variable—English Proficiency Level, as measured by the QPT—influences students' writing performance, at a time when their confidence is higher when faced with writing a composition (Teksan 2012). This result coincides with Teksan when he asserts that those learners who are self-confident can improve their results and influence positively in their grades and compositions, as this present study has shown. Some researchers such as Horwitz (2001) have devised methods for measuring writing anxiety, such as through the Foreign Language Classroom Anxiety Scale (FLCAS), which takes into account the quality and quantity of compositions written by students. Conversely, the results of the present study are not conclusive to establish that these participants do not suffer writing anxiety; however, our results suggest that these participants tend to be less anxious in written English (Teksan 2012) and they might experience low levels of anxiety in other skills (Horwitz *et al.* 1986; Horwitz 2001; etc.).

Finally, there is little evidence to support a correlation between gender and anxiety, despite the data showing subtle differences between males and females. Prior studies have indeed uncovered evidence showing that females experience more anxiety than males do. Teksan (2012) has established such a connection between females and writing anxiety which suggests that females act more responsibly than males do, and take greater care in avoiding writing mistakes, which improves their academic performance. However, males usually have more positive opinions about their own writing abilities and performance than females, although there is other research presented in Teksan's study that disagrees with these results. The other predictor variable, subject matter studied in *Bachillerato*, did not produced significant results when compared to anxiety (FLCAS). When it was compared to English proficiency level, however, the Natural Sciences *Bachillerato* obtained an English Writing Performance score that was significantly

higher than the scores obtained by the Humanities *Bachillerato* students. In one case, when the variables “subject matter studied in the *Bachillerato*” and “English proficiency level” have been analyzed in the regression model, the Natural Sciences *Bachillerato* obtained an English Writing Performance score that was higher than the scores obtained by the Humanities *Bachillerato* students.

5. CONCLUSIONS

This study was undertaken to establish possible correlations between anxiety and English writing performance on the part of *Bachillerato* students. Although we did not establish a statistically significant correlation between anxiety and writing performance, we did establish a positive correlation between English proficiency level and writing performance. Throughout adolescence, teenagers experience many events which interfere in their academic performance, as many scholars have pointed out. This difficult stage in their lives predisposes them to suffer future mental disorders, such as anxiety, which can be reflected in academic results. Factors that have been shown to reduce anxiety experienced in foreign language class include exposure to a nurturing classroom environment, as well as positive peer and family relationships.

All of the educators involved in a teenager’s education must be engaged in the learning process in order to ensure academic success. Late adolescence is a transitional period to adulthood in which new feelings and senses flourish. The second year of *Bachillerato* involves a transition to a new stage of development where the student must put into practice the techniques, strategies, and abilities developed during the secondary school years. Such students are a step away from entering the university where they will confront academic writing challenges and research projects that will need to be understood and properly communicated in writing. As Teksan (2012) explains, participants who displayed low levels of anxiety during the period of study could suffer less anxiety in future writing tests.

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**THE WORLD WITHIN THE WORD: A LACANIAN
READING OF WILLIAM GASS'S
EMMA ENTERS A SENTENCE OF ELIZABETH BISHOP'S**

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ABSTRACT. *Emma Enters a Sentence of Elizabeth Bishop's by William H. Gass addresses the human condition in terms of desire and consciousness in fiction by depicting characters that are being suffocated under the force of circumstances. Application of Lacanian theories to Gass's novella sheds some light on the unconscious features of its main character, Emma, whose neurosis caused by her father's extremism in acting out his patriarchal role is presented in the form of disparate, metonymical chunks 'disseminated' through the narrative – itself fragmentary. Broken pieces of Emma's narrative put together through the medium of language highlight how her actions stem from her unconscious pathological motivations. Also discussed is the process through which she manages to find a way out of her plight.*

Keywords: William Gass's *Emma Enters a Sentence of Elizabeth Bishop's*, Jacques Lacan, word, world, patriarchal metaphor, neurotic subject's consciousness.

**EL MUNDO EN EL INTERIOR DE LA PALABRA: UNA LECTURA
LACANIANA DE *EMMA ENTERS A SENTENCE OF ELIZABETH BISHOP*
DE WILLIAM GASS**

RESUMEN. *Emma Enters a Sentence of Elizabeth Bishop de William H. Gass aborda la condición humana en términos de deseo y consciencia en la ficción mediante la creación de personajes que se sienten asfixiados por las circunstancias. La aplicación de las teorías lacanianas sobre la novella de Gass arroja alguna luz sobre las características inconscientes de su protagonista, Emma, cuya neurosis causada por el extremismo de su padre en la representación de su rol patriarcal se refleja en la forma de fragmentos metonímicos aislados y “diseminados” por toda la obra –ya fragmentaria de por sí. Cuando estos trozos de la narrativa de Emma son reunidos mediante el lenguaje revelan que sus acciones tienen su origen en motivaciones patológicas inconscientes. También se discute el proceso a través del cual Emma logra salir de su aprieto.*

Palabras clave: *Emma Enters a Sentence of Elizabeth Bishop*, William H. Gass, Jacques Lacan, palabra, mundo, metáfora patriarcal, consciencia del sujeto neurótico.

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1. INTRODUCTION

To an almost measureless degree, to *know* is to possess words, and all of us who live out in the world as well as within our own are aware that we inhabit a forest of symbols; we dwell in a context of texts. (Gass 1997: 92)

Scholars hail William H. Gass as the philosopher of language whose most endeared occupation is the playful composition of words and their inscription on paper. Madera points out this fact by mentioning that “Gass is concerned with words, words, words—how they are the building blocks of meaning, how, like numbers for mathematicians or pigment for painters, stories are the very raw materials for narrative construction” (2013: 4). Out of these seemingly simple constructions of Gass’s words, a plethora of characters and events march forward to penetrate deep into their reader’s consciousness. In his works of fiction and non-fiction, Gass has never failed to indicate the importance of words as the constituents of the world as we know it. To him, “literature is language [...] stories and the places and the people in them are merely made of words as chairs are made of smoothed sticks and sometimes of cloth or metal tubes” (Gass 1970: 27). *Cartesian Sonata and Other Novellas* is no exception.

In four novellas, Gass has presented us with an “exuberant prose with sly postmodern speculations on the nature of desire, fiction, and the soul” (*Kirkus Reviews*). Furthermore, in each of these meticulously planned pieces, a subject is put to extensive study. *Emma Enters a Sentence of Elizabeth Bishop*'s can be definitely “the grimmest tale” (*Kirkus Reviews*) of this collection which “features a desiccated would-be poet who tries, quite literally, to plunge into the lines, to virtually become the words, of her favorite poet” (*Kirkus Reviews*). Playing the role of a frustrated would-be poet, Emma tries to reduce herself to almost nothing so that she could lie in a line of Elizabeth Bishop's poetry. The story is delivered in the form of a highly individualistic reportage of the fragmented daily experiences of this girl known as Emma Bishop. The narrative takes the form of a diary recited through the third person perspective focalized through Emma, the “hyperprivate main character” (Hix 2002: 149).

Gass's passion for words from his philosophical point of view is shared by practitioners of psychoanalysis, notably Lacan, in the realm of psycholinguistics. To Gass, the “purpose of a literary work is the capture of consciousness, and the consequent creation, in you, of an imagined sensibility” (1970: 33). To Lacan, a text is the best place to study the unconscious desires because they manifest themselves in the text. Lacan regards language as signification and the symbolic as the realm of language. To him, the “word is not a sign, but a nodal point [*noeud*] of signification” (2002: 136). Evans summarizes some of Lacan's concerns as follows:

Firstly, all human communication is inscribed in a linguistic structure; even ‘body language’ is, as the term implies, fundamentally a form of *language*, with the same structural features. Secondly, the whole aim of psychoanalytic treatment is to articulate the truth of one's desire in speech rather than in any other medium; the fundamental rule of psychoanalysis is based on the principle that speech is the only way to this ‘truth’ (1996: 100).

Though from different backgrounds, these scholars have in common the idea that words and their playful chains are what one needs to utilize to delve into consciousness. The present article will, hence, consider Gass's indirect highlighting and treatment of Emma Bishop's consciousness in the light of the psycholinguistic theories of Jacques Lacan in an attempt to show how Gass's tale meticulously depicts the subtleties of a perturbed psyche through the medium of language. The process through which the novella's protagonist manages to find a way out of her plight and get rid of patriarchal dominance will also be discussed in some detail along with the subtleties of the narrative form through which the story is delivered. To elaborate Lacanian concepts further, there will be occasional references to Lacan's major counterpart in the field of psychoanalysis, Kristeva, who shares

with Lacan the idea that the speaking subject is split between unconscious and conscious levels. Like Lacan, Kristeva also believes “[l]anguage as a symbolic function constitutes itself at the cost of repressing instinctual drive and continuous relation to the mother” (1980: 136). Therefore, through her approach known as “semanalysis”, she attempts to analyze the ways in which the split within the speaking subject can be revealed.

2. DISCUSSION

Following Freud, Lacan has taken center stage in psychology and related disciplines. He is the seminal figure for many scholars and theoreticians of the field of psycholinguistics. His most important achievement in this field has been the introduction of the unconscious as structured like language and hence bringing together the two domains of language and psychoanalysis which were otherwise considered incompatible.

In the life of each individual Lacan distinguishes three orders, namely the imaginary, the symbolic and the real. The real is inaccessible for the subject who inhabits the symbolic. The imaginary is the primary, plentiful order the infant experiences as soon as s/he is born well up to the mirror stage – sometime between 6 to 18 months. In this primary stage of being, there are no desires because needs are satisfied before they even turn into desire. In the mirror stage two major events happen:

In the 1950s Lacan described two moments of alienation and suggested that the subject was doubly alienated: first, through the infant’s (mis)-recognition of itself in the other during the mirror stage and, second, through the subject’s accession into the symbolic and language. Alienation is an inevitable consequence of the formation of the ego and a necessary first step towards subjectivity (Homer 2005: 71).

Lacan points out that during this stage we see “the slave identifying with the despot, the actor with the spectator, the seduced with the seducer [...] It is in this erotic relationship, in which the human individual fixates on an image that alienates him from himself” (2002: 92). Through identification with the image in the mirror the child forms false ideas about her/his separate identity, enters the symbolic as a subject and starts using language. Therefore, the “position and identity of the subject is constituted by language” (Green and LeBihan 1996: 169). To Lacan, the imaginary depends on the symbolic because it finds articulation through the symbolic medium which is language. However, “[l]anguage never quite speaks the subject: it can only operate in metaphoric or metonymic terms” (Green and LeBihan 1996: 172). It is noteworthy that though both Lacan and Kristeva regard

the realm of language as associated with the masculine, the law, and structure, Kristeva departs from Lacan on the idea that even after entering the symbolic, the subject continues to oscillate between the semiotic and the symbolic. Therefore, rather than arriving at a fixed identity, the subject is permanently “in process” and is the site of “permanent contradiction between these two dispositions (semiotic/symbolic)” (Kristeva 1980: 140). Regardless of this difference, both Lacan and Kristeva agree that the subject that has been transported to the symbolic will always remain desirous. Language will be the only tool at the subject’s disposal to articulate the loss of unity and the desire at the sight of lack s/he is constantly experiencing.

Another central concern of Lacan is neurosis, an originally 18th-century psychiatric term which came to account for a whole range of nervous disorders defined by a wide variety of symptoms. Neurosis is generally defined as a mental disorder involving symptoms of stress like depression, anxiety, and obsessive behavior. Lacan used “Heidegger’s notion that human existence consists fundamentally in a question, and used it to define neurosis as a question posed by the subject concerning not only its existence but its sex” (Rabaté 2003: 41). Lacan believed that “‘neurotic character’ is the reflection in individual behavior of the isolation of the family unit” (2002: 134). In other words, a neurotic character is formed when the subject cannot successfully complete the mirror stage and hence experiences greater lack and imbalance in his symbolic existence. Equally remarkable is the fact that “Lacan sees neurosis as a structure that cannot be altered” (Evans 1996: 126). It should also be noted that a neurotic character does not undergo a radical loss of touch with reality. Rather, s/he constantly tries to compensate this lack through various strategies. Another important fact worthy of consideration in the case of a neurotic is that “its structure is particularly designed to camouflage, displace, deny, divide, and muffle aggressive intentions” (Lacan 2002: 88).

In Gass’s *Emma Enters a Sentence of Elizabeth Bishop* the reader is introduced to a family of three including Emma, the title character, and her mom and dad. As the story progresses, the reader gets glimpses of Emma as a disturbed character; she is trapped within the unavoidable circumstances of her parents’ dreary life. A young woman in a secluded “Iowa house, empty and large and cool in the fall. Otherwise inhospitable” (Gass 1998: 147), Emma finds herself struggling against the sense of losing touch with the world in an attempt to hold on to what little is left of her tenuous symbolic identity. What is apparent from the outset regarding all three of these disturbingly odd characters is their utter, suffocating loneliness which is aggravated by their own abstention from talking to each other and their avoiding almost any human contact including each other’s company: “each

of them managed most marvelously to avoid one another” (Gass 1998: 172). In other words, the family is basically disintegrated, and is barely holding together because there are no proper inter-subject interactions between the three of them. The chief reason for this is the tyrannical father who beats the mother and dominates both female members of the household. Mother’s role is also noteworthy: “Like her father, Emma’s mother manages to damage her, but if her father harms Emma by his activity, her mother harms her by her passivity” (Hix 2002 :152). Through such a depiction, Gass has successfully portrayed the sense of suffocation which is dominant; there is nowhere to go. One is consumed with one’s self.

The structure of this novella is designed on the basis of Emma’s consciousness and entails detailed but un-chronological narration of events by an omniscient narrator. Emma’s story is presented in bits and pieces, just like her life. Nonetheless, through the narrative a sense of coherence and wholeness, however provisional, can be obtained; the puzzle-like, seemingly discrete pieces need to be put together so that a picture of the plight of this lonesome girl and her attempt to find a way out of it could emerge. Since the story is complicated, putting the pieces in the right order requires close attention; however, the reader can manage to follow the train of thoughts of the central character. The story promises no happy ending. Neither does it offer any possibility of salvation. Finally, however, we find the central character alone and apparently un-burdened, as she always wished to be.

Emma proves to be a fine example of a Lacanian disturbed personality, somebody whose whole existence depends on words; “the words she read and fled from were all that kept her alive” (Gass 1998: 169). Emma’s connection to the world, despite her ever-increasing reticence is defined in terms of the few books she has gotten hold of and reads to lose herself within her imagination and, therefore, escape from the ever-present abhorrence of her daily existence, for it is through fantasy that “the subject attempts to sustain the illusion of unity with the Other and ignore his or her own division” (Homer 2005: 87). In other words, Emma could be considered as a classic example of “word-drunk characters,” to use the phrase coined by Madera (2013: 21).

To get a Lacanian picture of Emma, we should try to look into the origin of her condition as a traumatic character. To this purpose, the role her dad plays in developing her neurosis should not be ignored. He is supposed to have filled the role of a paternal signifier, on a symbolic level, to have let Emma pass on to the symbolic order after having experienced the mirror stage. Emma, however, has been subject to extreme paternal authority in her life, a fact which has led to her becoming a neurotic. The paternal metaphor, which should have helped her

enter the symbolic as a sound subject, has turned into her dad's tyrannical use of his authority in dominating her life. It has been taken to such extreme levels that even her body has not been safe from his inspecting gaze. Emma is constantly being harassed by her father's gaze, an experience which is expressed from the viewpoint of a prey toward a predator: "She was fearful for she felt the hawk's eye on her" (Gass 1998: 147). Emma hates her own body because it has been exposed; "she began to loathe any part of her that was uncovered, her face and hands first, her feet finally" (Gass 1998: 157). It is under the father's gaze that her body starts shrinking literally and metaphorically. Emma's own conclusion of her unfortunate situation is recounted as follows: "the life I missed because I was afraid, the hawk's eye" (Gass 1998: 150). This experience corresponds with Freud's early hypothesis that "actual sexual abuse causes neurosis" (Rabaté 2003: 232). Furthermore, Emma is quite limited to her home and has almost no connection to the outside world (her father even goes so far as to impede her mail too). Endless suffering and being denied her essential needs have resulted in the emergence of the symptoms of a neurotic in Emma for whom the "necessity for words is born of deprivation" (Morris 1993: 104). As a neurotic, she "can derive a sustained pleasure in calling upon a fantasy" (Rabaté 2003: 204) to accompany her. She is incessantly seeking a way to escape. This finds expression in her desire to be de-bodied so that she can "enter" and "become" language, so that she can "embody" language. She believes that she can find her salvation through words, hence she seeks shelter in works of art and in poetic language where the semiotic "tends to gain the upper hand at the expense of the thetic and predicative constraints of the ego's judging consciousness" (Kristeva 1980: 134). Semiotic victory, and the subsequent victory of the unconscious desire over the conscious, through poetic language bestows upon Emma temporary refuge from the horrors of her life while simultaneously helping her maintain her identity through the poetic language she cherishes. This is because however "elided, attacked or corrupted the symbolic function might be in poetic language, due to the impact of semiotic processes, the symbolic function nonetheless maintains its presence" (Kristeva 1980: 134) and strengthens Emma's hold on the symbolic. Emma is willingly forsaking this material world in order to lose herself in the work of her favorite poet, Elizabeth Bishop whose growing dominance in Emma's psyche becomes apparent as the plot progresses. Monti sums up what happens to Emma as follows: "Emma Enters a Sentence of Elizabeth Bishop's," [is] the story of Emma Bishop's escape from her shallow life in the beauty of language and poetry. In her gradual loss of weight and her longing for lying down and dying in a line of Elizabeth Bishop's, one can see her progressive detachment from matter toward the non-corporeity of mind" (2006: 122).

Interestingly, the plot of the story degenerates along with the degeneration of the character it depicts. At the end of the plot, the family of three is reduced to only one; the girl, Emma, who may not survive for long. On a deeper level, of course, there is more to this plot than just a simple depiction of the main character's path to perdition. Once the reader enters Emma's consciousness, s/ he faces an adamant will to survive and to be remembered echoed in her story; "Forget-me-not was a frequent sentiment" (Gass 1998: 178).

The disintegration Emma desires is what we can define in terms of death drive. The blame for Emma's anorexia is primarily "laid on her parents, especially her father, who attends carefully to, and comments lewdly on, her physical development" (Hix 2002: 151). Of course, Emma never goes after total annihilation; rather, her aim is physical dissolution for the purpose of integration with the very elemental chains of the ordering and the unifying system which forms consciousness, i.e. language. This is in line with Lacanian psychoanalysis in that Emma, as a neurotic, longs to "inhabit" language. Her strong defense is against the real world and the reality of the plight she is in.

Lack is a central theme in this story and a matter of vital interest to psychoanalytical theories. As already mentioned, in the initial state of being, there exists a sense of *jouissance* and fulfillment, for both the mother and the child, which precedes the consequent sense of lack and desire. Upon entrance to the symbolic order, the necessary absence of the mother triggers a state of helplessness for the child and transforms her/him into an eternally desiring subject. From then on, the once accessible *jouissance* is only disguised in language. Lack of the maternal other produces a quest for fulfillment. Desire resulting from this lack becomes the subject's companion from the moment of separation from the mother. To Lacan, as Homer explains, "[w]e are born into language—the language through which the desires of others are articulated and through which we are forced to articulate our own desire" (2005: 44). This subject needs to be able to use codes and symbols for the purpose of articulation because it is a way to come to terms with the world, through the medium of language. However, the real the subject is seeking lies outside symbolization because "speech can never articulate the *whole* truth about desire; whenever speech attempts to articulate desire, there is always a leftover, a surplus, which exceeds speech" (Evans 1996: 37). Despite all this, Lacan—like Kristeva—is after the play of unconscious desire manifest in the text since according to him, experience of life is captured within symbols.

As mentioned before, losing oneself in imagination is a fantasy which can help Emma compensate for her sense of lack or loss in life. Even her sexuality is defined and experienced in the texts she reads; however, her involvement in

excesses of imagination does not seem to enable her to sever her relation from the real world of the people around her, but only to provide a temporary refuge for a neurotic for whom language proves to be the only shelter.

Emma's escape from the reality of her sordid life happens through books. Emma knows letting go of words would lead to letting go of the world since her disintegrating body is also in need of "an identity, and it reacts, matures, tightens, like stone, ebony. Or else it cracks, bleeds, decays" (Kristeva 1980: 162). She *lacks* conversation and human contact, so she fills the gap by talking to books. This is helpful since "while we speak we live up there above our bodies in the mind, and there is hope as long as we continue to talk" (Gass 1997: 101). Her choice for reading is not haphazard. Besides other books by female authors, her infatuation with the poetry of Elizabeth Bishop and her desire to be reduced to a line of Elizabeth Bishop's stems from the fact that she identifies with this poet as her double on a symbolic level. She is, in short, obsessed with Elizabeth Bishop. Used to living in a featureless world, Emma finds her situation overwhelming and attempts to be involved in a fantasy world of her own. "[S]he herself is slowly losing her corporeity and distancing herself from matter, in order to be able to slide into the pure world and be finally part of it" (Monti 2006: 127). Hix further pinpoints Emma's deliberate intention by highlighting the significant difference in her treatment of her house and her body: "Her careless neglect of the house, that square, once-sturdy body to which she is wholly indifferent, contrasts with her studied neglect of her own body. Her neglect of the house is passive, but her neglect of her body is active" (2002: 150). He also adds that: "The house can decay into she-cares-not-what, but she wants her body to become something very specific" (Hix 2002: 150).

The dependency of Emma on Elizabeth Bishop is shown not only early in the text, in the very opening sentence, but also through the many inter-textual references to her and to the other women poets who were able to cope with language and consequently with their status within the symbolic order. In Fogel's words, the "toughness of Elizabeth Bishop's verse, its resistance to cliché and comfortable language, draws in and unnerves Emma Bishop whose life is as remote from ease as is most of Elizabeth Bishop's poetry" (2005: 22). Elizabeth Bishop's relationship to Emma is, in fact, that of the ubiquitous presence of the symbolic other, the overarching spirit and the double which makes Emma's life simultaneously miserable and meaningful.

Great care is taken to incorporate inter-textual details of Elizabeth Bishop's life into the story. This is, of course, for a good reason. Emma Bishop vs. Elizabeth Bishop is echoed throughout this novella. Elizabeth is Emma's double, her symbolically successful side, and what she has always dreamed of being and

becoming. Yet, Elizabeth is also Emma's worst nightmare; she is what Emma has failed to be and the source of her fear. The first line of the story sets up this ambivalent attitude: "Emma was afraid of Elizabeth Bishop" (Gass 1998: 144).

As mentioned before, Emma has been depicted as a disturbed, forlorn character trapped within the cruel net of the circumstances to which she was born and in which she has been brought up. She cannot openly connect to the world. Compared to Elizabeth, with her give and take relationship with the world, Emma has no effect on and displays no signs of rapprochement with her environment. She is as weightless as a shadow, as non-present as "a mantis [...] on a leaf" (Gass 1998: 162). Unlike Elizabeth, Emma is unable to connect to words in a way that would guarantee her salvation by helping her out of her neurotic state. She is entrapped within a self-constructed mirror stage in which she finds a double for herself. The mirror stage for her is symbolically repeated in the form and person of Elizabeth Bishop. Like the image in the mirror, she identifies with the famous poet and soon apprehends her great difference and tries to overcome this difference by taking refuge in a line of her poetry. She is afraid of the resemblance— and simultaneous difference — between the two of them. Even when she is reading, all she can remember are the first few pages of the books she picks up and nothing more. Her own occasional writings are limited to some sentiment cards.

Emma's double is more capable of connecting to her world through her words; a traumatic subject of the symbolic who lost her father to death within a year of her birth and her mother to insanity when she was only five, Elizabeth Bishop is significantly more successful than Emma: "Emma was afraid of Elizabeth Bishop because Emma had desperately desired to be a poet, but had been unable to make a list, did not know how to cut cloth to match a pattern, or lay out night things, clean her comb, where to plant the yet-to-be dismantled ash, deal with geese. She looked out her window, saw a pigeon clinging to a tree limb, oddly, ill, unmoving, she. the cloud" (Gass 1998: 146).

Elizabeth Bishop is capable of connecting to life the way Emma cannot. In an interview with Madera, William Gass explains that "her [Emma's] love of the line of verse is her love for something done right, ordered correctly, and having that be a specific thing. That's her casket, so to speak" (2013: 59). Elizabeth is able to idealize the common and the mundane in her poetry because she can form connections with them, a fact which sets her in sharp contrast to Emma who is unable to do so. Elizabeth is precise and metaphoric. Emma, on the other hand, is incapable of connecting to things surrounding her to shape precise metaphors and her use of words remains fragmented to the end. Rather, she pursues Elizabeth passively trying to idealize her as a powerful presence who can bring about changes in her life. Regardless of ethical considerations, it is through her imaginary

friendship with Elizabeth that Emma is finally able to take up an active role in her passive life and affect a change in her circumstances by removing the impediments to her sense of tranquil loneliness.

Another important signifier in Emma's life is the ash tree under which she reads her books and loses herself in her imagination. To her, the tree is the symbol of tranquility because it functions as a shelter under which she takes refuge from the cruelty and barrenness of the world surrounding her. The tree has religious and traditional significations as well. Emma's father likens the tree to the tree that caused the fall by leading the snake into heaven and hence hates it. This fact reinforces the symbolic identity of the ash tree which also has other significations. "But anything that can grow, 'flourish,' bear 'fruit,' and die might be likened to a tree: a person, a family, a nation, a cultural tradition [...] The two most important trees in the Bible, of course, are 'the tree of life' and 'the tree of knowledge of good and evil' (Gen. 2.9)" (Ferber 1999: 219). A tree in western culture is indicative of growth, expansion, and higher perspective. Therefore, when Emma's father brings the tree down, he not only removes a universal symbol, but also strikes another decisive blow to the soul of his victim, Emma. We hear Emma mourning the fall of the tree: "I have lost this, lost that, am I not an expert at it? I lost more than love. I lost even its glimpse. Treefall. Branchcrash. That's all. Gave. Gave. Gave away. Watched while they took the world asunder" (Gass 1998: 152). The resonance found in these lines is the consequence of Emma's poignant altered recitation of Elizabeth Bishop's poem "One Art", the starting lines of which read: "The art of losing isn't hard to master; / so many things seem filled with the intent / to be lost that their loss is no disaster" (2011: 1-3).

This cruelty finally leads Emma to take action against the one whom she holds responsible for all she has lost. Emma has become neurotic under the castrating power of her father, the powerful reminder of which is his gaze. She needs to overpower it so that she can be un-burdened. To do this, the first step is to get rid of his constant inspection of her, an action which has reduced her to nothing but a piece of property in his materialistic eyes: "He watched me grow like a gardener follows the fortunes of his plants [...] Well, he was a farmer. And I was crop. Why not?" (Gass 1998: 154). The father's constant inspection ends once she returns his gaze and puts an end to his exploitation of her body. "Maybe her father stopped inspecting her when he saw her watching, simply watching him; when his naked face and naked gaze were gazed at, gazed at like urine in the pot, yellow and pearly" (Gass 1998: 156).

Killing the father is the next step in opposing patriarchal power. The fight started by returning the father's gaze is won by Emma once she kills him with his own shovel. His own tool is used against him; metaphorically speaking, the

shovel — obviously a phallic symbol — is a masculine tool to plow the farm, a feminine symbol of the womb. When killing her father, Emma does not confront him. She has practiced this scene hundred times before by killing him in her mind. An indicative of this fact is when she asks her mom to do this, but meets her refusal. This leads Emma to take revenge on the mother too because it is due to her mother's failure in resisting the father's tyranny that Emma has become so alienated and helpless. The reality and *jouissance* she seeks to achieve as a neurotic is brought to her through the poetry of Elizabeth Bishop, her strong double whose "rivers ran across Emma's country, lay like laminate, created her geography: cape, bay, lake, strait... snow in no hills" (Gass 1998: 147). Elizabeth Bishop's "One Art" is once more used a few pages later; this time, the first line of the poem becomes the introductory sentence of the section set off by the phrase *snow in still air* to add more significance to the inspiration Emma receives from Elizabeth Bishop's poetry: "The art of losing isn't hard to master. Emma remembered with gratitude that lesson" (Gass 1998: 161). Losing is what Emma decides to choose; Losing mother, father, and ultimately herself in a line of poetry.

Emma's reality, like any other symbolic subject, depends on language. Emma is in an unconscious pursuit of *jouissance*, impossible fantasy of contact with the real defined for her in terms of "her decision to lie down in a line of verse and be buried there" (Gass 1998: 148). By penetrating into the symbolic order represented by Elizabeth Bishop's poetry, Emma tries to cross over to find her own version of reality. She obsesses over certain facts of her life and is terrified to find them within language: "Certain signs, certain facts, certain sorts of ordering, maybe, made her fearful, and such kinds were common in the poetry of Elizabeth Bishop" (Gass 1998: 146). This is due to the fact that desire manifests itself through language. After all, the reality she sees in Bishop's poems is the reality she wants to have:

Some dreams they forgot. But Emma Bishop remembered them now with a happy smile. Berry picking in the woods, seeing shiny black wood-berries hanging from a bough, and thinking, don't pick these, they may be poison... a word thrilling to say...*poison*...us. Elizabeth Bishop used the phrase *loaded trees*, as if they might like a gun go off. At last ... at last ... at last, she thought: "What flowers shrink to seeds like these?" (Gass 1998: 191)

Finally her dream world is delivered through words; she gets her own version of reality from what she reads. Bishop's text acts as a mirror in which Emma sees the reflection of her desires. It is within the lines of Elizabeth Bishop's poetry that she finds echoes of her murderous plan.

Immediately after poisoning the mother, she carries out the task of killing her father in cold blood. Approaching the father in the field, she lowers the shovel hard; “Emma struck her father between his shoulder blades with the flat of the spade. She hit him as hard as she could, but we can’t suppose her blow would have amounted to much. She heard his lungs hoof and he fell forward on his face” (Gass 1998: 190). The action of killing the father is like swatting a fly, an act in which, we are told in the story, Emma is an expert; her dad does not expect it. He is hit on the back into the dirt which Emma identifies with him: “Her father fell over in a field. Nose down in the dirt. A dog found him” (Gass 1998: 159). The account of Emma’s apparently unperturbed thoughts after her successful murders shocks the reader while simultaneously echoing Elizabeth Bishop’s effect on Emma’s mind once more: “Now that she hadn’t had to poison her mother or strike her father down in the field with the blade of a shovel, but was so alone even the chickens unfed had wandered off, she could have sung without surprising anyone, or sworn without shocking her father with unladylike language. She did sing sometimes inside herself. ‘In the cold cold parlor my mother laid out Arthur...’” (Gass 1998: 167-8). This time, the recited piece is from Elizabeth Bishop’s “First Death in Nova Scotia,”¹ a short poem which tells of a child’s — and Emma’s — first experience of death while attending a relative’s wake. Once her father falls to the dirt, Emma has successfully carried out her revolutionary plan of killing the patriarch and is set free.

Last but not least is Emma’s final narrative which is delivered by putting together all the phrases or short sentences that are scattered throughout the main narrative. This is in accordance with the Lacanian idea that the unconscious has the same method of functioning as language. Lacan suggests, Fredric Jameson explains:

Meanwhile, this conception of desire as a proto-linguistic demand, and of the Unconscious as a language or “chain of signifiers,” then permits something like a rhetorical analysis of psychic processes to come into being. As is well known, not only is desire for Lacan a function of metonymy, the symptom is a product of metaphor, and the entire machinery of the psychic life of the mature subject, which consists, as we have seen above, in the infinite production of substitutes (1977: 367-8).

¹ Here is the first stanza of the poem: In the cold, cold parlor / my mother laid out Arthur / beneath the chromographs: / Edward, Prince of Wales, / with Princess Alexandra, / and King George with Queen Mary. / Below them on the table / stood a stuffed loon / shot and stuffed by Uncle / Arthur, Arthur’s father.

Lacan joined the two Freudian terms of condensation and displacement to Jacobson's concepts of metaphor and metonymy. Through these devices, Lacan and, later, Kristeva claimed that the forbidden can enter the symbolic in a sublimated manner: "A metaphor operates by substituting one term for another whereas a metonym operates by connecting one term to another" (McAfee 2004: 31). To Lacan, such "analogies and connections [...] often operate in the unconscious. Thus, we can see the effects of the unconscious in language: metaphors are evidence of condensation and metonyms are evidence of displacement. Such insights prompted Lacan to say, famously, that the unconscious is structured like a language" (McAfee 2004: 32).

These pieces of Emma's unconscious utterances are so subtly and obliquely presented that they may be overlooked at first. However, they finally come together and attract the reader's attention as having a possible meaning. If the reader puts these broken segments of sentences and phrases together, the final narrative will be handed in. Intriguingly, this final piece, not longer than four lines, is the story of Emma and what happened to her. Finally, she is able to put her own narrative together and depict what she has been through in her lonely experience of life in the "bleak midwestern landscape" (Hix 2002: 149) of Iowa. The reader sees her narrative in complete form only when the pieces uttered by her, which are scattered all through the novella, are put together:

The slow fall of ash (144) far from the flame, (152) a residue of rain (154) on morning grass, (158) snow in still air, (161) wounds we have had, (164) dust on the sill there, (167) dew, snowflake, scab: (171) light, linger, leave, (176) like a swatted fly, (181) trace to be grieved, (184) dot where it died. (191)

Metonymic elements in the few sentences offered here and there in her narrative are finally to join and form a whole, a metaphorical account of how Emma has lived and how she manages to free herself. Each phrase or chunk depicts a part of her life and highlights her thoughts or feelings regarding that specific moment or event. This is Gass's way of using language to signify. By creating Emma's identity through a narrative which progresses and retreats in time, Gass underscores the prismatic nature of subjectivity, and emphasizes that a unified identity is unattainable. Furthermore, he shows how identity is formed by lack and desire and how the subject may seek ways to free herself, not only by actual flight from tyranny, but also by taking refuge in the medium of language and connecting her world to her words.

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FERNÁNDEZ-CAPARRÓS, ANA (2015). *EL TEATRO DE SAM SHEPARD EN EL NUEVA YORK DE LOS SESENTA*. VALENCIA, BIBLIOTECA JAVIER COY: PUBLICACIONES DE LA UNIVERSIDAD DE VALENCIA. 222 PP.

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In 1978, Sam Shepard won the Pulitzer Prize for his play *Buried Child*, a work that consolidated Shepard as a playwright and gave him a place in the history of American drama. After this, Shepard's work was nominated two more times and the most important academic critical works on his plays were published. Ana Fernández-Caparrós' work presents a new and thorough study of Shepard's first plays, concretely those originated and performed in the off-off Broadway New York, in order to show that Shepard became one of the most relevant playwrights of American theatre thanks to his transgressive work during the 1960s. To Fernández-Caparrós, Shepard's early theatre introduces an extraordinary dramatic encounter taking the concept "extraordinary" in its etymological sense since it offers characters and situations opposed to the ordinary. Although Shepard's early plays have not been the focus of many critical studies, the author defines these plays as "prolific, intuitive and extravagant" becoming the fundamental basis of Shepard's future plays. She considers Shepard's first plays remarkable because of the original use of language, psychologically undefined characters and the use of narrative monologues. In this sense, the author explores that part of Shepard's work that has not been studied in relation to the importance of these narrative monologues, the space of the imaginary on stage

and the multiple transformations of the dramatic space inhabited by characters constantly fantasizing in order to create Shepard's extraordinary dramatic space.

Remarkably, Fernández-Caparrós divides her work in three parts: the social and cultural context of Sam Shepard in the 1960s, a second part dedicated to the theories of the imagination on stage and a third part which introduces an exhaustive analysis of the most illustrative plays written by Shepard in the 1960s. In this context, she defines Shepard's theatre as part of the Off-Off Broadway which was not openly political but reflected the controverted socio-political situation of the time marked by the Vietnam War, the civil rights revolts and the impact of the killing of political and social activists such as Malcom X, Martin Luther King and Robert Kennedy. As the author emphasizes, Shepard's theatre becomes the artistic response theatre had to the social instability and which implied a radical change in the performing arts in terms of theory of drama and the relationship with the audience. In this sense, Shepard's early theatre is an example of the necessity of a new way of imagining and representing. This would respond to Shepard's implication with the *youthquake*, a new generation involved in creating new poetic forms to adapt their artistic innovations to the different vital experiences they were undergoing and which brought as a consequence a total renovation of the theatre. This is Shepard's starting point with a work that rebels against the social conformists of the 1950s and the denial of the dominant values by offering others opposite to the established ones. As the author states, this allows Shepard to create characters that play and fantasize on stage sometimes with becoming rock stars.

One of the most original contributions of Fernández-Caparrós' volume is the second part dedicated to the theories of imagination. As part of this renovation of the American drama of the 1960s, Shepard constructs his theatre in a performance based on images and this is one of the things that makes Shepard's early theatre innovative and fundamental for the understanding of the American Drama of the 1960s. She asserts that Shepard's performance projects "the representation of interiority more than the traditional succession of thoughts associated to the theatrical monologue" (100). Besides, she understands Shepard's construction of the dramatic space as an illustration of the imaginative conscience of undefined characters and without personality as the beginning of a new poetics of drama that will be fundamental for his future theatre. Part of Fernández-Caparrós innovative analysis consists in understanding the character's imaginative expositions as a tool to give significance and structure to the play instead of considering it a waste of unproductive energy on stage, as many critics have stated. Thus, the desperate and at the same time comic daydreaming of the characters create a new fictional world justifying the dramatic poetics of imagination.

The third and final part of this work successfully links the author's original theoretical contribution with an exhaustive analysis of the most remarkable works of Shepard's early theatre: *Cowboys #2*, *Chicago*, *Icarus's Mother*, *Red Cross* and *The Mad Dog Blues*. Essentially, she claims that the discourse of these plays conditions the technical structure and the space of performance giving the play a sense of freedom in its expression. *Cowboys #2* is presented in the text as Shepard's example of how imagination works as an essential tool on stage to experiment with performance and conscience. In this play, as she points out, the sense of reality is lost and the traditional mimetic codes are reversed blurring the line between reality and fantasy. Together with this, *Cowboys #2* inherits certain Beckettian cyclical tone to express the significance of time however in this play Shepard introduces a different topic since the character's discussion on stage is not time but the creation of an alternative world according to their own principles. In the next play, *Chicago*, Shepard still makes his characters experience a new form of monologue. Again, there are some Beckettian influences when Shepard plays on stage with absence and places only a bathtub where the central character stays. The surrounding space is crowded with other characters that are only the projection of the protagonist's fantasies. This is what the author calls brilliantly Shepard's imaginative escapism. Through this technique, Shepard was showing the audience the physical dimension of the imaginative act. Also, it shows the ability of imagination to make visible the invisible. As the author asserts, Shepard rewrites traditional theatre by using the dramatic space to project what the character sees in his imagination. In this sense, the relationship with the audience changes radically since they have the opportunity to take part in the protagonist's fantasies. In their imaginative exercise, the audience takes the images as their own. *Chicago* is considered by Fernández-Caparrós a fundamental play in Shepard's future theatre since it already brings the solitude the character experiences in his own mind. In the same line of thought, *Icarus's Mother* continues with the exploration of the stage as the space where the characters project their inner thoughts and images. However, in this particular case, Shepard goes one step further in his dramatic experimentation and makes even more complex the character's narratives. Finally, she studies *Red Cross* and *The Mad Dog Blues* as plays that remarkably focus on the manipulation of the dramatic space and the game with imagination but also with the concept of possibility and unexpected events.

Fernández-Caparrós comprehensive study becomes an innovative work for the critical corpus of Sam Shepard's theatre. It provides a new theoretical perspective to Shepard's plays especially in her formulation of a theory of the imagination that understands the plays from a different and original perspective. This thorough study opens a new critical path in Shepard's early theatre that becomes fundamental for future studies on Shepard's and Contemporary American theatre.

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4. MANUSCRIPT PREPARATION

4.1. Formatting. Minimum formatting should be used. Indentation, underlining and tabulation should be avoided unless absolutely necessary.

4.2. Document. All margins in the document should be of 2.54 cms. Paragraphs should be fully justified. The main text of the proposal should be written in 12-point Garamond. Quotations will be in 11-point Garamond when they appear in an independent paragraph. Abstracts, keywords, footnotes, superscript numbers, tables and figures will appear in 10-point Garamond.

4.3. Title. The title of the proposal should be centred and written in 12-point Garamond bold. Capitals should be used for both title and subtitle.

A Spanish translation of the title of the proposal should also be included. For those contributors who do not handle Spanish, a translation will be provided by the Editor.

4.4. Abstract and keywords. Each title should be followed by a brief abstract (100-150 words each): the first one should be written in English, while the second one should be written in Spanish. For those contributors who do not handle Spanish, a translation of the abstract will be provided by the Editor. Abstracts should be single-spaced, typed in 10-point Garamond *italics* (titles of books and keywords will appear in normal characters), justified on both sides, and indented 1 cm. from the left-hand margin. Abstracts should have no footnotes. The word ABSTRACT/RESUMEN (in normal characters and capital letters), followed by a full-stop and a single space, will precede the text of the abstract.

Abstracts will be followed by a list of six keywords, written in normal characters in the corresponding language, English or Spanish, so that contributions can be accurately classified by international reference indexes. The word *Keywords/ Palabras clave* (in italics), followed by a semi-colon and a single space, will precede the keywords.

4.5. Paragraphs. Paragraphs in the main text should not be separated by a blank line. The first line of each paragraph will be indented 1 cm. from the left-hand margin. Words will not be divided at the end of a line either. There should be only one space between words and only one space after any punctuation.

4.6. Italics. Words in a language other than English should be italicized; italics should also be used in order to emphasize some *key words*. If the word that has to be emphasized is located in a paragraph which is already in italics, the key word will appear in normal characters.

4.7. Figures, illustrations, and tables. They should be numbered consecutively with Arabic numerals and referred to by their numbers within the text (e.g. as we see in example/figure/table 1). They should be accompanied by an explanatory foot (in 10-point Garamond italics, single-spaced).

4.8. Headings. Headings of sections should be typed in Small Capitals, and separated with two blank spaces from the previous text and with one blank space from the following text. They must be preceded by Arabic numerals separated by a full stop and a blank space (e.g. 1. Introduction).

Headings of subsections should be typed in *italics*, and separated with one space from both the previous and the following text. They must be numbered as in the example (e.g. 1.1., 1.2., etc.).

Headings of inferior levels of subsections should be avoided as much as possible. If they are included, they should also be numbered with Arabic numerals (e.g. 1.1.1., 1.1.2., etc.) and they will be typed in normal characters.

4.9. Asides. For asides other than parenthetical asides, dashes (and not hyphens) should be used, preceded and followed by a blank space. For compounds use hyphens. Notice the following example:

“Teaching in English – as many subjects as possible – seems to offer a **second-best** solution insofar as it entails much more exposure of the foreign language”.

4.10. Punctuation. Authors are requested to make their usage of punctuation as consistent as possible. Commas, full stops, colons and semi-colons will be placed after inverted commas (“;”).

Capital letters will keep their natural punctuation such as accents, etc. (e.g. PUNTUACIÓN, LINGÜÍSTICA, etc.).

Apostrophes (’), not accents (´), should be used for abbreviations and the saxon genitive.

4.11. Footnotes. Footnotes should only be explanatory (references should be provided only in the main text). Footnotes will appear at the end of the page. Superscript numbers will be separated from the main text of the footnote by a blank space.

References to footnotes should be marked in the text with consecutive superscript Arabic numerals, which should be placed after all punctuation (including parenthesis and quotation marks).

4.12. Quotations. Quotations should normally appear in the body of the text, enclosed in double quotation marks. Single quotation marks will be used to locate a quotation within another quotation (e.g. “toward a unified policy that ‘natural’ English was altogether preferable”).

Quotations of four lines or longer should be set in a separate paragraph, without quotation marks, typed in 11-point Garamond and indented 1,5 cms. from the left-hand margin. They should be separated from both the previous and the following text with one blank line.

Omissions within quoted text should be indicated by means of suspension points in square brackets (e.g. [...]).

4.13. In-text citations. References must be made in the text and placed within parentheses. Parentheses should contain the author’s surname followed by a space before the date of publication which, should, in turn, be followed by a colon and a space before the page number(s). Example:

“Certainly, the conventional romance plot is a construction of the ideology of patriarchy” (Brush 1994: 238).

If the sentence includes the author’s name (example 1) or if it includes the date of publication (example 2), that information should not be repeated in the parentheses:

Example 1:

Johnson has drawn our attention to the fact that we are aware of our bodies as three-dimensional containers (1987: 21).

Example 2:

In appearance and aspirations he is culturally androgynous like Frankie. He is sexually ambivalent and “Light Skinned” (McCullers 1962: 155) and “could talk like a white school-teacher” (48).

If the quotation includes several pages, numbers will be provided in full, as in the example:

In the world she would create “there would be no separate coloured people [...] but all human beings would be light brown colour with blue eyes and black hair. There would be no coloured people and no white people to make coloured people feel cheap and sorry all through their lives” (McCullers 1962: 114-115).

If several authors are parenthetically cited at the same time, they should be arranged chronologically and separated with a semi-colon:

(Richards 1971: 210; Arabski 1979: 43; Selinker 1991: 16)

If there are two or more works by the same author published in the same year, a lower-case letter should be added to the year, as in the example:

(Montrose 1986a: 332) (Montrose 1986b: 9)

Parenthetical citations should be placed immediately after each quotation, both when the quoted passage is incorporated into the text and when the passage is longer than four lines and needs to be set in a separate paragraph. Put this parenthetical citation after the quotation marks but before the comma or period when the quotation is part of your text:

The readers being addressed are mainly white and anglophone, for, as Atwood said “survival was part of the English-Canadian cultural nationalism that peaked in about 1975” (1981: 387).

When the quotation is set off from the text in indented form, the parenthetical citation follows all punctuation:

Even Cranny-Francis points to the subversive potential of the romance plot:

Romance is often written into texts dominated by other genres, such as SF, utopian or detective fiction, where it may operate as one of the conventions of those genres. Feminist revisions of these genres also use romance and, in dialogue with other generic conventions, it has been used successfully to interrogate the construction of masculinity and femininity and of interpersonal relationships. (1990: 190)

4.14. Bibliographical references. All (and only those) books and articles quoted or referred to in the text (those quoted in the footnotes included) should appear in a final bibliographical list of references, which completes the information provided by the in-text citations provided in the text.

The heading for this list should be REFERENCES.

Hanging or reverse indentation (i.e. indentation of all lines of a paragraph except the first one, which is a full line) of 1 cm. from the left-hand margin should be used.

This list should be arranged in alphabetical order and chronologically, when two or more works by the same author are cited. The author's full name should be repeated in all cases. Example:

- Langacker, R. 1991. *Foundations of cognitive grammar 2: Descriptive application*. Stanford, CA: Stanford University Press.
- Wierzbicka, A. 1988. *The Semantics of Grammar*. Philadelphia: John Benjamins.
- Wierzbicka, A. 1992. *Semantics, Culture, and Cognition: Universal Human Concepts in Culture-Specific Configurations*. New York: Oxford University Press.

Books. References to books will include: author's surname and name; year of publication (first edition in parentheses, if different); title (in italics); place of publication; publisher's name. If the book is a translation, the name of the translator should be indicated at the end. Contributors are requested to pay special attention to punctuation in the following examples:

Taylor, J. R. 1995 (1989). *Linguistic Categorization: Prototypes in Linguistic Theory*. Oxford: Clarendon.

Kristeva, J. 2000. *The Sense and Non-Sense of Revolt*. New York: Columbia University Press. Trans. Jeanine Herman.

Articles. Titles of articles should be given in inverted commas. Titles of journals should appear in italics. Volume, number (between parentheses) should follow. Then page numbers, separated by a colon:

Haiman, J. 1978. "Conditionals are topics". *Language* 54 (2): 564-589.

Frye, N. 1940. "The Resurgent". *Canadian Forum* 19: 357-61.

Books edited. Volumes edited by one or more authors should be referred to as follows (notice the use of abbreviations ed. and eds.):

Miller, N. C., ed. 1986. *The Poetics of Gender*. New York: Columbia University Press.

Richards, J. C. and D. Nunan, eds. 1990. *Second Language Teacher Education*. New York: Cambridge University Press.

Articles in books. References to articles published in works edited by other authors or in conference proceedings should be cited as in the example:

Fowler, R. 1983. "Polyphony and Problematic in *Hard Times*". *The Changing World of Charles Dickens*. Ed. R. Giddings. London: Vision Press. 91-108.

Traugott, E. C. 1988. "Pragmatic strengthening and grammaticalization". *Proceedings of the Fourteenth Annual Meeting of the Berkeley Linguistics Society*. Eds. S. Axmaker, A. Jaisser, and H. Singmaster. Berkeley, Ca.: Berkeley Linguistics Society. 406-416.

Several authors. A journal article with three authors:

Golberg, H., Paradis, J. and M. Crago. 2008. "Lexical acquisition over time in minority first language children learning English as a second language". *Applied Psycholinguistics* 29: 41-65.

Magazine article in a weekly or biweekly publication:

Allen, B. 1995. "Leaving Behind Daydreams for Nightmares". *Wall Street Journal*, 11 October, A12.

A **review** in a journal:

Judie Newman. 2007. "*Fictions of America. Narratives of Global Empire*", by P. Martín Salván. *Atlantis* 31 (1): 165-170.

An **unpublished dissertation**:

Arús, J. 2003. *Towards a Computational Specification of Transitivity in Spanish: A Contrastive Study with English*. Unpublished Ph. D. thesis. Universidad Complutense de Madrid: Spain.

An **on-line** publication:

Pierce, David. "Irish Studies round the world-2007: Introduction." <<http://www.estudiosirlandeses.org/Issue3/Issue3InternationalReviews/PdfStudiesRoundtheWorldbyDPierce.pdf>>. (Accessed 7 May 2008)

JOURNAL OF ENGLISH STUDIES (JES)
Política Editorial, Presentación de Originales y Hoja de Estilo

1. POLÍTICA EDITORIAL

1.1. Descripción de la revista. *JES* es una publicación del Área de Filología Inglesa del Departamento de Filologías Modernas de la Universidad de la Rioja dedicada a la difusión de estudios en todas las áreas de investigación que se engloban en el ámbito de los Estudios Ingleses. Se aceptarán para su publicación, previo informe favorable de dos evaluadores anónimos, trabajos originales que se integren en alguna de las áreas temáticas relacionadas con los Estudios Ingleses (lingüística, literatura, teoría literaria, estudios culturales, estudios fílmicos, etc.), debiendo acogerse además a alguna de las siguientes modalidades:

- A. Artículos sobre cualquiera de las áreas temáticas que se engloban dentro de los Estudios Ingleses (mínimo 6.000 y máximo 10.000 palabras en páginas a doble espacio, incluyendo referencias bibliográficas, notas, apéndices, figuras y tablas).
- B. Reseñas y reseñones de libros recientes publicados en el campo de los Estudios Ingleses (máximo 3.000 palabras en páginas a doble espacio).
- C. Notas o reflexiones críticas breves (*squibs*) (máximo 1.500 palabras en páginas a doble espacio).

Excepcionalmente, y siempre acompañados de un informe positivo del *Consejo Científico*, se admitirán trabajos que superen la extensión indicada, cuando la relevancia de los mismos lo justifique.

1.2. Idioma. *JES* sólo admite propuestas de publicación escritas en inglés.

1.3. Evaluación. Los trabajos serán remitidos a dos evaluadores anónimos propuestos por los miembros del *Consejo de Redacción* y/o *Consejo Científico* de *JES*. Es requisito imprescindible para la publicación de los trabajos la obtención de dos evaluaciones positivas. La evaluación se efectuará en relación a los siguientes criterios:

- Originalidad e interés en cuanto a tema, método, datos, resultados, etc.
- Pertinencia en relación con las investigaciones actuales en el área.
- Revisión de trabajos de otros autores sobre el mismo asunto.
- Rigor en la argumentación y en el análisis.
- Precisión en el uso de conceptos y métodos.
- Discusión de implicaciones y aspectos teóricos del tema estudiado.
- Utilización de bibliografía actualizada.
- Corrección lingüística, organización y presentación formal del texto.
- Claridad, elegancia y concisión expositivas.
- Adecuación a la temática propia de *JES*.

La evaluación se realizará respetando el anonimato, tanto de los autores como de los evaluadores; posteriormente, en el plazo de tres meses desde la recepción del artículo, los autores recibirán los correspondientes informes sobre sus trabajos, junto con la decisión editorial sobre la pertinencia de su publicación, sin que exista la posibilidad de correspondencia posterior sobre los resultados de la evaluación.

1.4. Revisión y pruebas de imprenta. Si fuera necesaria la revisión de alguno de los aspectos formales o de contenido de la propuesta de publicación, ésta será responsabilidad exclusiva del autor, quien deberá entregar el documento informático de la nueva versión corregida en el plazo establecido por la dirección de la revista. De no hacerlo así, el trabajo no será publicado aunque hubiera sido evaluado positivamente.

Asimismo, los autores son responsables de la corrección de las pruebas de imprenta, debiendo remitir los textos corregidos en el plazo indicado por la dirección de la revista.

1.5. Copyright. Los autores se comprometen a que sus propuestas de publicación sean originales, no habiendo sido publicadas previamente, ni enviadas a evaluar a otras revistas. La publicación de artículos en *JES* no da derecho a remuneración alguna; los derechos de edición pertenecen a *JES* y es necesario su permiso para cualquier reproducción parcial o total cuya procedencia, en todo caso, será de citación obligatoria.

1.6. Política de intercambio. *JES* está interesado en realizar intercambios con otras publicaciones similares dentro del campo de los estudios ingleses o de otras áreas de conocimiento relacionadas.

2. ENVÍO DE PROPUESTAS

Los trabajos se remitirán online en formato Word o RTF a través de la plataforma de la revista en <http://publicaciones.unirioja.es/revistas/jes>

Antes de ser enviados a evaluar, la presentación de los originales ha de ajustarse a las normas que se indican a continuación.

3. INSTRUCCIONES PARA LOS AUTORES

3.1. Qué enviar. Los autores enviarán sus propuestas por correo electrónico, indicando el título del trabajo que se envía para evaluar de cara a su publicación en *JES*.

Junto con el mensaje, los autores enviarán dos documentos en formato Word o RTF. En el primer documento, los autores incluirán el título del artículo (en **negrita**), el nombre (en Versalita), la afiliación del autor o autores (en *cursiva*) y cualquier otra información relevante como su dirección postal y la de correo electrónico o el número de teléfono y de fax.

En el caso de autoría compartida, se indicará el nombre y la dirección de correo electrónico de la persona a quien deben dirigirse la correspondencia y las pruebas de imprenta.

Los autores deberán incluir también una breve nota biográfica (de unas 100 palabras).

El segundo documento contendrá el artículo que ha de enviarse para su evaluación. Por tanto los autores deberán ser extremadamente cautos para evitar que aparezca cualquier tipo de información personal que permita identificar a los autores del trabajo.

3.2. Tablas, figuras e imágenes. Deberán incluirse en el texto en el lugar adecuado. Las imágenes se guardarán en formato JPG o TIFF con una resolución de 300 dpi, tamaño final.

3.3. Información sobre copyright. En el caso de que una parte del artículo se haya presentado con anterioridad en un congreso, se debe incluir una nota en la que se indique el nombre del congreso, el de la institución que lo organizó, las fechas exactas del congreso o el día en el que se presentó la ponencia y la ciudad donde se celebró el congreso. La obtención de los permisos necesarios para utilizar material sujeto a copyright es responsabilidad de los autores.

4. PREPARACIÓN DEL MANUSCRITO

4.1. Formato. Se ruega reducir al mínimo el número de formatos. No se utilizarán sangrías, subrayados o tabulaciones a menos que sea absolutamente necesario.

4.2. Documento. La medida de todos los márgenes (izquierdo, derecho, superior e inferior) en el documento será de 2,54 cms. Todos los párrafos estarán justificados y se utilizará la letra Garamond de 12 puntos para el texto y la bibliografía, de 11 puntos para las citas que aparezcan en un párrafo separado de la estructura del texto y de 10 puntos para los resúmenes o abstracts, las palabras clave, las notas, los números sobrescritos, las tablas y las figuras.

4.3. Título. El título del artículo se presentará centrado con letra Garamond 12 negrita. Se utilizarán las mayúsculas tanto para el título, como para el subtítulo, si lo hubiera.

El título deberá estar traducido al español. El editor se encargará de la traducción cuando el autor no sepa español.

4.4. Resumen y palabras clave. El título inglés y el español irán seguidos de sendos resúmenes (de entre 100 y 150 palabras cada uno): el primero, en inglés, y el segundo en español. El editor se encargará de la traducción cuando el autor no sepa español. Los resúmenes se presentarán en letra Garamond de 10 puntos y en *cursiva* (los títulos de libros y las palabras clave irán en caracteres normales), con justificación completa, a un solo espacio y sangrados un centímetro del margen izquierdo. Los resúmenes no podrán incluir notas al pie. La palabra RESUMEN/ABSTRACT (en caracteres normales y mayúsculas) estarán separados del resumen por un punto y un espacio.

Cada resumen irá seguido de una lista de seis *palabras clave* en el idioma correspondiente: inglés o español, para facilitar así la clasificación correcta de los artículos en índices de referencia internacional. La palabra *Palabras clave/Keywords* (en cursiva), seguidas de dos puntos y un espacio, precederán a los términos elegidos.

4.5. Párrafos. La distancia entre los párrafos será la misma que la utilizada en el espacio interlineal, y por lo que se refiere a la primera línea de cada párrafo, ésta irá sangrada un centímetro hacia la derecha. No se dividirán palabras al final de una línea. Se incluirá solo un espacio entre palabras y un solo espacio después de cada signo de puntuación.

4.6. Cursiva. Las palabras en una lengua diferente a la de la redacción del texto aparecerán en cursiva; asimismo se empleará este tipo de letra para resaltar alguna palabra clave, y cuando esto suceda en un fragmento textual en cursiva, se procederá de modo contrario, i.e., se destacará la palabra clave en caracteres normales.

4.7. Figuras, ilustraciones y tablas. Las figuras, ilustraciones y tablas deberán ir numeradas con cifras arábigas y se hará referencia a sus números dentro del texto (v.gr., como vemos en la imagen/ilustración/tabla/ejemplo 1). Irán acompañadas de un pie en el que se indique su contenido (en letra Garamond de 10 puntos y en *cursiva* y a un solo espacio).

4.8. Títulos de los apartados. Los títulos de los apartados se presentarán en letra versalita común, numerados con cifras arábigas que estarán separadas del título por un punto y un espacio (v.gr., 1. Introduction); los títulos estarán separados del texto anterior por dos líneas y del texto siguiente por una.

Los títulos de los subapartados se anotarán en *cursiva* común y serán nuevamente numerados (v. gr., 1.1., 1.2., 1.3.), debiendo separarse tanto del texto que antecede como del texto siguiente por una línea.

Los niveles inferiores a los subapartados deberán evitarse en lo posible. Si se utilizan serán numerados igualmente con cifras arábigas y se escribirán en texto común (v. gr., 1.1.1., 1.1.2.; 1.1.1.1., 1.1.1.2.).

4.9. Aclaraciones. En los casos en los que se hagan aclaraciones en las que no se utilice un paréntesis sino guiones, el guión estará separado tanto de la primera como de la última palabra de la aclaración por un espacio, como el en ejemplo:

“Teaching in English – **as many subjects as possible** – seems to offer a **second-best** solution insofar as it entails much more exposure of the foreign language”.

4.10. Puntuación. La puntuación ortográfica (coma, punto, punto y coma, dos puntos, etc) deberá colocarse detrás de las comillas (“;”).

La escritura en mayúsculas conservará, en su caso, la acentuación gráfica correspondiente (v. gr., INTRODUCCIÓN, LINGÜÍSTICA, BIBLIOGRAFÍA).

Se utilizará un apóstrofe (') y no una tilde (´) en abreviaturas y genitivos sajón.

4.11. Notas al pie. Las notas al pie serán breves y aclaratorias. Como regla general, se evitará el uso de notas al pie para registrar únicamente referencias bibliográficas. Se incorporarán al final de página. Los números de nota sobreescritos estarán separados del texto de la nota por un espacio.

Las notas irán numeradas con cifras arábigas consecutivas que se colocarán detrás de todos los signos de puntuación (incluidos paréntesis y comillas).

4.12. Citas. Las citas textuales de hasta cuatro líneas de longitud se integrarán en el texto e irán señaladas mediante comillas dobles. Las comillas simples se utilizarán para ubicar citas dentro de las citas (v.gr., “toward a unified policy that ‘natural’ English was altogether preferable”).

Las citas de extensión igual o superior a cuatro líneas se presentarán en un párrafo separado del texto por una línea, tanto al principio como al final, y sin comillas, en letra Garamond 11 y sangradas a 1,5 cms. del margen izquierdo.

Las omisiones dentro de las citas se indicarán por medio de puntos suspensivos entre corchetes (v. gr., [...]).

4.13. Referencias en el texto. Las referencias a las citas deben hacerse en el propio texto entre paréntesis. Dentro del paréntesis deberá incluirse el apellido del autor, seguido de un espacio, seguido de la fecha de publicación, seguida de dos puntos y un espacio, seguidos del número o número de páginas. Ejemplo:

“Certainly, the conventional romance plot is a construction of the ideology of patriarchy” (Brush 1994: 238).

Cuando en la frase se cita el nombre del autor (ejemplo 1) o la fecha de publicación (ejemplo 2), esa información no debe repetirse en el paréntesis:

Ejemplo 1:

Johnson has drawn our attention to the fact that we are aware of our bodies as three-dimensional containers (1987: 21).

Ejemplo 2:

In appearance and aspirations he is culturally androgynous like Frankie. He is sexually ambivalent and “Light Skinned” (McCullers 1962: 155) and “could talk like a white school-teacher” (48).

Cuando la cita incluye varias páginas, los números de página aparecerán completos, como en el ejemplo:

In the world she would create “there would be no separate coloured people [...] but all human beings would be light brown colour with blue eyes and black hair. There would be no coloured people and no white people to make coloured people feel cheap and sorry all through their lives” (McCullers 1962: 114-115).

Cuando se citan varias obras a la vez en el mismo paréntesis, éstas deben ser ordenadas cronológicamente y separadas entre sí por un punto y coma:

(Richards 1971: 210; Arabski 1979: 43; Selinker 1991: 16)

Cuando se citan dos o más obras del mismo autor publicadas en el mismo año, se debe añadir una letra minúscula al año, como en el ejemplo:

(Montrose 1986a: 332) (Montrose 1986b: 9)

Las referencias entre paréntesis deben colocarse inmediatamente después de cada cita, independientemente de si la cita se incluye en el propio texto como si aparece en un párrafo aparte. La referencia debe colocarse después de las comillas pero antes de la coma o del signo de puntuación si la cita aparece en el propio texto:

The readers being addressed are mainly white and anglophone, for, as Atwood said “survival was part of the English-Canadian cultural nationalism that peaked in about 1975” (1981: 387).

En cambio, si la cita está en un párrafo aparte, la referencia se sitúa después del signo de puntuación:

Even Cranny-Francis points to the subversive potential of the romance plot:

Romance is often written into texts dominated by other genres, such as SF, utopian or detective fiction, where it may operate as one of the conventions of those genres. Feminist revisions of these genres also use romance and, in dialogue with other generic conventions, it has been used successfully to interrogate the construction of masculinity and femininity and of interpersonal relationships. (1990: 190)

4.14. Referencias bibliográficas. Todos (y solamente aquellos) libros y artículos citados o parafraseados en el texto (incluyendo los que aparecen en la notas al pie)

deben aparecer en una lista de referencias bibliográficas al final del documento, de modo que complete la información dada en las citas entre paréntesis a lo largo del texto.

Esta lista se agrupará bajo el título REFERENCES, escrito en mayúsculas, en letra Garamond 12 común, sin numerar y en un párrafo a doble espacio separado del texto por dos espacios en blanco.

Cada una de las referencias bibliográficas aparecerá en un párrafo a doble espacio, con una sangría francesa (en la que se sangran todas las líneas del párrafo excepto la primera) de 1 cm., en letra Garamond 12 común.

La lista estará ordenada alfabéticamente y cronológicamente, en el caso de que se citen dos o más obras del mismo autor. El nombre completo del autor se repetirá en todos los casos. Ejemplo:

Langacker, R. 1991. *Foundations of cognitive grammar 2: Descriptive application*. Stanford, CA: Stanford University Press.

Wierzbicka, A. 1988. *The Semantics of Grammar*. Philadelphia: John Benjamins.

Wierzbicka, A. 1992. *Semantics, Culture, and Cognition: Universal Human Concepts in Culture-Specific Configurations*. New York: Oxford University Press.

Libros. Las referencias a libros completos deberán incluir: apellidos y nombre del autor; año de publicación (entre paréntesis el de la primera edición, si es distinta); el título (en cursiva); el lugar de publicación; y la editorial. Si el libro es una traducción, se indicará al final el nombre del traductor. Se ruega a los autores que presten atención a la puntuación en los siguientes ejemplos:

Taylor, J. R. 1995 (1989). *Linguistic Categorization: Prototypes in Linguistic Theory*. Oxford: Clarendon.

Kristeva, J. 2000. *The Sense and Non-Sense of Revolt*. New York: Columbia University Press. Trans. Jeanine Herman.

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