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CONTENTS

CALVO PASCUAL, MÓNICA (<i>Universidad de Zaragoza</i>), <i>Girl meets boy</i> : postcyborg ethics, individual identity and collective rights in the posthuman age.....	7
COUSINS, A.D. AND NAPTON, DANI (<i>Macquarie University</i>), Indecorum, compromised authority and the sovereign body politic in <i>The Fortunes of Nigel</i> and <i>The Heart of Mid-Lothian</i>	27
DÍAZ BILD, AÍDA (<i>Universidad de La Laguna</i>), <i>The Zone of Interest</i> : honouring the Holocaust victims	47
FERNÁNDEZ MARTÍNEZ, DOLORES (<i>Universidad de Las Palmas de Gran Canaria</i>), A critical discourse approach to Benjamin Martin's preface to <i>An introduction to the English language and learning</i> (1754)	69
FLYNN, NICOLE (<i>South Dakota State University</i>), A.S. Byatt and the "perpetual traveller": a reading practice for new British fiction	91
GUALBERTO, REBECA (<i>Universidad Complutense de Madrid</i>), Reassessing John Steinbeck's modernism: myth, ritual, and a land full of ghosts in <i>To a God Unknown</i>	113
LEAHY, CHRISTINE (<i>Nottingham Trent University</i>), The time abroad project – German and British students' expectations for their stay abroad	133
LÓPEZ FUENTES, ANA VIRGINIA (<i>Universidad de Zaragoza</i>), Borders and cosmopolitanism in the global city: <i>London River</i>	165

MORILLA GARCÍA, CRISTINA AND PAVÓN VÁZQUEZ, VÍCTOR (<i>Universidad de Córdoba</i>), Psychopedagogical factors that affect L2 listening acquisition in diverse Spanish bilingual and non-bilingual instructional settings: multiple intelligences influence	185
MURO, ALICIA (<i>Universidad de La Rioja</i>), “What will your verse be?": identity and masculinity in <i>Dead Poets Society</i>	207
OBIEGBU, IFEYINWA RITA (<i>University of Nigeria Nsukka</i>), Leadership and cultural frames in Wole Soyinka’s <i>The strong breed</i>	221
OJANGUREN LÓPEZ, ANA ELVIRA (<i>Universidad de La Rioja</i>), Inflectional variation in the Old English participle. A corpus-based analysis	237
PASCUAL, DANIEL (<i>Universidad de Zaragoza</i>), Analysing digital communication: discursive features, rhetorical structure and the use of English as a lingua franca in travel blog posts	255
RAIGÓN-RODRÍGUEZ, ANTONIO (<i>Universidad de Córdoba</i>), Analysing cultural aspects in EFL textbooks: a skill-based analysis	281
EDITORIAL POLICY, GUIDELINES FOR CONTRIBUTIONS AND STYLESHEET	301
POLÍTICA EDITORIAL, PRESENTACIÓN DE ORIGINALES Y HOJA DE ESTILO	309

GIRL MEETS BOY: POSTCYBORG ETHICS, INDIVIDUAL IDENTITY AND COLLECTIVE RIGHTS IN THE POSTHUMAN AGE

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ABSTRACT. *Taking as a point of departure the novel's setting in a world controlled by online networks and global corporations, together with human beings' position as decoders of the excess of information in contemporary culture, this essay provides a posthuman interpretation of Ali Smith's Girl meets boy (2007) under the lenses of Rosi Braidotti's postulates on posthumanity and Heidi Campbell's postcyborg ethics. Thus, I analyse the ways in which the novel probes into the limits of humanity and individual identity as related to virtual environments, body politics and sexuality. Attention is also paid to the novel's raising of collective awareness and social struggle against injustice and the oppression of women, homosexuals and third-world citizens as a response to their invisible, naturalized dehumanization by the contemporary global politics of consumer culture.*

Keywords: Posthuman, postcyborg ethics, identity, sexuality, consumer culture, globalization.

GIRL MEETS BOY: LA ÉTICA POST-CÍBORG, LA IDENTIDAD INDIVIDUAL Y LOS DERECHOS COLECTIVOS EN LA ERA POSTHUMANA

RESUMEN. *Partiendo de la contextualización de la novela en un mundo controlado por redes virtuales y corporaciones globales, junto con la posición de los seres humanos como descodificadores del exceso de información presente en la cultura contemporánea, el presente artículo ofrece una interpretación posthumana de la novela de Ali Smith *Girl meets boy* (2007) bajo el prisma de los postulados de Rosi Braidotti acerca de la posthumanidad y de la ética post-cíborg elaborada por Heidi Campbell. En este sentido, analizaré cómo la novela explora los límites de la humanidad y de la identidad individual en su relación con los entornos virtuales, las políticas del cuerpo y la sexualidad. Asimismo, estudiaré cómo la novela llama a la conciencia colectiva y la lucha social contra la injusticia y la opresión de mujeres, homosexuales y ciudadanos del tercer mundo como respuesta a la deshumanización invisible y naturalizada a la que están expuestos en el mundo capitalista, consumista y globalizado.*

Palabras clave: Posthumano, ética post-cíborg, identidad, sexualidad, cultura del consumo, globalización.

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1. INTRODUCTION

Ali Smith's *Girl meets boy* (2007)¹ is one of the contemporary rewritings of classical myths commissioned by Scottish publisher Canongate, aimed at providing old myths and legends with relevance in present day culture. As such, the novel has received critical attention as a queer retelling of Ovid's myth of Iphis and Ianthe (Ranger 2012; Mitchell 2013) and as a self-conscious reflection on the power of myths – ancient and contemporary alike – to construct reality (Doloughan 2010). Yet, this focus on the potential of myth-making and the creative reversal of Ovid's metamorphosis has led to the neglect of nearly one half of the novel, which will occupy a central place in this article. Structured in five sections, alternately narrated by two Highland sisters in their twenties, Anthea and Imogen, *Girl meets boy* provides a dialogic perspective on a series of interrelated events. Namely, Anthea falls in love with a young anti-capitalist woman who sprays graffiti protest messages denouncing women's worldwide oppression and global capitalist exploitation, while Imogen (a.k.a. Midge) has to face the double challenge of

¹ Following Ali Smith, I will only capitalize "Girl" in the title of the novel.

coming to terms with her sister's lesbianism and finding her own place within (or without) the sexist heteropatriarchal context of the water-bottling company where she works as creative personnel. The "dialogue" established through the combination of voices offers a two-fold exploration of individual identity (a human, sexed and gendered one) and its construction and deconstruction in the context of a contemporary late-capitalist globalized consumer culture overpowered by an excess of media-promoted and virtual data, blind to the needs and rights of others whose difference has made their "humanness" invisible to the oblivious majority of western citizens.

2. POSTHUMANISM, THE POSTHUMAN AND POSTCYBORG ETHICS

That not all human beings are attributed the same degree of humanity is a historical fact that seems to stem from the Classical and Neo-classical – i.e, Humanist – model of humanity. As Rosi Braidotti puts it in her study *The Posthuman* (2013),

At the start of it all there is He: the classical ideal of "Man", formulated first by Protagoras as "the measure of all things", later renewed in the Italian Renaissance as a universal model and represented in Leonardo da Vinci's Vitruvian Man [...]. An ideal of bodily perfection which, in keeping with the classical dictum *mens sana in corpore sano*, doubles up as a set of mental, discursive and spiritual values. Together they uphold a specific view of what is "human" about humanity. Moreover, they assert with unshakable certainty the almost boundless capacity of humans to pursue their individual and collective perfectibility. (13)

Luce Irigaray (1985a, 1985b), among others, points out that the Classical and Humanist ideal of Man is, needless to say, male, Caucasian, able-bodied, and presumably heterosexual. Hence, as Braidotti argues, "the sexualized, racialized, and naturalized others [...] are reduced to the less than human status of disposable bodies" (2013: 15). The Italian-Australian philosopher acknowledges the theoretical impact of what she calls feminist anti-Humanism, or postmodern feminism, through its rejection of the Humanist ideal of "Man" and the emphasis laid on diversity, difference and internal fracture within categories like women, the native or "the naturalized other (animals, the environment or earth)" (27). Thus, starting from the legacy of feminist and poststructuralist anti-Humanism, Braidotti proposes "an affirmative posthuman position" (38) that transcends the centrality of "Man" through the celebration of difference. For her, the reconsideration of the category "human" is an urgent issue triggered, among other factors, by the rapid changes taking place in the world in the last few decades in terms of environmental crises, an increasingly globalized economics, technological development, and "the global infotainment apparatus of the new multimedia environment" (7).

In line with this, Heidi Campbell discusses how the discourse of cyborgs and the posthuman “takes seriously issues related to the role and status of the human in a world of rapidly increasing technological developments” (2006: 280). Due to these technological developments, especially the expansion of Virtual Reality and the Internet throughout the capitalist countries in the 1990s, the notion of the cyborg – so far associated exclusively to the realm of science fiction – was brought into the public sphere. A cyborg came to be understood not merely as a physical combination of human being and machine but as the human being whose life and work are intertwined with a virtual dimension through the use of the Internet and Virtual Reality. This is what N. Katherine Hayles (1995) calls “metaphoric cyborgs”: people whose entertainment activities or jobs rely on their use of technology, e.g., teens in videogame arcades, computer keyboarders or neurosurgeons aided by fiber-optic microscopy in operations (322).

Following engineer and performance artist Steve Mann’s counter-surveillance critiques,² Campbell describes the cyborg era as “the *assimilation and acceptance of technology into our intimate spaces*” (2006: 286; original emphasis) as “illustrated in the assimilation of the Internet into the patterns of our everyday life” (286) or the proliferation of surveillance technology in public places, “enabling the collection and storage of private data by a variety of political economic organizations” (286). The unquestioned assimilation of invasive technologies in our private lives leads, for Mann (2003a), to a postcyborg age in which people become reducible to their data, and society and humanity are seen as mere information. As a necessary response to this lack of interrogation, Campbell calls for a “postcyborg ethics” that raises awareness of the ways in which “our world has been manipulated by technology, the rhetoric surrounding it, and the unseen myths advocated by technology use, such as promoting freedom, malleability, and autonomy. [...] [O]ur world is infused with technological constraints and possibilities we have allowed to take root” (2006: 287). Thus, this ethics advocates a “radical questioning of the social, political, and economic structures that have emerged in the information age” (287), including a concern with how human relationships and our sense of personhood are defined and determined by contemporary techno-culture. In other words, postcyborg ethics “attempts to reflect on *how we are shaped by the technology we have accepted and assimilated into our life sphere* and the effects on our personhood and privacy. [...] [I]t addresses our need to respond critically to the new technological us, and provides insight into how we already resemble and interact with our technologies” (288, 290; original emphasis). In Braidotti’s terms, “we need to devise new social,

² For a more detailed account of Mann’s activist interventions see Mann 2003a, Mann 2003b and Mann *et al.* 2003.

ethical and discursive schemes of subject formation to match the profound transformations we are undergoing” (2013: 12) since the latest turn of the century.

On the other hand, as a result of the developments in computation and virtual spaces, the discourse of cybernetics since the 1980s tended to construct “the human as a set of information processes, privileging mind over body and erasing the embodied experience of the corporeal subject” (Toffoletti 2007: 16). This interpretation of the human, which is but a sequel of the centuries-long philosophical tradition of disparaging the body as inferior to the intellect and of connecting it to nature and the female, has been criticized by feminist theorists like Braidotti (2013) and Kim Toffoletti (2007). Such construction of cybernetics, “at odds with a feminist politic that seeks to redress the negation of female subjectivity and experience” (Toffoletti 2007: 16), leads to the main tenet in Hayles’s landmark study *How We Became Posthuman* (1999): the reconceptualization of the posthuman as *embodied* information *embedded* in the frame of a nature-culture continuum already pointed out by the word cyborg itself, coined in 1960 by Manfred E. Clynes and Nathan S. Kline, as a productive combination of *cybernetics* and *organism*.

The analysis that follows thus embraces both Braidotti’s and Hayles’s affirmative definitions of the posthuman as embodied information that transcends the centrality of “Man” and Campbell’s postcyborg ethical interrogation of technologically-mediated globalized contemporary consumer culture.

3. GIRL MEETS BOY: INFORMATION AND INDIVIDUAL IDENTITY

From its very outset, *Girl meets boy* is conspicuously characterized by excess in its use of citation and allusion: from the unsigned quoted in Classical Greek in the dedication of the book (Sapho’s fragment 116, as quoted by Athenaeus of Naucratis in the 13th book of his *Deipnosophistae*) and the five apparently disparate quotations that precede the first chapter, by E.M. Forster, Joseph Roth, Kathy Acker, Judith Butler and John Lyly, to the Gunn sisters’ constant references to contemporary popular culture, classical gods and myths, historical events and personages, current affairs and even London and Inverness topography. References to popular culture abound, with television, cinema and music as their main sources, including TV programmes “Blind Date”³ and “The Generation Game” (Smith 2007: 4), TV announcer Cilla Black (4), “Johnny Depp in Pirates of the Caribbean” (43), the Spice Girls and “the video of Spiceworld with Sporty Spice on the limited edition tin” (51), George Michael, Big Brother, the Eurovision

³ I reproduce the titles of cultural products faithfully as they appear in the novel, as the text makes no distinctive use of italics or inverted commas to highlight the status of cultural products as films, songs, programmes, etc., thereby increasing the difficulty of decoding by the reader.

Song Contest, *Buffy the Vampire Slayer* and its characters Willow and Tara (51), Tracy Chapman (53, 55), “Judi Dench in that film *Notes on a Scandal*” (56), “that gay woman doctor character in *ER* whose lovers always die in fires and so on” (58), TV programme *University Challenge* (63), former Director-General of the BBC Greg Dyke (68), Channel Four (70), *Top of the Pops* (72), “Daniel Craig in *Casino Royal*” and Ursula Andress (83), Mozart (101), the seven dwarves (141), Mendelssohn (149), The Pussycat Dolls’ song “Don’t Cha (Wish Your Girlfriend Was Hot Like Me)” (152), TV programmes *Antiques Roadshow*, *Songs of Praise*, *Question Time* and *Newsnight Review* (153), the Canadian Barn Dance and the Gay Gordons (159). The relevance of many of these allusions clearly stems from their status as signifiers of gay and lesbian culture; yet, the presence of many others seems to have a different purpose, to which adds the frequency of allusion to gods, myths and legends as varied as Ovid’s ever-present myth of Iphis and Ianthe, Isis being compared to “the Virgin Mary at Lourdes” (92), Daedalus (95), “the Hanging Gardens of Babylon” (105), Venus, Artemis, Dionysos, Cupid and the Loch Ness Monster (153-154), or Minoan cannibals (156).

Besides, in the mood of the historiographic metafiction so fashionable in the past few decades, a focus on current political affairs – like “the man who owns Stagecoach buses [who] had that million-pound poster campaign all over Scotland where they had pictures of people saying things like ‘I’m not a bigot but I don’t want my children taught to be gay at school’” (60) or the implementation of homophobic educational policies in countries like Poland, Russia, Italy and Spain (61) – mixes with references to historical events and personages, most of them connected with past struggles against gender, national and political oppression. The past is thus deployed to mirror and comment on the present by establishing parallels between past injustices and contemporary oppression of women and sexual minorities: the Mud March (7), *Burning Lily* [Lilian Lenton] (9), the procedures of the Cat and Mouse Act to counter the suffragettes’ struggle, the ban on Gaelic language “after the 1745 rebellion and the 1746 defeat” of Bonnie Prince Charlie’s army at the Battle of Culloden (54), John Knox (154) and the reproduction of a fake “telegram poem” with which he excuses himself for missing the protagonists’ imaginary wedding (155). The air of reality and local colour in the novel is aided by the incorporation of detail in terms of urban topography as we follow the protagonists’ footsteps in Inverness – the Eastgate Centre (132), the Town House (134), the Castle (135), the cathedral and Eden Court Theatre (136), the statue of Flora MacDonald (137), the Ness Bank (137, 150) – and London alike: Leicester Square (110), the statues of William Shakespeare and Charles Chaplin, Trafalgar Square, Nelson’s Column and Big Ben (112), or the memorial of the (faceless) women who fought in World War II, whose representation by empty clothes (114-116)

serves as the grounds for the critique upon patriarchal disregard for women's value beyond their outfits and the historical lack of recognition of individual heroines.

The inclusion of such a vast array of historical, geographical and cultural allusions in a really brief novel (161 pages including the empty pages between chapter divisions) has an overwhelming effect on the reader that wishes to decode all the information. In other words, what is apparently a rather simple easy read turns out to be a maze of information that places the reader in the position of a data processor, following N. Katherine Hayles's posthuman approach to human beings, defined by cybernetics as "a set of informational processes" (1999: 4). Indeed, the role of the reader as a posthuman decoder fittingly accompanies the posthuman view of global politics and individual identity portrayed in the novel. The questioning of the status of human identity in the contemporary technomediated world that, following Campbell, we may define as postcyborg ethics, is made explicit when Anthea reflects on the instability and contingency of her sense of self in the following terms:

I was tired of having to be anything at all. I felt like the Internet, full of every kind of information but none of it mattering more than any of it, and all of its little links like thin white roots on a broken plant dug out of the soil, lying drying on its side. And whenever I'd try to click on me, try to go any deeper when it came to the meaning of "I", I mean deeper than a single fast-loading page on Facebook or MySpace, it was as if I knew that one morning I'd wake up and try to log on to find that not even *that* version of "I" existed any more, because the servers all over the world were all down. And that's how rootless. And that's how fragile. And what would poor Anthea do then, poor thing? (Smith 2007: 23-24)

The extract clearly stands as a twofold critique on the overwhelming presence of the Internet in the lives of contemporary westerners. It suggests what the New York Technorealist School of cyber thought exposed in the fourth principle of their 1998 *Technorealism Manifesto* (www.technorealism.org): that information is not the same as knowledge. The excess of information in the Internet has resulted in a gradual devaluation of knowledge and professional expertise, as it is believed that "everything is in there" and, consequently, everybody has access to (right or wrong) information on every field, from literary criticism to the medical profession. The metaphor of the rootless, dying plant therefore illustrates both the death of deep, scientifically-grounded knowledge and the consequent intellectual superficiality of our society, together with the shallowness and artificiality of individual identity resulting from many people's obsession with creating attractive social network profiles rather than cultivating their inner lives.⁴

⁴ Studies have been made on how the pop-up and copy-and-paste character of the Internet affect the human mind, some of the most popular being IT expert Nicholas G. Carr's *The Shallows: What*

4. CORPORATIONS AND GENDER IN CONSUMER CULTURE

The overarching presence of the virtual in everyday life is paralleled in the novel by the ever-expanding power and control exerted by the – ironically named – Pure company, as its sexist managing director, Keith, intends to transform the original water-bottling enterprise into a multi-faceted firm that infiltrates in each and every aspect of human routines without the consumers' awareness of its absolute monopoly:

What I want, he says, is to make it not just possible but natural for someone, from the point of rising in the morning to the point of going to sleep again at night, to spend his whole day, obliviously, in Pure hands.

So, when his wife turns on his tap to fill his coffee machine, the water that comes out of it is administered, tested and cleaned by Pure. [...] When he picks up the paper to read at the breakfast table, [...] it's one of the papers that belong to Pure. When he switches on his computer, the server he uses is Pure-owned, and the breakfast tv programme he's not really watching is going out on one of the channels the majority of whose shares is held by Pure. [...] And should our man feel like watching some high-grade porn [...] he can do so courtesy of one of the several leisure outlets owned, distributed and operated by Pure. [...] Pure Product is everywhere. Pure is massive throughout the global economy. (Smith 2007: 117-119)

Beyond the obvious expansionist economic drive behind Keith's project, one can picture in his description a kind of dystopian environment of absolute control on opinion and ideology through ownership of different media by the same company, which resonates with distant echoes from George Orwell's *Nineteen Eighty-Four* "thought police" (1949). Besides, the emphasis on marketing techniques and brands leads us to scrutinize the representation of the process of identity construction in the book, as embodied by the heterosexual Gunn sister, Imogen. In her sociological study *Consumer Culture* (1996) Celia Lury links consumer society to the flourishing of individualism, understanding consumer culture as a source of the contemporary belief that identity is an asset, a possession, and a cultural resource. In her view, consumer culture contributes to a relationship to one's own identity that is more and more self-reflexive; much like the creation of social network trendy profiles, identity thus consists in a process of self-fashioning that is carried out by means of the development of tastes, lifestyles, and elements related to health, fashion and beauty, always after the dictates of popular culture and the mass media as the loudspeakers of hegemonic ideology.

the Internet is Doing to Our Brains (2011) and *The Glass Cage: How Our Computers Are Changing Us* (2015). On the influence of social networks in the affective and social spheres, see MIT Professor Sherry Turkle's *Alone Together: Why We Expect More from Technology and Less from Each Other* (2017).

In this context of consumer culture, women's bodies have undergone a process of commodification (they have become objects to be sold, purchased and advertised), while the aesthetics of slenderness has come to be associated in the era of consumption to a higher standard of living and, consequently, to social class – not only because healthy food (fruit, fresh vegetables, not to mention the growing trend of eating organic products) is more expensive than processed food with its high caloric content, but also because engaging in the fitness industry involves the need of free time. A logical outcome of this tendency is the wish, on the part of the lower classes, to identify with the richer by means of physical appearances and fashioning a body that does not betray their “unhealthy” habits and lack of exercise.

The association of slenderness and beauty as social markers of success links with the feminist critiques of the gender backlash that started in the late 1980s in Anglo-American societies and which we still suffer from today. Naomi Wolf's *The Beauty Myth: How Images of Beauty are Used against Women* (1990) is an unquestionable touchstone that redefined the relation between female identity and the beauty ideal. As she denounces, all the achievements of the women's liberation movement were countered by a new weapon she named the beauty myth: a fixation with physical “perfection” that traps contemporary women psychologically in a never-ending spiral of self-consciousness and self-hatred, in their fight to adjust to the impossible definition of beauty that society imposes through the mass media and the advertising industry. Wolf also explores the socioeconomic factors that have led to the media- and culture-imposed canon of feminine beauty, and which reinforce the fact that female identity in patriarchal society cannot be separated from women's appearances. The external imposition of a beauty canon produces damaging effects upon our sense of identity as we learn to see ourselves not through our eyes but through those of patriarchal standards. For Wolf, this myth is the worst attack against women because it causes physical destruction and psychological exhaustion, at the same time that it is an economically-motivated manipulation:

The modern arsenal of the myth is a dissemination of millions of images of the current ideal; although this barrage is generally seen as a collective sexual fantasy, there is in fact little that is sexual about it. It is summoned out of political fears on the part of male-dominated institutions threatened by women's freedom, and it exploits female guilt and apprehension about our own liberation – latent fears that we might be going too far. [...] And the unconscious hallucination grows ever more influential and pervasive because of what is now conscious market manipulation: powerful industries – the \$33-billion-a-year diet industry, the \$20-billion cosmetics industry, the \$300-million cosmetic surgery industry, and the \$7-billion pornography industry – have arisen from the capital made out of unconscious anxieties, and are

in turn able, through their influence on mass culture, to use, stimulate, and reinforce the hallucination in a rising economic spiral. [...] The myth is undermining – slowly, imperceptibly, without our being aware of the real forces of erosion – the ground women have gained through long, hard, honorable struggle. (1991: 16, 17, 19)

Similarly, in her book *Backlash: the Undeclared War against American Women* (1991) Susan Faludi shows how consumer culture distorts feminist concepts in order to sell its products; she denounces how feminism is now being defeated by consumerism:

We live in a time when the very fundamentals of feminism have been recast in commercial terms [...] The feminist ethic of economic independence has become the golden apple of buying power – a “power” that for most women yields little more than credit-card debt, an overstocked closet, a hunger that never gets sated because it’s a hunger for something beyond the material. The feminist ethic of self-determination has turned into the golden apple of “self-improvement” – an improvement dedicated mostly to one’s physical appearance, self-esteem, and the fool’s errand of reclaiming one’s youth. And the feminist ethic of public agency has shape-shifted into the golden apple of publicity – the pursuit of a popularity that hinges not on how one changes the world, but on how marvellously one fits into its harness. (2006: xiv-xv)

Faludi’s description above seems to be the pattern according to which the character Imogen is created: after learning that her younger sister is a lesbian, she feels the need to assert how well she fits into the harness of mainstream society by stressing her desired “normalcy” together with her professional and personal success in a highly individualistic and materialistic sense:

I am putting on my Stella McCartney Adidas tracksuit bottoms. I am lacing up my Nike runners. I am zipping up my Stella McCartney Adidas tracksuit top. I am going out the front door like I am a (normal) person just going out of a (normal) front door on a (normal) early summer day in the month of May and I am going for a run which is the kind of (normal) thing (normal) people do all the time. [...] I am down to just over seven stone. I am doing well. [...] I got a raise. I get paid thirty-five thousand before tax. I can’t believe I’m earning that much money. Me! I am clearly doing the right thing. (Smith 2007: 51-52)

The money she earns and the commodities she can afford measure who she is and how well she is doing, according to her preconceived standards. In line with Braidotti’s argumentation, “subjectivity is rather a process of auto-poiesis or self-styling, which involves complex and continuous negotiations with dominant norms and values and hence multiple forms of accountability” (2013: 35). Moreover, in her efforts to fit, Imogen holds herself accountable to her homophobic sexist male workmates, very tellingly called Dominic and Norman as

they embody “dominant norms” (Doloughan 2010: 246) and values in the novel: she forces herself to laugh at the lesbophobic jokes they make despite her new awareness of her sister’s sexuality, and the disgust at her own behaviour makes her vomit after their conversation. Her self-containment and lack of expression are connected as well with her manifest bulimia. Imogen’s self-induced vomiting and obsession with her weight are the other way in which Imogen tries to shape her identity: through her Humanist sense of individual (bodily) “perfectibility”, to borrow Braidotti’s term again.

Imogen’s individualism⁵ and lack of empathy with collective problems are betrayed by the way she blames her mother’s feminism for her parents’ divorce and her sister’s lesbianism:

I will never leave my children when I have fallen in love and am married and have had them. I will have them young, not when I am old, like the selfish generation. I would rather give up any career than not have them. I would rather give myself up. I would rather give up everything including any stupid political principle than leave children that belonged to me. Look how it ends. Thank God the feminist time of selfishness is over and we now have everything we will ever need, including a much more responsible set of values. (Smith 2007: 53-54)

The ironic textual implications here obviously echo Faludi’s denunciation of the violent reaction of the dominant ideology in the Anglo-American world in the 1980s and 1990s against the social progress effected by the women’s liberation movement in the previous decade. The most obvious manipulation is the recurrent false messages that feminism is no longer meaningful because equality has been achieved and that it has only brought about a less comfortable position for women who, through their focus on the professional sphere, either lose their feminine role as family nurturers or have the double burden of working outside and inside the home. Even worse, the neoconservative groups that promoted the antifeminist reaction disguised it as a defence of women’s well-being and disseminated it through media images showing that feminism had failed and at the same time it was no longer necessary; that women were happier before the women’s movement when they devoted all their time and energy to doing the household chores and bringing up their children. It is most ironic that the words “we now have everything we will ever need” are voiced by the female character that lives in the grips of an eating disorder, finds it normal to be the only woman in the Pure board of creative personnel, and submits herself to the denigrating attitude of male chauvinistic workmates who treat her as a clown and find it funny to look up “pictures on the net of women fucking horses and dogs” (Smith 2007: 64).

⁵ Imogen’s individualism and lack of connection are ironically highlighted by the fact that she feels safest by talking on her mobile phone to answering machines.

5. "THIS MUST CHANGE": RAISING AWARENESS ON COLLECTIVE RIGHTS

Girl meets boy is a politically committed novel regarding not only the rights and oppression of women and sexual minorities, but also of the people living in third world countries that are brutally exploited by the global economics of late capitalism; in other words, of all those groups historically excluded from the Humanist conception of the human. According to Braidotti's analysis of our current posthuman environment, "the issue of both ecological and social sustainability is at the top of most governmental programmes across the world, in view of the environmental crisis and climate change. [...] Globalization means the commercialization of planet Earth in all its forms, through a series of inter-related modes of appropriation" (2013: 6, 7). Her denunciation of "the turning of the ecosystem into a planetary apparatus of production" (7) materializes in *Girl meets boy* through the Pure water-bottling company with its commercial interests in China and India, which include the building of water-dams that block the Indian population's access to fresh water and ruins their crops (Smith 2007: 123). Keith offers Imogen a promotion to move to London and lead the "Pure Dominant Narrative Department" (121). His motto to manipulate information and counteract critical reports is "Deny Disparage Rephrase" (122) to the extent of suggesting that she should describe the Indian protesters as "ethnic troublemakers who are trying to involve us in a despicable religious war. Use the word terrorism if necessary. Got it?" (123).

Two combined incidents shake Imogen's worldview to the point of quitting her job and adopting an activist attitude from that moment onwards: first, Keith's demagogic use of language when he argues that water is not a human right but a human need – "the perfect commodity" (37) – and therefore it is the company's "human right" to sell it (124); and second, the fact that he sexually harasses Imogen by forcing her to see that "his trousers are repressing an erection" (123) when they are alone at the deserted Pure Base Camp in London. For the first time, Imogen gives free rein to her anger and expresses her disgust to Keith before departing to Inverness. One could also add that, at this point, she begins doing justice to the nickname by which everyone calls her and which she insistently rejects, "Midge": the tiny but fierce Highland-autochthonous gnat species that has recently become a celebrated unofficial symbol of Highland Scotland for its tenacious single-mindedness, embodying the land's historical resistance to invasion by conquering nations. The election of this nickname is by no means accidental as it metaphorically suggests Midge's final metamorphosis and newly acquired resistance to patriarchal impositions on her identity.

Significantly enough, Imogen's perspective on life, her identity, and women's rights turns upside down when she finally shatters her self-containment by rejecting

her boss's sexual advances, quitting her job and expressing her feelings to her ex-workmate Paul. Yet, only after Imogen and Paul make love does she feel fully liberated:

I'm tired of feeling things I never get to express, things that I always have to hold inside, I'm fed up not knowing whether I'm saying the right thing when I do speak, anyway, I'd thought I'd be brave, I thought it was worth it, and I hope you don't mind me saying.

Words are coming out of me like someone turned me on like a tap. It's Paul. He – turns me on! [...] And after that we'll all go for something to eat. (I have thought for a long time that the way my clothes hang on me is more important than me inside them.) [...] (THIS MUST CHANGE). (131, 138, 140)

It is precisely that sentence, “This must change”, that closes all the anti-capitalist and anti-patriarchal messages that Robin and Anthea graffiti on the walls of every public building and monument in Inverness – which they sign alternately as “Iphis and Ianthe the message girls 2007” and “Iphis and Ianthe the message boys 2007”. Imogen's borrowing of the phrase is followed by her offer to collaborate with the two activists as a marketing specialist by making their messages more effective since they are far too long, as the following example shows:

WOMEN OCCUPY TWO PERCENT OF SENIOR MANAGEMENT POSITIONS IN BUSINESS WORLDWIDE. THREE AND A HALF PERCENT OF THE WORLD'S TOTAL NUMBER OF CABINET MINISTERS ARE WOMEN. WOMEN HAVE NO MINISTERIAL POSITIONS IN NINETY-THREE COUNTRIES OF THE WORLD. THIS MUST CHANGE. (137)

One of the virtues of *Girl meets boy* resides on its ability to efficiently bring forward important challenges to gender and sexual discrimination in a light-hearted, often ironic way that does not alienate the reader, therefore reaching a wider audience. Through the girls' messages and the funny debate they motivate among the Inverness population, the text denounces issues as dramatic and contemporary as the fact that millions of girls are killed in the world merely because they are not boys (133)⁶ or the tremendous gap between men's and women's salaries (134). This adds, of course, to the critique of the harmful consequences of the so-called beauty canon internalized by many women and the psychological effects of backlash anti-feminist messages in their life choices, as analysed above in the figure of Imogen.⁷ That Smith's novel has a marked feminist

⁶ The estimates given about the number of baby girls killed in eastern and underdeveloped countries because they are a burden to their families sheds light on the sadly contemporariness of Ovid's myth of Iphis, which revolves around the fact that Iphis's mother raises her daughter as if she were a boy to prevent her husband from killing the new-born, as he threatened he could only afford to have a son.

⁷ It is also worth-mentioning that the most markedly sexist attitudes are embodied by the representatives

core stands out from the very outset, as the first chapter is framed by Anthea's memories of her grandfather's accounts of how he dressed up as a girl in his youth in order to help a suffragette escape from the police and avoid prison – a narrative excuse to recall the harsh penalties and cruel measures inflicted upon the women who fought for women's franchise in the early 20th century, like force-feeding and the infamous Cat and Mouse Act (6-17).⁸

Likewise, homophobic prejudice is exposed by the text's ironic questioning of stereotypes voiced by the two unsympathetic Pure workers Dominic and Norm, who refer to lesbians as "thespian", "lickian", "freakshow", "fucking dyke", "adolescent backwardness", "marked underdevelopment" (68-69), and discuss in a disdainful tone how "there's nothing to do the job. Nothing to do the jiggery-pokery with. [...] But it is good, Norman says, if you're watching and they're both fuckable" (70).⁹ Indeed, their ignorance and lack of imagination – their belief that sexual intercourse is impossible without a penis – ludicrously echoes the trope of sexual impossibility on which Ovid's metamorphosis myth was based: the central issue in the myth of Iphis and Ianthe, rewritten by Smith's novel, was the fact that for the two girls to get married Iphis had to be, and was, transformed into a boy by goddess Isis, thereby providing the happy ending to their love story. In Robin's words, the author of the *Metamorphoses* "can't help being the Roman he is, he can't help fixating on what it is that girls don't have under their togas, and it's him who can't imagine what girls would ever do without one" (Smith 2007: 97). It says a lot of contemporary society that, twenty-one centuries after Ovid's time, some part of the population may still show the same phallogocentric anxieties about female same-sex.

Other types of concern for Anthea's lesbianism are expressed by her older sister in a nicer, comical way – the brackets in the text marking the intrusive thoughts that interrupt her conscious train of thought:

(Oh my God my sister is a GAY.)
 (I am not upset. I am not upset. I am not upset. I am not upset.) [...]
 (I can't bring myself to say the word.)
 (Dear God. It is worse than the word cancer.)

of the global capitalist company, Keith, Dominic and Norm, who treat Imogen and every other woman as sexual objects and silly pretty things that must laugh at their male chauvinistic jokes. Keith even ventures that he offered Imogen the promotion for her "natural instinctual caring talent" but, most of all, for her "ability to look good, look right" (Smith 2007: 120, 121).

⁸ The connection between suffragettes' hunger strikes for their right to be treated as political prisoners at the turn of the century has further resonances in the present, as Imogen's suffering from bulimia is a result of more subtle contemporary forms of oppressing women.

⁹ Their homophobic attitude extends to male homosexuals too, as they call gay men "poofs" and express their belief that "it's fucking disgusting and it leads to queer paedophilia and everything, but at least it's real sex they have, eh? But women. It's, like, how can they?" (70).

(My little sister is going to grow up into a dissatisfied older predatory totally dried-up abnormal woman like Judi Dench in that film *Notes on a Scandal*. [...] I didn't think my sister was going to maybe be one of them and have such a terrible life with no real love in it.) (49, 56)

Imogen's concerns swiftly move from blaming her parents' divorce to dismissing the idea because, if that were so, she would be a lesbian too (49), to the news piece reporting that homosexual teenagers are "six times more likely to commit suicide than teens who aren't it" (62), to her childhood memories of joining other girls bullying Robin at school for her lesbian looks in order to become the bullies' friend (72). At first she contrasts her preconception that her "little sister is going to have a terrible sad life" (56) with the fact that she sees her kissing Robin, "laughing with outrageous happiness. [...] Like they were actually happy. Or like being gay is okay, or really funny" (56, 60). Yet, it is her reaction to Keith's shocking proposal – her Levinasian¹⁰ looking at the other, one might say – that suddenly opens her mind and enables her to understand the nature of her sister's feelings, as she rebukes a police officer: "Robin's not her friend, I say. Robin's her other half" (136). As discussed above, it is through both empathic and bodily connection with other human beings that Imogen's egotism and self-defence barriers are finally laid down.

6. POSTHUMAN EMBODIMENT, CONNECTION AND CHANGE

Individual barriers are overcome by emotional connection with the other and the merging of bodies through the free expression of sexuality not only in Imogen's but also in Anthea's case. Indeed, her lovemaking with Robin is described as a moment of embodied transcendence during which the limits between the human, the animal, the earth and the inanimate are crossed and blurred. In opposition to conservative views of lesbianism as unnatural, lesbian sex is presented as intricately connected with nature, enhancing the nature-culture continuum postulated by posthuman theorists like Hayles (1999) and transcending the hierarchical differences between the species. In Campbell's words, the posthuman or cyborg "erases differences between human and animal and animal and machine, distinctions which the human being has traditionally used to distinguish itself from its others" (2006: 284). Lesbian sex is thus represented as posthuman in the following passage:

Her hand opened me. Then her hand became a wing. Then everything about me became a wing, a single wing, and she was the other wing, we were a bird. [...] Was I briny, were my whole insides a piece of sea, was I nothing but salty water with a mind of its own, was I some kind of fountain, was I the force of

¹⁰ For further information on the ethical implications of encountering the face of the Other in Levinas's philosophy, see Levinas (1987).

water through stone? I was hard all right, and then I was sinew, I was a snake, I changed stone to snake in three simple moves, stoke stake snake, then I was a tree whose branches were all budded knots, and what were those felty buds, were they – antlers? [...] I was a she was a he was a we were a girl and a girl and a boy and a boy, we were blades, were a knife that could cut through myth, were two knives thrown by a magician, were arrows fired by a god, we hit heart, we hit home, [...] the perfect jigsaw fit of one into the curve of another as if a hill top into sky, was that a thistle? [...] We were all that, in the space of about ten minutes. (Smith 2007: 101-104)

This process of metaphorical multi-faceted transmutation into different beings can be read in the light of Braidotti's rejection of the Humanist unitary subject and her postulation of "a more complex and relational subject framed by embodiment, sexuality, affectivity, empathy and desire as core qualities" (2013: 26). To reach this end, Braidotti considers sexuality an important force to deterritorialize gender identity and its related institutions (1994), highlighting the emphasis that Patricia MacCormack (2008) lays on "the need to return to sexuality as a polymorphous and complex, visceral force and to disengage it from both identity issues and all dualistic oppositions" (Braidotti 2013: 99).

Furthermore, Anthea and Robin's intimate symbolic (unofficial) wedding by the Ness Bank is effected by their mutual promise "to go beyond [their] selves" and the rings they do not exchange are replaced by references to natural elements like the "rings that widen on the surface of a loch above a thrown-in stone" (Smith 2007: 159, 160):

Nothing more than what happens when things come together, when hydrogen, say, meets oxygen, or a story from then meets a story from now, or stone meets water meets Girl meets boy meets bird meets hand meets wing meets bone meets light meets dark meets eye meets word meets world meets grain of sand meets thirst meets hunger meets need meets dream meets real meets same meets different meets death meets life meets end meets beginning meets all over again, the story of nature itself, ever-inventive, making one thing out of another, and one thing into another, and nothing lasts, and nothing's lost, and nothing ever perishes, and things can always change, because things will always change, and things will always be different, because things can always be different. (160)

The expanding, transforming force of their love is yet again connected to the natural world as a creative process of never-ending change that brings together disparate elements, emphasizing unity in diversity, like the movement implied in the titles of the five chapters of the novel – "I", "you", "us", "them" and "all together now" – which involve a twofold shift and a step beyond: from the individual to the (lesbian) couple and from the subject to the object positions, to the transcendence of both dimensions by fusing into a communal whole.

7. CONCLUSION

The productive confluence of difference and sameness is one of the pivotal issues in theories of the posthuman as the reconceptualization of what it means to be human now. The celebration of difference occupies a central position in Braidotti's argumentation, as it allows for the dismantling of the discriminatory Humanist privileging of the prototypical socially, sexually and ethnically unmarked Man. Likewise, *Girl meets boy* relies on the creative role of difference in its own revision of the notion of humanity in two distinct but related dimensions: that of human identity in its relation to gender and sexuality on the one hand, and that of the human rights of those traditionally excluded by the concept of Man as the measure of humanity on the other. Through its use of irony and wit, the novel carries out an effective exposure of the varied ways in which contemporary mainstream society still discriminates against its "others": from the capitalist exploitation and denial of the human rights of Third World populations, to the worldwide persistence of sexist and homophobic misconceptions, attitudes and policies.

Besides, the novel's setting in a social context highly influenced by the inhumane policies of global corporations and the dehumanizing effects of the overarching intrusion of ITs in our everyday lives calls for a critical examination of their effects on human relations and individuals' sense of identity in the light of Campbell's postcyborg ethics. Thus, the novel raises awareness on the excess of Internet-generated data in present day culture by placing the reader in the position of a decoder of the excess of information provided by the extensive use of citation and allusion in the text. The individualism promoted by both the use of the Internet and capitalist consumer culture is portrayed as weakening women's sense of identity as much as adding a feeling of alienation and disconnection from other human beings. Indeed, the need for connection in contemporary capitalist wired societies is called for in the novel through the central role allotted to the creative merging of humans and nature, by which the hierarchical division between them is transcended. However, the kind of transcendence advocated in the novel is an embodied one, echoing Hayles's posthuman understanding of the self as information necessarily embodied and embedded in the nature-culture continuum in which human existence is undeniably framed.

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**INDECORUM, COMPROMISED AUTHORITY AND THE SOVEREIGN
BODY POLITIC IN *THE FORTUNES OF NIGEL* AND
*THE HEART OF MID-LOTHIAN***

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ABSTRACT. *In The Fortunes of Nigel (1822) and The Heart of Mid-Lothian (1818), Walter Scott's respective characterizations of both James I and Caroline, George II's regent, enable him to create the duality of a historically recognizable and deeply qualified representation of the sovereign as natural body and as body politic. He considers how each monarch sought to establish, consolidate and legitimate their respective authorities in the dynamic politico-religious environments they presided over. To do so, Scott positions James' and Caroline's monarchical authority as inherently compromised and achieves this using three stratagems. First, he positions them both as either personally or politically indecorous, displaying actions unbecoming sovereignty. Second, he demonstrates how each monarch's perceived or actual lack of masculinity reduces the authority each wields. Finally, he shows that the justice and social harmony sought by the protagonists of each novel is effected, yet emphasizes that this is not due solely to the monarch's involvement, but to others better positioned to assist the respective hero and heroine at an individual level (and thus the sovereign at a macrocosmic level) to achieve that lasting form of justice and societal harmony. As such, Scott is able simultaneously to affirm the positive nature of both Stuart and Hanoverian monarchical rule yet maintain a qualified, wary and less than wholehearted appreciation of these two specific monarchs.*

Keywords: Walter Scott, Two bodies theory, Sovereignty, Stuart monarchy, Hanoverian monarchy, Indecorum.

FALTA DE DECORO, AUTORIDAD COMPROMETIDA Y EL CUERPO POLÍTICO SOBERANO EN *LAS AVENTURAS DE NIGEL Y EL CORAZÓN DE MID-LOTHIAN*

RESUMEN. *Las respectivas caracterizaciones que Walter Scott realiza de Jaime I y Carolina, esposa de Jorge II, en Las aventuras de Nigel (1822) y El corazón de Mid-Lothian (1818) permiten que el autor cree una dualidad de la representación del soberano como cuerpo físico y cuerpo político que se puede identificar históricamente. Scott muestra cómo cada monarca pretendía establecer, consolidar y legitimar su respectiva autoridad en el dinámico entorno religioso y político que regentaba. Para ello, Scott señala la autoridad monárquica de Jaime y de Carolina como intrínsecamente comprometida a través de tres estratagemas. En primer lugar, los coloca a ambos como faltos de decoro personal o político, mostrando acciones que no se corresponden con la soberanía. En segundo lugar, demuestra la manera en la que falta de masculinidad de cada monarca, sea ésta real o percibida, reduce la autoridad que ejerce. Por último, muestra que se alcanza la armonía y la justicia que persiguen los protagonistas de cada novela, aunque subraya que esto no se consigue únicamente gracias a la intervención del monarca, sino gracias a otros mejor posicionados para ayudar al héroe y a la heroína a nivel individual (y por tanto a la soberanía a nivel macrocósmico) para que alcancen un estadio duradero de justicia y armonía social. De esta manera, Scott es capaz de afirmar la naturaleza positiva tanto de la monarquía Estuardo como de la Hanover y, simultáneamente, de mantener una apreciación precavida, cualificada y poco menos que incondicional de estos dos monarcas.*

Palabras clave: Walter Scott, Teoría de los dos cuerpos, soberanía, monarquía Estuardo, monarquía Hanover, falta de decoro.

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The Fortunes of Nigel (1822) and *The Heart of Mid-Lothian* (1818) are two of several Waverley novels where Scott focuses on the role of the monarch in effecting both individual instances of justice and a wider social cohesion between or among violently dissenting factions, premised on (frequently intertwined) national, theological or political divides. As we know, other of his novels focused on the Stuart and Hanoverian monarchies after the Union of the Crowns include *Woodstock*, *Pevelev of the Peak*, *Waverley* and *Redgauntlet*.¹ In *The Fortunes of*

¹ Stuart monarchs or regents ruling prior to that union are, of course, foregrounded in *The Abbot* and *The Monastery*, both set in sixteenth-century Scotland and considering notions of rightful sovereignty and justice within that kingdom. In those novels Scott's qualified, careful support of the Stuart monarchy does battle with his awareness of the inherent flaws of that dynasty that led to its political demise.

Nigel and *The Heart of Mid-Lothian*, however, Scott's characterizations of the foregrounded monarchs—James VI and I (with his son, Babie Charles, in a fledgling role as future monarch) and Caroline, George II's regent (in the actual and metaphoric absence of her husband)—create both historically recognizable and strongly qualified representations of the sovereigns in terms of traditional 'two bodies' theory, that is to say, as personally individuated figures and, in microcosm, as incarnations of the body politic. One of the earliest definitions of this theory, premised on a distinction between the physical body of the monarch and the office of sovereignty, exists in Plowden's *Commentaries* first published in 1562:

The King has two Bodies, viz., a Body natural, and a Body Politic. His Body natural ... is a Body mortal, subject to all infirmities that come by Nature or Accident... But his Body politic is a Body that cannot be seen or handled, consisting of Policy and Government, and constituted for the Direction of the People... and this Body is utterly void of... natural Defects and Imbecilities, which the Body natural is subject to." (Plowden 1792: 212a).²

It is in the broad context of the 'two bodies' theory that we argue that Scott presents the respective monarchical authorities of James in *The Fortunes of Nigel* and of Caroline in *The Heart of Mid-Lothian* as inherently compromised. This is not to suggest that representation of the body politic and natural body of the sovereign does not occur in other Scott novels focused on notions of monarchy, or that Scott only constructed those two monarchs in this framework of reference. For example, *Woodstock* is also concerned with such issues, as Judith Wilt and Gary Kelly both note. Wilt (1985: 153-84) considers the public and private significance of (the unrecognized) Charles II renouncing his amorous pursuit of Alice, given his 'refusal to disencumber himself from 'womankind'... would be fatal to his public authority, not dishonourable to his private affection or dignity; yet again as with Everard himself the avoidance of this public pitfall is camouflaged as an act of private generosity." (Wilt 1985: 175). Kelly sees the duel between Markham Everard and Charles as "yet a further example of Charles' failure to govern his private character according to the requirements of his public position and responsibilities" (Kelly 1989: 167-8). Moreover, in various Waverley novels, Scott represents a number of sovereigns in the duality of the body politic and the natural body, including, for example, but not confined to, Stuart and Hanoverian monarchs in *Waverley* and *Redgauntlet* (Napton 2015: 250-65).

² The landmark discussion of the 'two bodies' theory and the monarch as natural body and incarnation of the body politic is Kantorowicz (1957). Fradenburg (1991) is useful in its consideration of the monarch's two bodies in the context of Scottish sovereignty. Olwig (2002) examines notions of the body politic and the natural body of the monarch represented by surrounding physical spaces from Jacobean times to the present.

Scott uses three tactics to effect his representations of the Stuart monarch, James VI and I, in *The Fortunes of Nigel* and of the (notional) Hanoverian sovereign, Queen Caroline, in *The Heart of Mid-Lothian* as intrinsically compromised within the framework of the ‘two bodies’ theory. First, he portrays them both as personally or politically indecorous, performing actions unbefitting a sovereign. Second, just as he implies James’ deficient masculinity (in terms of then-heteronormative expectation), while still seeking to evade identification of the monarch’s overt homosexuality, so he seeks to attribute Caroline’s reduced authority to her femaleness *per se* and to her husband’s taking a mistress whom she admits to her retinue. Finally, Scott shows that while the justice sought by the protagonists of each novel—Nigel Oliphant for the legal restoration of the Glenvarloch estate to himself as the rightful hereditary owner in *The Fortunes of Nigel*, and Jeanie Deans for her sister’s pardon for ‘unproven’ infanticide in *The Heart of Mid-Lothian*—occurs primarily as a result of the monarch’s involvement. Yet Scott also demonstrates that the creation of social harmony—signified by each protagonist’s marriage and their respective inhabiting of the financially restored environs of Glenvarloch or the newly created domestic environment at Knocktarlittie—is beyond both James and Caroline’s capabilities as monarchs. The social harmony effected is by others better positioned to assist the respective hero and heroine at an individual level, and who assist the respective sovereign at a macrocosmic level.

1. “As a man, king, legitimate heir, and successor, husband and father, James from the moment of his proclamation represented a nation’s hope of stable, good government.” (Sharpe 2010: 16). One could fairly summarize this as the national desire for both a decorous king and a government of administrative as well as financial decorum. Kevin Sharpe was referring, of course, to England’s hopes regarding its new monarch; yet it is through the mechanism of the personal union of James’ sovereignty over England and Scotland that Scott exposes the inherent challenge for James in *The Fortunes of Nigel*. As James VI, he had been reigning over Scotland for several decades. However, as Scott makes clear, it is not only England adjusting to a new monarch: the king is reshaping his model of sovereignty, as he adapts to reigning over the two nations as both James VI and I. Similarly, Scotland, emblemized through the many Scotsmen of various classes who have made their way in the train of James’ court to London, is also grappling with the changed nature of monarchical rule effected by the Union of the Crowns. Hence, while Nigel is notionally appealing to the longstanding King of Scotland, Scott makes it apparent that Nigel’s supplication for justice is made

to a sovereign deeply conflicted by his dual monarchical responsibilities. Scott's assessment of James' success as a king therefore includes analysis of his rulership over both nations.³

It cannot be argued that Scott portrays the 'hope of stable, good government' of which Sharpe wrote as being realized in *The Fortunes of Nigel*. In his portrait of James VI and I in that novel, Scott considers a number of questions about decorum and sovereignty, representing James as unroyally indecorous in various ways and matters. For all that, Scott draws on an extensive array of historical representations of James in order to rehabilitate both the king and his reign. Yet he does so warily and with heavy qualification, examining the monarch's physicality, scrutinizing various roles James plays, and deploying redirection along with interpretation as he constructs his characterization of the king.⁴

Scott had no shortage of sources, historical and historiographical, on which to base the characterization of James VI and I in *The Fortunes of Nigel*. In his own day and long afterwards, James provoked extensive if diverse historical appraisal. It is not surprising that most of the assessments of James written in the century after his death were to be found in the Library at Abbotsford.⁵ That library of course housed

³ Tara Ghoshal Wallace makes a similar point: "the union of two kingdoms in one king's body has not effected a cohesive body politic" (Wallace 2012: 110).

⁴ Scott's portrait of James, and its purpose, have been the subject of varied critical interpretation. Robert C. Gordon, while agreeing with James Gibson Lockhart that James and his court were "natural" subjects for Scott, considers the character of James itself an irresistible opportunity, in fact, an essential part of the inevitability of Scott's writing *The Fortunes of Nigel*—for Scott, as a "man who enjoyed mad pedants, ineffectual antiquaries and superstitious dominies, could hardly have been expected to resist James I, who embodied so many of the same qualities in his royal person." (Gordon 1969: 129). See also, however: Hart 1966: 198; Burke 2000: 295-323, at 300; Holman 1972: 73; Shaw 1983: 174; and Robertson 1994: 66-7.

⁵ The following histories specifically referring to James VI and I are included in the *Catalogue of the Library at Abbotsford* (1838) and are referenced verbatim from this source:

Howes's (Edmund) History of England from the invasion of the Romans to King James I., 1614. With an Appendix, &c., relating to the three Universities of England, &c., 1615. B. L. Wants title page. fol.

Williams's (John, Bishop of Lincoln) Great Britain's Salomon. Funeral Sermon on King James I. &c. sm. 4to. Lond. 1625.

Sanderson's (William) Life and Raigne of King Charles, from his cradle to his grave. fol. ib. 1658.

Robertson's (Rev. Principal William) History of Scotland during the reigns of Mary and James VI. 3d edit. 2 vols. 4to. ib. 1760.

Spotswood's (Abp.) History of the Church of Scotland, from A.D. 203 to the death of James VI. 4th edit, with Appendix, fol. Lond. 1677.

Calderwood's (Rev. Dav.) History of the Church of Scotland, from the Reformation to the end of James VI. fol. 1704.

Scott's own *Secret History of the Court of James I* (1811).⁶ This volume comprised various critical representations of James—Osborne's *Traditional Memoirs*, Weldon's *Court and Character of King James* and Peyton's *Divine Catastrophe of the House of Stuarts*—and one rather more approving one, *Aulicus Coquinariae*. In addition to his use of other contemporary histories, Scott appears to have drawn more heavily on aspects of Weldon and Osborne's representations of that monarch than upon the more favourably inclined *Aulicus Coquinariae* in the construction of his 'character' of James in *The Fortunes of Nigel*. Just so, Scott's own assessment of the decorum of James' person and his sovereignty is frequently scathing. It is never wholeheartedly positive; and, indeed, Scott's most detailed descriptions of James can hardly be interpreted as glowing. Nevertheless, Scott's preoccupation in *The*

Coke's (R.) *Detection of the Court and State of England during the reigns of James I. Charles I. and II. And James II.; as also the Interregnum, &c.* 4th edit. 3 vols. 8vo. Lond. 1718-1719.

Clarendon's (Edward, Earl of) *History of the Rebellion and Civil Wars in England, begun in 1641, &c.; with copies of Dean Swift's MS. notes.* 3 vols. fol. Oxford, 1702-1704. Complete History of England; with the Lives of all the Kings and Queens thereof, from the earliest Account of Time to the Death of King William III. &c. (Edited by Bishop Kennett.) 3 vols. fol. Lond. 1707.

Scott's (David) *History of Scotland, &c. from the year of the world 3619 to the year of Christ 1726.* fol. Westminster, 1727.

Rapin de Thoyras's. *History of England (translated into English, with additional notes, by Nicholas Tindale.* 2 vols Lond, 1732-1733—Tindale's (Nicholas) *Continuation of Rapin from the Revolution to the Assession of George II. &c.* 3 vols. ib. 1744-1775.

Lodge's (Edmund) *Illustrations of British History, Biography, and Manners, in the reigns of Henry VIII. Edward VI. Mary, Elizabeth, and James I. &c.* 3 vols. 4to. ib. 1791.

Hume's (David) *History of England, to the Revolution in 1688.* 8 vols.—Smollett's (Dr. Tobias) *Continua, of Hist. of Eng. to death of Geo. II.* 5 vols.—13 vols. 8vo. ib. 1796-1800.

Historic and Life of King James the Sext, from a MS. of the 16th Century. Edited by Malcolm Laing. royal 8vo. ib. 1804.

Hutchinson's (Mrs.) *Memoirs of the Life of Col. Hutchinson, Governor of Nottingham Castle, &c. With her own Life prefixed.* Published from the Original MSS. by the Rev. Julius Hutchinson. 4to. ib. 1806.

Secret History of the Court of James I. (Weldon, Osborne, Heylin, and Peyton, &c.) Edited by Sir W. Scott 2 vols. royal 8vo. ib. 1811.

D'Israeli, J. *Literary and Political Character of James I.* 8vo. London, 1816.

Aikin's (Lucy) *Memoirs of the Court of King James I.* 2 vols. 8vo. ib. 1822.

⁶ It is interesting to note that Arthur Wilson's *The History of Great Britain, Being the Life and Reign of King James I* (London, 1653), another well known, highly influential and negative portrait of James I, is not included in the *Catalogue of the Library at Abbotsford* (1838).

Fortunes of Nigel with recreating James as an historically recognizable ‘character’ enabled him to juxtapose an essentially accurate representation of the King with a careful, and heavily qualified, support of his sovereignty. As John J. Burke astutely notes, [w]hat better way to defend James than to create a portrait that would acknowledge all his weaknesses yet show that on balance he still deserved a place in the nation’s affection?” (Burke 2000: 314). How compromised Scott’s characterization of James is can be seen when we examine his descriptions of the King’s physique, physical presence, and physical surrounds. It is through these that his various indecorums are predominantly portrayed. Deliberately deflating James’ textual attempts at self-representation, Scott reduces both *Basilikon Doron* and *Trew Law*—“more than a claim of divine right; it was a restatement of imperial kingship” (Cramsie 2006: 48)—to “notes of unmercifully long orations, and essays on kingcraft” (Scott 2004 *Nigel*: 66).

Scott’s careful foregrounding of James’ peculiarities and his construction of the ‘character’ of this monarch through his personal attire and physical environs commences early in the novel:

The king’s dress was of green velvet, quilted so full as to be dagger-proof—which gave him the appearance of clumsy and ungainly protuberance; while its being buttoned awry, communicated to his figure an air of distortion. Over his green doublet he wore a sad-coloured nightgown, out of the pocket of which peeped his hunting-horn. His high-crowned grey hat lay on the floor, covered with dust, but encircled by a carcanet of large balas rubies; and he wore a blue velvet nightcap, in the front of which was placed the plume of a heron, which had been struck down by a favourite hawk in some critical moment of the flight, in remembrance of which the king wore this highly honoured feather. (Scott 2004 *Nigel*: 66-7).

Scott minimizes the cruel exaggeration and suggestion of deformity to be seen, for example, in Weldon’s physical description of James, focusing rather on his “inconsistencies in dress and appointments,” the appearance of clumsy and ungainly protuberance” and the mistaken buttoning that “communicated to his figure an air of distortion.” Although seeming to portray James’ physical characteristics accurately, Scott transfers to his dress and appearance those oddities of deportment for which James was famed, and by doing so distances them from James’ own body. At the same time, however, Scott makes no attempt to disassociate James’ peculiarities of appearance from his psychological indecorum. In fact, he links them overtly: “[S]uch inconsistencies in dress and appointments were mere outward types of those which existed in the royal character, rendering it a subject of doubt amongst his contemporaries, and bequeathing it as a problem to future historians (Scott 2004 *Nigel*: 66-7).

Scott then extends this representation of James' character to a broader physical canvas. James' inner sanctum also acts as a facsimile of his psyche:

The scene of confusion amid which he found the king seated, was no bad picture of the state and quality of James's own mind. There was much that was rich and costly in cabinet pictures and valuable ornaments; but they were slovenly arranged, covered with dust, and lost half their value, or at least their effect, from the manner in which they were presented to the eye. (Scott 2004 *Nigel*: 66)

Again Scott shows James' genuine merits being obscured and diminished by his indecorous, even uncouth, self-presentation. Scott uses the material, personal environment with which he surrounds himself to suggest the discernment, yet also careless luxuriance and waywardness incongruously informing James' consciousness.

Scott illustrates the asymmetry between James' character and his sovereignty by setting the monarch's physical presence and behaviour against the requirements of decorum and responsibility. For example, when Nigel seeks to speak with the King at Greenwich, in order to assure James of his innocence, Scott depicts James on horseback, engaged in that most manly of pursuits, hunting. The King succeeds in killing the stag, having been first on the scene, as royal protocol dictated. Yet Scott undermines this royal display of physical, manly endeavour when he shows James' trepidation upon Nigel's approaching him. Again, Scott emphasizes contrariety within his characterization, revealing and denying monarchic decorum in the King's corporeality. James' presence in the "lugg" in the Tower—that hidden cavity built for the King to eavesdrop on private conversations—forms another instance. This indecorous place, expressive of illicitly exercised and compromised authority—and encouraging as well as facilitating such behaviour in the King—is ironically presented as nonetheless enabling James to perform his monarchical responsibilities.⁷ Using this dishonourable mechanism, James effects the justice Nigel merits and also commences the restoration, such as he is able, of the House of Glenvarloch by smoothing the way for the marriage of Margaret and Nigel. Bizarrely, unexpectedly, the indecorous behaviour of the king's corporeal body facilitates, albeit only in part, the role expected of the sovereign as at once head and microcosm of the body politic. That having been acknowledged, the reader knows that James was never, of course, going to be capable of restoring the financial fortunes of the House of Glenvarloch. That task falls to Richie Moniplies

⁷ The Bachelardian concept of 'topoanalysis'—the concept of memories of a place and its various parts being not something merely remembered but rather entwined with the ongoing experience of that place—is useful when considering James' recalling his experience as both man and monarch in that locale, which is a geographical metaphor for James' simultaneous and enmeshed indecorum and noble intent. (Bachelard 1994)

and Martha Trapbois. Thus, by alluding to that decorum expected of the sovereign in embodying the body politic, Scott is mindful of historical accuracy while subtly diverting attention from what was traditionally seen to be the full extent of James' individual corporeality. He thereby indicates a contrast between James' appearance and the presence of some positive, truly royal attributes. Ironically, it is the Scottish George Heriot and the Earl of Huntinglen who, by recalling their experiences of James in his role of King of Scotland in Holyrood, draw attention to those qualities of kindness, righteousness and good intent, as they entreat James to display that same kingliness of spirit with regard to Nigel's plight.⁸ Scott demonstrates that different qualities co-exist disconcertingly in James, and that monarch's inappropriate behaviour seems paradoxically to be the means by which justice is, after a fashion at least, realized.

The Fortunes of Nigel and *The Heart of Mid-Lothian* have at their centres a very similar plot. In each novel, the protagonist and his or her immediate family face situations that require monarchic intervention if natural justice is to be done. Once justice has been achieved, the hero or heroine thereafter marries, that marriage signalling in microcosm the creation of a harmonious social order based on the affirmation of traditional values. However, despite the similarities of plot in each novel—not least, as regards the monarch's role—there exist significant differences between the two fictions. These can be usefully demonstrated by exploring Scott's treatment of Caroline in *The Heart of Mid-Lothian* and contrasting that with his characterization of James in *The Fortunes of Nigel*, for Scott depicts Caroline and her sovereignty very differently from the way in which he presents James and his rule over England and Scotland.

James's presence suffuses *The Fortunes of Nigel*, however indecorously it may do so; Caroline, while mentioned at various points in *The Heart of Mid-Lothian*, is absent for much of the novel, only appearing in one (albeit climatic) chapter that depicts her interview with Jeanie Deans. She is notably absent from depictions of social unrest and rioting. Indeed, her absence betokens a compromised authority—one that fails to assume its rightful role in effecting true justice and, thence, social harmony. Moreover, Scott emphasizes, in conjunction with keeping Caroline absent throughout the novel, that she rules not in her own right but only as George II's regent (and George II is himself another absent monarch of Scotland, as well as of England). Her authority, although legitimate, is therefore further compromised by her being a substitution for kingly authority. Intrinsic to many of the Waverley novels in which Scott foregrounds a Stuart or Hanoverian monarchy is the notion of that monarch's supreme authority. Although

⁸ This arguable disparity between James' appearance and his character can also be seen in 'Tales of a Grandfather' (Scott 1836: 159, 342-3).

Scott may question the monarch's ability to wield royal authority appropriately—as he does in *The Fortunes of Nigel*—that monarch's rightful position as sovereign is maintained and, furthermore, asserted throughout those novels. Early in *The Heart of Mid-Lothian*, however, Scott introduces Caroline and immediately points out that her sovereignty is not of the same order. She is “Queen Caroline, (regent of the kingdom during the absence of George II on the continent)” (Scott 2004 *Mid-Lothian*: 35). Thus she is merely a surrogate for, as it were, the monarch's body politic in the absence of his natural body. She can assume the responsibilities and authority of the monarch, but necessarily remains less than he. Ian Duncan points out that in this novel female sovereignty does not exist in its own right: “[F]emale power is produced by an absence of patriarchy... Queen Caroline wields power in the absence of her husband” (Duncan 1992: 161). This is not to suggest that Caroline is unaware of her surrogacy, indeed Scott has her deliberately define her rule as such, deprecating the nature and extent of her own compromised and qualified authority. As Caroline herself tells Jeanie: “I cannot grant a pardon to your sister”: while she can instigate the pardon, she cannot grant it for her authority is (ostensibly) confined to “warm intercession with his Majesty” (Scott 2004 *Mid-Lothian*: 341). Thus, Scott, while lauding Caroline's political prowess, yet undermines it by indicating that her abilities are only required because of George II's own lack of monarchical capabilities and lack of interest in ruling England. Caroline's power exists only in the absence of the rightful monarch's exertion of power—whether that results from the lack of his physical presence or of his sovereign qualities and capabilities. Scott seems to be at pains to differentiate her from those kingly counterparts preceding her (and George II's) rule in a number of ways.⁹ He pervasively implies that absence, of one kind or another, in fact typifies her and her husband's rule.

In this context of qualified regency, Scott then explores the nature of the justice that Caroline effects in *The Heart of Mid-Lothian* and represents it as being, for the most part, significantly compromised. Within *The Fortunes of Nigel*, *Woodstock*, *Peveril of the Peak* and *Waverley*, the monarch is induced to pursue justice, which necessitates his transcending the abuse or limitations of the current legal authority being exercised, and subsequently effects an instance of natural justice. The monarch's decision whether to involve himself in the pursuit of justice is made according to the strengths and weaknesses of that monarch's personality. James in *The Fortunes of Nigel* is shown to be lazy in his performance of his sovereign

⁹ James P. Carson's chapter on *The Heart of Mid-Lothian*, while not touching on the subject of Caroline herself, explores other notions of legitimate authority and demonstrates a number of instances in that novel where Scott's discomfort with feminine power is evident (Carson 2010: 45-75). Susan Broomhall and David G. Barrie also provide useful consideration of Scott's thoughts in *The Heart of Mid-Lothian* on the relationship between governance and masculinity. (Broomhall and Barrie 2011: 65-90).

duties, rejecting myriad minor petitions from his Scottish subjects and ignoring other, more significant claims. The combined efforts of George Heriot and the Earl of Huntinglen are required to engage the King in making restitution to Nigel Olifaunt and giving him the sign-manual essential to his continued ownership of Glenvarloch. Even then, James' initial response is to encourage Nigel to relinquish his ancestral inheritance and to "let the land gang, man, let the land gang" (Scott 2004 *Nigel*: 114); and it is James' failure to address Nigel's legal issues in a timely manner that results in the loss of his precious sign-manual. Yet although James' tardiness in addressing Nigel's situation is the catalyst for Nigel's adventures, Scott shows that James himself does not instigate unjust legal activities.

Scott shows Caroline's initial engagement in the processes of justice to be very different. For a start, he depicts her as actively involved with the legal processes affecting Scotland. In the wake of Wilson's hanging, her decision to grant Captain Porteous a reprieve of some six weeks, thus overriding the Edinburgh court's decision to sentence him to death, leads to the Porteous Riots: they are a direct and vehement reaction to that perceived injustice. Caroline is thus at least partly responsible for inflicting injustice upon many of her subjects—and inciting the resistance to her sovereignty explicit in the Porteous Riots—rather than being responsible solely for the achievement of an instance of actual justice. Scott depicts Caroline's involvement in the public performance of justice as a comprehensive failure, for her involvement brings about injustice. Further, her inflaming discord between elements of her sovereignty, namely England and Scotland, is at once politically indecorous and politically dangerous.¹⁰ So too is the reprieve she grants Captain Porteous which the Scots perceive as a blatant disregard of and contempt for the authority of the law in general and Scottish law in particular. Thus she exacerbates existing resentment at the English dominance over Scottish law and society consequent upon the Union. Caroline is the only monarch in *The Fortunes of Nigel*, *Woodstock*, *Peveil of the Peak*, *The Heart of Mid-Lothian*, *Waverley* and *Redgauntlet* to engage in determining a judicial outcome both unjust and resulting in social disruption.

2. Indecorum, whether personal or political, is in its various guises a significant aspect of both James' and Caroline's sovereignties as depicted by Scott. Although Scott was supportive of both the Stuart and Hanoverian monarchies, he remained acutely aware of the limitations of those two monarchs' personal authorities (by contrast to the authorities of the states over which they presided). Yet he indicates

¹⁰ This is not to say, of course, that Caroline is the only monarch in the Waverley novels to effect an unjust judicial result and subsequent social discord. Several novels, for example *Quentin Durward* and *Ivanhoe*, also focus on this phenomenon.

that their lessened sovereignties were not, nonetheless, the results only of personal indecorum. Scott also considers, for example, lack of masculinity to result in a sovereign's authority being diminished and, as far as James is concerned, to be linked specifically to indecorous, if unspecified, modes of conduct.

One important aspect of James' inappropriate behaviour as king that Scott does not include when portraying James' body, physical surrounds or physical presence is the king's homoeroticism. Seeking neither to deny nor to stress James' sexual preference Scott attempts sleight-of-hand by obliquely acknowledging it. Chief among his techniques is the deployment of allusion. His wary acknowledgement of the king's homoeroticism is quite literally the identification of a love which Scott will not conceal but which he will not name. It is not insignificant that Scott refrains from using Osborne's graphic descriptions of James' demonstrations of affections for his favourites, such as James "kissing them after so lascivious a mode in publick" (Osborne in Young 2000: 125). Instead, through his use of allusion he remains as reticent as Weldon, or as Wilson—neither of whom overtly refers to James' known sexual proclivities. Scott addresses the intimacy between James and the Duke of Buckingham (it was well known in Jacobean times, and Scott's own, that they were lovers) by using the trope that the lovers themselves used throughout their mutual letters, that of father and son. Scott has Buckingham frequently refer to James as his "dear dad and gossip," a phrase James used of himself in his letters to Buckingham.¹¹ This tactic allows Scott clearly but discreetly to acknowledge James' homosexuality and to associate it covertly with the notion of compromised personal authority.¹²

¹¹ The actual nature of this homoeroticism has been the subject of considerable debate, with a specific focus on whether James and Buckingham's relationship extended beyond desire into behaviour. Maurice Lee argues that, as James was "simply not much interested in physical sex," the consummation of this mutual desire did not occur (Lee 1990: 249). However, both Roger Lockyer and David M. Bergeron make a point of the likelihood of James and Buckingham's relationship extending into physical expression. "Buckingham himself provides the evidence that at Farnham he at last gave in to the King's importunity," argues Lockyer, citing a letter (undated) from Buckingham in which he recalls "that time which I shall never forget at Farnham where the bed's head could not be found between the master and his dog" (Lockyer 1981: 22). Bergeron directs the reader to "Steenie's" contribution to a letter from Prince Charles from Madrid (dated 20 August 1623), which refers to Buckingham's desire that once he "gets hold of [James'] bedpost, never to quit it" (Bergeron 1999: 97). Michael B. Young, in his chapter "Sodomy", considers the seventeenth-century definitions and perceptions of sodomy and how James' homoeroticism could, as a result, be both realized and reconciled in that historical context (Young 2000: 36-50).

¹² Young, in his discussion of Weldon and Wilson's respective descriptions of James VI and I, makes the point that "[m]any of his English subjects found him doubly puzzling because he was both a Scot and a man who loved other males. They viewed him through the distorting lenses of xenophobia *and* homophobia" (Young 2000: 122).

In Chapter 9, he uses another form of allusion. Two English courtiers' quiet asides in response to James' discourse on his ancestors run as follows:

"Ay, ay—*Beati pacifi*. My English lieges here may weel make much of me, for I would have them to know, they have gotten the only peaceable man that ever came of my family. If James with the Fiery Face had come amongst you," [James VI and I] said, looking round him, "or my great grandsire, of Flodden memory!"

"We should have sent him back to the north again," whispered one English nobleman.

"At least," said another, in the same inaudible tone, "we should have had a *man* to our sovereign, though he were but a Scotchman." (Scott 2004 *Nigel*: 110)

Scott has James make a doubly unfortunate allusion to his ancestry. Even though the king explicitly disassociates himself from his "great grandsire, of Flodden memory," unavoidably he associates himself with that ancestor by the very act of naming him. The 1513 Battle of Flodden was a disastrous defeat for the Scots following on their invasion of England; in evoking his "great grandsire," James draws attention not only to his own, foreign presence in England but also to his being rather less than a personal success as king. More important, his allusion invites the second courtier to remark that James is a failure as a man. The remark implies, that although James' ancestor was merely "a Scotsman," he was at least heterosexual. Scott has the king's naïve reference at once mark him as diversely flawed in the eyes of those around him and further diminish his personal authority).

Another allusion is no less noteworthy. In Chapter 33 Scott pointedly stresses that the king's interest in Margaret Ramsey occurs as a direct result of his finding her disguised "as a pretty page" (Scott 2004 *Nigel*: 369). Scott's narrator makes the point "that [the] learned and good-humoured monarch... had been much struck (that is, for him, *who was not very accessible to such emotions*) with the beauty and embarrassment of the pretty Peg-a-Ramsay, as he called her, when he first saw her" (Scott 2004 *Nigel*: 397, our emphasis). Moreover, James' calling Margaret "his pretty Peg-a-Ramsay" is no accident. Careful readers of the novel will be aware that Margaret Ramsey is not the only character to whom the epithet of Peg-A-Ramsay is applied. Lord Huntinglen's contemptuous dismissal of the Duke of Buckingham ("Mind not Buckingham, he is a Peg-a-Ramsey"—Scott 2004 *Nigel*: 119) mirrors the comment by Shakespeare's Sir Toby in 'Twelfth Night' that "Malvolio's a Peg-o'-Ramsey" (Shakespeare 2008: II. 3. 68-9). In both instances, reference is ironically to a sexually experienced and wanton female. Bonny Peggy Ramsay's trade was lauded in the eponymous ballad (D'Urfey 1719-20: 139).

James' calling Margaret Ramsay "Peg-a-Ramsay" is not meant to convey his perception of her as a wanton, but it does enable Scott, having first covertly acknowledged the source of James' interest, to signal James' ongoing sexual arousal at Margaret's dressing as "a pretty page." Perhaps this could be argued to demonstrate James' heterosexual interest in Margaret as a female, but it is at least equally possible—and rather more credible—that it was her masculine disguise that aroused his desire.

Scott carefully crafts his depiction of the King, then, by employing an apparently candid but in fact carefully selective historical verisimilitude, in which he subtly nuances our perceptions of James' clothing, surroundings, and presence. Ina Ferris suggests that "the awkward figure of the Stuart king continues to block the recuperative efforts of history, constantly under rehabilitation but somehow never quite rehabilitated" (Ferris 2006: 75). Assimilating James' indecorum—the King's metaphorical and actual "fiddling about his cod-piece" (Weldon 1811: 2)—within an attempt at sustained rehabilitation of this representative of the Stuart monarchy, Scott's 'character' of the King as both corporeal body and corporate entity enables a recognizable re-imaging of this "wisest fool in Christendom" (Scott 2004 *Nigel*: 67).

It is not only James whom Scott positions as having compromised authority because lacking masculinity. In *The Heart of Mid-Lothian*, despite emphasizing that Caroline "possessed the masculine soul of the other sex" (Scott 2004 *Mid-Lothian*: 331), Scott underscores the contingent nature of Caroline's power and standing when he draws attention to her enduring, with supposed equanimity, her husband's mistress as a lady-in-waiting. Nor is Scott's focus on Caroline's consequently diminished stature as a monarch the sole instance of his discomfort with the notion of female political authority. Michael Cohen suggests that "the first novel to recognize the heroic possibilities of sisterhood, Sir Walter Scott's *The Heart of Mid-Lothian* ... fights the idea of female empowerment every step of the way" (Cohen 1993: 59). And he sees this antagonistic response to "female empowerment" as extending to Scott's representation of the Queen. Cohen argues that Scott adapts a salacious episode in Georgian history when he brings the king's mistress, Henrietta Howard, Lady Suffolk, into his account of Jeanie Dean's appeal for a royal pardon. He suggests that Scott's "Queen Caroline is at one moment an empowered woman dispensing power to women in despite of men's lust (*sic*), and at another moment she is only a bawd whose power is in imitation of male power and who, to get it, services male lusts at the expense of another woman" (Cohen 1993: 67).

This interesting assertion misrepresents Scott's subtle use of Lady Suffolk; nonetheless, it is true that Scott does consciously demean the Queen's private and

public personae. Lady Suffolk's presence at the interview between Caroline and Jeanie Deans reminds us that the Queen, if the predominant influence over the king, is not his sole advisor. Lady Suffolk also enjoys intimacy with, and influence over, the sovereign. Although apparently applauding Caroline's adroit risk management, Scott makes her rivalry with Lady Suffolk and her inherently humiliating circumstances overt: he diminishes Caroline's stature again, as a monarchical figure and as an individual woman. Despite her magnificent decorum in responding to an unpleasant situation, she is helpless against encroachments on her public status and the nature of her authority by the sexual preferences of George II.

3. Common to *The Fortunes of Nigel*, *Woodstock*, *Pevekil of the Peak*, and *The Heart of Mid-Lothian* is Scott's use of his protagonists' marriages to signify the creation of new, idealized social orders. For example, Charles II, in *Pevekil of the Peak*, effects the marriage of Julian Pevekil with Alice Bridgenorth and by doing so creates Martindale-Moultrassie: he creates an emblematic locale symbolizing social reconciliation. Neither James nor Caroline, however, has the personal authority or public standing (and, in James' case, the financial strength) to effect the creation of those signifiers of social order in microcosm, either Glenvarloch by sole agency or, indeed, Knocktarlitie at all.

In *The Fortunes of Nigel*, James takes great pleasure in bringing about the marriage of Nigel Olifaunt and Margaret Ramsay. Nevertheless, while he has some part in the subsequent orchestration of Nigel's regaining his ancestral lands, that is due primarily to substantial financial assistance from Richie Moniplies and Martha Trapbois. Scott intimates the limitations of this flawed monarch, this notionally least masculine of the Stuart kings, but demonstrates James' agency in both an instance of effecting justice and a representative regeneration of Scottish social order. Glenvarloch not only signals the melding of Scottish aristocracy and bourgeoisie to achieve social and economic stability in that nation. It simultaneously demonstrates James' recalling his kingly responsibilities as both James VI and I, while showing that James is able only to achieve harmony between fellow Scots and within Scotland. At no point does Scott demonstrate James' ability to overcome the animosity between the countrymen of the lands over which he rules. Scotland and England remain as disunited at the close of the novel as they were in the beginning, still grappling with the ramifications of the Union of the Crowns.¹³

¹³ It could be argued that the marriage between the Scottish Richie Moniplies and the English Martha Trapbois signals the creation of a fledging relationship between the two lands. However, this is not James' doing and nor does Scott demonstrate any wider form of reconciliation occurring between the myriad other Scots and English feuding throughout the novel.

Thus the marginalized state of social melding in *The Fortunes of Nigel* (and the need for others to provide the financial support required) demonstrates the limited capacity of James to effect significant social harmony. In *The Heart of Mid-Lothian*, however, the Queen does not seek to or achieve any form of societal reconciliation. Caroline's pardoning of Effie Deans mirrors the reprieve (and implied expectation of a subsequent pardon) granted previously to John Porteous, yet it does not signal that Caroline acknowledges her earlier injustice. Nor does it undo the social damage caused by the Porteous Riots. Scott limits Caroline's success as a monarch and as an instrument of justice to the essentially domestic issue of Effie Deans' child-murder charge. Against the public, the political and the masculine, Scott sets the private, the domestic and the feminine.¹⁴ Caroline's role in effecting justice is confined to her dealing with a private request for mercy in a conversation that takes place within a secluded garden at Richmond, far removed from the court. It is only in the domestic realm that Caroline brings forth justice. However, it is important to recognize that, despite Scott emphasizing the Queen's lesser stature as regent rather than as ruler in her own right and his earlier assessment of Caroline choosing to minimise her own power and insisting rather that George II be accorded the achievement of her efforts on his behalf—it is Caroline who effects that justice.

Yet she remains a constrained figure of monarchical power: just as Caroline's physical presence in the novel is confined to a single chapter, so her engagement as monarch in the creation of justice is confined to the instance of securing Effie's reprieve. She is never allowed to be the creator of a new, notionally ideal social order, as is, for example, Charles II in both *Woodstock* and *Peveril of the Peak*. A symbolic locale of a new social order may be created in *The Heart of Mid-Lothian*, but it is not brought about by the English Queen as the penultimate figure of justice in Britain. The Duke of Argyle, that idealized, patriarchal figure of "traditional loyalties, and the landlord of active humane concern" creates it (Hart 1966: 145). Scott implicitly and explicitly qualifies the nature of Caroline's authority and the justice that she—as Queen and as regent, as public and private personage—can effect, which he does not do in the cases of James I and Charles II or, indeed, with respect to the Duke of Argyle.

It is the Duke of Argyle, whom the Queen cannot afford to disdain since his power in Scotland exceeds her own, who effects that symbol of lasting societal reconciliation. Indeed, Scott depicts him as having a *de facto* monarchical role in his own, Scottish environment and as achieving a form of social order and

¹⁴ Scott is of course intrigued in this novel especially with the concept of masculinity, exploring it via the characters of Caroline, Staunton and Madge Wildfire, and through the concepts of cross-dressing and gender role reversal.

cohesion that Caroline cannot. Thus Jeanie Deans' interview merely effects a "momentary success with Queen Caroline," and it is the Duke of Argyle, that "benevolent enchanter" (Scott 2004 *Mid-Lothian*: 380), who brings about the familial reconciliation necessary for Jeanie Deans and Reuben Butler's marriage to take place. It is he who constructs Jeanie and Reuben's new life with his creation of an idealized domestic environment at Knocktarlitie, as Hannaford notes (1998: 11). The commencement of their life together emblemizes the creation of social order within Scotland. Whether or not the Duke of Argyle functions as *deus ex machina*, his role in creating an emblem of enduring, conservative social and judicial harmony is undeniable. It is important to note, however, that just as the creation of an emblem of social order—Glenvarloch—signalled only that occurring within Scotland itself, so too is the Duke of Argyle's own instance of social and judicial cohesion.¹⁵ No symbol of improved relations between England and Scotland exists. Thus, Caroline is further marginalized as a monarch of both countries. Scottish masculine figures of sovereignty, whether James or the Duke of Argyle, have the desire and the power to effect a microcosm of social harmony founded on concepts of natural justice in Scotland itself through the emblems of Glenvarloch and Knocktarlitie. Caroline can neither effect an example of English-Scottish accord, nor create an entity located in Scotland premised on coherence between law and justice.

4. Scott portrays both James and Caroline as indecorous monarchs. He depicts both, whether personally or politically, as demonstrating behaviours unbefitting sovereignty. In addition, their respective lack of masculinity result in a further compromising of their authorities. Finally, Scott shows that neither solely brings about the justice and social harmony established in each novel, although James—that "least talented of the Stuarts"—is demonstrably more involved in the creation of a lasting form of justice and social harmony than is Caroline, she being overshadowed by the Duke of Argyle's larger-than-life localized sovereignty (Scott 2004 *Nigel*: 67). Scott certainly indicates that monarchy functions as an appropriate form of government for Scotland and England. Nonetheless, his assessment of James I and Caroline is inherently qualified and guarded. Scott's astute representations of these two monarchs, that is to say, of their 'two bodies' as evidently flawed allows him to emphasize the positive nature of both Stuart and Hanoverian monarchical rule as a whole while still maintaining a wary and less than wholehearted appreciation of James I and Caroline themselves.

¹⁵ Indeed, Knocktarlitie is as much a refuge from Scottish law as it is from English law; signifying the complexities inherent in the novel of Jeanie walking to England to gain a pardon from Scottish law while her compatriots revolt over English law presiding over Scottish legal rulings.

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THE ZONE OF INTEREST: HONOURING THE HOLOCAUST VICTIMS

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ABSTRACT. *Amis has always found the question of the Holocaust's exceptionalism fascinating and returns to the subject in The Zone of Interest. After analysing how the enormity of the Holocaust conditions literary representation and Amis's own approach to it, this article focuses on one of the main voices of the novel, Szmul, the leader of the Sonderkommando, whose members were Jewish prisoners forced to clean the gas chambers and dispose of the bodies. Through him we confront directly the horrors of the Holocaust. One of Amis' greatest achievements is precisely that he humanizes and rehabilitates the figure of the Sonder by transforming Szmul into a comic hero who, in spite of the atrocities he witnesses, reaffirms the unconditional value of life and fights to give meaning to his terrible predicament. The novel is dedicated to the writer and Holocaust survivor Primo Levi, whose voice can be heard throughout the text.*

Keywords: Holocaust, Martin Amis, *The Zone of Interest*, Sonder, comic hero, Primo Levi.

**THE ZONE OF INTEREST:
HONRANDO A LAS VÍCTIMAS DEL HOLOCAUSTO**

RESUMEN. *Amis siempre ha encontrado la cuestión de la excepcionalidad del Holocausto fascinante y retoma el tema en The Zone of Interest. Tras analizar cómo la enormidad del Holocausto condiciona la representación literaria y el acercamiento de Amis a éste, el presente artículo se centra en una de las principales voces de la novela, Szmul, el jefe del Sonderkommando, formado por prisioneros judíos que eran forzados a limpiar las cámaras de gas y desprenderse de los cuerpos. A través de él confrontamos directamente los horrores del Holocausto. Uno de los grandes logros de Amis es precisamente que humaniza y rehabilita la figura del Sonder al transformar a Szmul en un héroe cómico que, a pesar de las atrocidades que presencia cada día, reafirma el valor incondicional de la vida y lucha por encontrarle sentido a su terrible situación. La novela está dedicada al escritor y superviviente del Holocausto Primo Levi, cuya voz se escucha a lo largo del texto.*

Palabras clave: Holocausto, Martin Amis, *The Zone of Interest*, Sonder, héroe cómico, Primo Levi.

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In “Symptoms of Discursivity” Ernst van Alphen argues that Holocaust survivors are incapable of narrating their past experiences because they lack an appropriate discourse to describe the horrors they have been through: “[T]he problem for Holocaust survivors is precisely that the lived events could not be experienced because language did not provide the terms and positions in which to experience them, thus they are defined as *traumatic*” (1999: 27). Van Alphen stresses that the problem of the unrepresentability of the Holocaust had already started during the Holocaust itself, since the victims’ experiences could not be narrated in the terms the symbolic order offered at that time (26-27). Berel Lang expresses a similar idea when reflecting on the appropriate way of imagining or recreating the Holocaust. Lang asserts that the uniqueness and enormity of the Holocaust clearly conditions the act of writing and the process of literary representation: “[I]f *any* literary or scholarly subject could challenge the role conventionally assumed by authors, it is the radical evil exemplified by, and then to be represented, in the events of the Holocaust” (1988: 3).¹ In

¹ In an interesting article on American “Holocaust” films produced between 1945 and 1959, Baron argues that Hollywood movies “Americanized” the Holocaust by introducing edifying messages that would be personally touching and politically relevant to their audiences, not because they wanted to trivialize the Holocaust or minimize its horror, but because they knew that America would only be

fact, since Theodor Adorno affirmed that “[t]o write poetry after Auschwitz is barbaric” (1955: 34), there has been a great debate about whether the horror of the Holocaust is capable of representation.

Steiner clearly supports Adorno’s famous dictum when he claims that “[t]he world of Auschwitz lies outside speech as it lies outside reason. To speak of the *unspeakable* is to risk the survivance of language as creator and bearer of humane, rational truth” (1985: 146). Howe, who has tried to “interpret” the influential remarks made by Adorno on literature and the Holocaust is sceptical about the possibility of the literary imagination recreating the Shoah. Howe reminds us that there is no rational explanation for the physical extermination of millions of Jews, a unique event in the history of mankind: “We may read the Holocaust as the central event of this century; we may register the pain of its unhealed wounds; but finally we must acknowledge that it leaves us intellectually disarmed, staring helplessly at the reality or, if you prefer, the mystery of mass extermination” (1988: 175). Howe argues that Adorno believed that by imposing aesthetic principles on the terrifying ordeal Jews went through, the writer would minimize its horror, thus doing a great injustice to the victims:

It was as if he were saying, Given the absence of usable norms through which to grasp the meaning (if there is one) of the scientific extermination of millions, given the intolerable gap between the aesthetic conventions and the loathsome realities of the Holocaust, and given the improbability of coming up with images and symbols that might serve as “objective correlatives” for events that the imagination can hardly take in, writers in the post-Holocaust era might be wise to be silent. Silent, at least, about the Holocaust. (180)

Following Adorno’s thesis, Howe affirms that the literary imagination is incapable of rendering intelligible the extermination of 6,000,000 Jews: “what can the literary imagination, traditionally so proud of its self-generating capacities, add to –how can it go beyond– the intolerable matter cast up by memory?” (187). The novelist tries to make sense of the Holocaust and turn it into a significant narrative, but he cannot because he lacks something that is vital in the act of composition: “namely, a structuring set of ethical premises, to which are subordinately linked aesthetic biases, through which he can form (that is, integrate) his materials” (188). He cannot even escape into a symbolic or grotesque world because there are no myths or metaphors that might serve to describe the ordeal: “Before *this* reality, the imagination comes to seem intimidated, overwhelmed, helpless. It can rehearse, but neither enlarge nor escape; it can describe happenings, but not endow them

able to face the Shoah if the story was told in a language they could understand: “...representation of a crime so heinous boggled the imagination of Americans and therefore had to be framed in idioms and terms familiar to them” (2010: 94-5).

with the autonomy and freedom of a complex fiction; it remains –and perhaps this may even figure as a moral obligation– the captive of its raw material” (188).

The creative writer has to face other more specifically literary problems, which Howe enumerates and which in the end come down to the single problem of freedom: “In the past, even those writers most strongly inclined to determinism or naturalism have grasped intuitively that to animate their narratives they must give at least a touch of freedom to their characters. And that, as his characters inexorably approach the ovens, is precisely what the Holocaust writer cannot do” (191).

Howe reaches a very gloomy conclusion. Fiction dealing with the crimes of Auschwitz cannot give us any consolation, redemption or transcendence: “Or that the human imagination can encompass and transfigure them. Some losses cannot be made up, neither in time nor eternity. They can only be mourned” (188).

There are other critics who not only believe that the enormity of the Holocaust is capable of literary representation, but argue that comedy can treat the Holocaust respectfully while at the same time offering a different perspective. In “Holocaust *Laughter?*” Des Pres affirms that it is possible for fiction to represent the Shoah and argues that the use of the comic mode to write about the Holocaust helps both reader and writer to transcend the horrors of the event. Des Pres believes in the coping function of humour, in its survival value and this is precisely why comedy has become vital when coming to terms with such a horrifying event as the Holocaust: “That something so slight should alleviate the burden of something so gigantic might, on the face of it, be a joke in itself. But then, humor counts most in precisely those situations where more decisive remedies fail” (1991: 218).² A comic response to calamity is more resilient and helpful than a response that is solemn or tragic. Tadeusz Borowski’s *This Way for the Gas, Ladies and Gentlemen*, Leslie Epstein’s *King of the Jews*, and Art Spiegelman’s *Maus* are works that refuse to take the Holocaust in its own crushing terms: “[...] pity and terror are held at a distance, and this is not, finally, a bad thing. To be mired still deeper in angst and lament is hardly what is needed. The value of the comic approach is that by setting things at a distance it permits a tougher, more active response” (232). None of these books belittle the enormity of the Holocaust, but celebrate and affirm life against death.

A similar idea is expressed by Cory: “As a literary device it [humour] has lent credibility to witness literature and functioned aesthetically to make the

² De Pres’s thesis has been challenged by Gilman, who believes that none of the comic representations of the Shoah are intended to evoke laughter: “It is clear, in spite of Des Pres’s title, that no one ever actually *laughed* while reading *Maus*” (2000: 282). Gilman adds that those who have used the comic mode to evoke the Holocaust have had to identify themselves as Jews to have their texts accepted into high culture.

unfathomable accessible to the minds and emotions of the reading public” (1995: 39). Cory makes a short but illuminating analysis of the different functions that humour has fulfilled in Holocaust literature: it has helped characters and readers to rise above pain and suffering; it has defined the boundaries of our moral response to the events of the Holocaust; it has functioned as resistance, as protest; it has served to create a sense of verisimilitude in a fictional world which defies comprehension. Cory believes that Spiegelman’s *Maus* is unique in Holocaust literature not only because it allows us to understand the paradoxical relationship between atrocity and humour, but because it shows that the second generation survivors have created a symbolic language for depicting the Holocaust which did not exist before: “Common to all such works is a complex syndrome of guilt at not measuring up to the strength, skill and courage of one’s survivor-parents, of a theological and existential quest for a meaningful relationship to the religion of those parents, and an aesthetic quest for the icons and images appropriate to the experience of second generation survivors” (38).³

Although there has been a great controversy over Adorno’s famous dictum, the fact is that it has been defied by a large number of novels, plays, movies, poems, graphic novels, etc. which have taken on the subject of the Holocaust. It must be acknowledged that most authors have emphasised the difficulty of their task. When Adam Appelfeld was asked on the obliqueness of his novels’ representations of the Holocaust, he answered: “one does not look directly at the sun” (Lang 1988: 8). Sebald also admitted that writing about the Shoah, especially for a German author, was dangerous and difficult, since tactless lapses, both moral and aesthetic, could be committed. He explained that his oblique and tentative approach to the Holocaust was due to the fact that “you could not write directly about the horror of persecution in its ultimate forms, because no one could bear to look at these things without losing their sanity. So you would have to approach it from an angle, and by intimating to the reader that these subjects are constant company; their presence shades every inflection of every sentence one writes. If one can make that credible, then one can begin to defend writing about these subjects at all” (Jaggi 2001).

Cynthia Ozick has confessed that although in theory she agrees with Adorno’s dictum, yet the Holocaust figures in many of her stories: “I write about it. I can’t not. But I don’t think I ought to. I have powerful feelings about it. In our generation, it seems to me, we ought to absorb the documents, the endless, endless data, the endless, endless what-happened [...] I *want* the documents to

³ Ballesteros González expresses a similar idea: “By listening and responding to Vladek’s account, by taking notes and recording his voice, Artie will live his own holocaust, that of the child of a survivor” (2008: 149).

be enough; I don't want to tamper or invent or imagine. And yet I have done it. I can't not do it. It comes, it invades" (Teicholz 1987: 184-185). She challenges those who try to bring a moral umbra to the Holocaust, because she cannot find any spots of goodness or redemptive meaning in the event: "Is there a 'redeeming meaning' in the murder of the six million? For me, the Holocaust means one thing and one thing only: the destruction of one-third of the world's Jewish population. I do not see a 'redeeming meaning' in a catastrophe of such unholy magnitude" (1988: 278).⁴ In fact, in an interesting essay, "Who Owns Anne Frank?", Ozick condemns the way the diary has been distorted in order to soften Anne's dread, terror and despair and thus give the text a redeeming meaning:

The litany of blurbs –“a lasting testament to the indestructible nobility of the human spirit,” “an everlasting source of courage and inspiration”- is no more substantial than any other display of self-delusion. The success -the triumph- of Bergen-Belsen was precisely that it blotted out the possibility of courage, that it proved to be a lasting testament to the human spirit's easy destructibility. “*Hier ist kein Warum,*” a guard at Auschwitz warned: here there is no “why”, neither question nor answer, only the dark of unreason. Anne Frank's story, truthfully told, is unredeemed and unredeemable. (1997: 78)

Ozick is firmly committed to remembering the Holocaust and, since she cannot see anything positive in it, her own act of memorial is expressed in the negative: she will not buy German goods, nor set foot in Germany or Austria. By doing so, she is remembering the victims of the genocide: “Not buying a German spoon is a memorial act for its own sake; it has no power to punish anyone, nor is it meant to. If I avoid buying something marked Made in Germany, I do it for myself: to keep alive the memory of Jews marked Murdered in Germany. It is the way I remember” (1988: 283).

Howard Jacobson agrees with Ozick that remembering the Holocaust is a “sacred duty” (Mullan 2010). In contrast to those Jews who insist on moving on or they will never stop seeing themselves as victims, Jacobson makes clear his refusal to forget.⁵ Jacobson's greatest achievement in *Kalooki Nights* is not only that he has fulfilled the sacred duty to remember the Holocaust, but that he has done

⁴ Friedländer agrees with Ozick that there is no redeeming meaning in the Holocaust: “It may be that, on the *individual* level, there is something redeeming here, moments of revelation of a world one had not known. But to speak in this way on a more global level –here I concur with Cynthia Ozick that to look for a message in such events is certainly not for me. This certainly is the most difficult task we face: precisely not to look for redemption in these events” (1988: 289).

⁵ Naomi Alderman has argued that surely the six million Jews who died during World War II would not have wanted their descendants to live a life dedicated entirely to memory and the past: “We have an impossible task: to hold onto something at the same time as letting it go. The fact that it's impossible doesn't mean it's not worth trying. Remember. And at the same time, remember that it's over” (2012: 30).

so in a comic way. Jacobson himself has explained that his aim in *Kalooki Nights* was not to recreate history but to find a different discourse, a different language to talk about the Holocaust:

Not because I think it's funny. Not because I feel we need to "lighten up" – if anything, I felt we needed to go on darkening down [...] But I do want to change the language in which we go on thinking about this. We can't all go on being Primo Levi. We've no business trying to be. Comedy is one way to change the discourse. I believe in taking up the challenge of Hamlet in that wonderful scene, holding the skull of Yorick and confronting him: "You were a jester". (Jacobs 2008)

Jacobson's reference to Primo Levi is highly relevant because on rereading *If This Is a Man*, the record of Primo Levi's incarceration in Auschwitz, Jacobson warns of the danger of forgetting or denying the Holocaust:

The danger, as times goes by, is that we will tire of hearing about the Holocaust, grow not only weary by disbelieving, and that out of fatigue and ignorance more than cynicism, we will belittle and, by stages, finally deny – actively or by default – the horror of the extermination camps and the witness, by then so many fading memories, of those who experienced them. The obligation to remember is inscribed on every Holocaust memorial, but even the words "Never Forget" become irksome eventually. (2013)

Actually, Levi himself explains in the "Afterword" to *If This Is a Man and The Truce* that perhaps his survival was due to the fact that he had the firm purpose to write about what he had witnessed and endured. Levi's attitude was shared by many survivors, who, as Appelfeld has explained, "remained alive only because of the power of that hope: after the war, they would tell [...] The struggle for physical survival was harsh and ugly, but that commandment, to remain alive at any price, was, in this case, far more than the commandment to live. It bore within it something of the spirit of a mission" (1988: 86). Unfortunately, immediately after the war many people were filled with silence because of the inability to express their experience and the feeling of guilt: "The feeling of vocation that throbbed within you in the camps and in the woods became, imperceptibly, an indictment of yourself" (86). In fact, Levi argues that the survivors of concentration camps fall into two categories: those who refuse to go back and would like to forget or have actually forgotten and dismissed everything, and those who believe that remembering is a duty. The latter do not want to forget, and what is more important, they do not want the world to forget:

In every part of the world, wherever you begin by denying the fundamental liberties of mankind, and equality among people, you move toward the concentration camp system, and it is a road on which it is difficult to halt. I know so many ex-prisoners

who understand very well what a terrible lesson their experience contains and who return every year to “their” Camp, guiding pilgrimages of young people. I would do it myself, gladly, if time permitted, and if I did not know that I reached the same goal by writing books and by agreeing to talk about them to my readers. (2004: 390-391)

But although Levi thinks that it is paramount to know and remember what happened, so that it can serve as support and warning, he admits very humbly that he cannot understand the violent anti-Semitism of Hitler and of Germany behind him:

Perhaps one cannot, what is more one must not, understand what happened, because to understand is almost to justify. Let me explain: “understanding” a proposal or human behaviour means to “contain” it, contain its author, put oneself in his place, identify with him. Now, no normal human being will ever be able to identify with Hitler, Himmler, Goebbels, Eichmann, and endless others. This dismays us, and at the same time gives us a sense of relief, because perhaps it is desirable that their words (and also, unfortunately, their deeds) cannot be comprehensible to us. They are non-human words and deeds, really counter-human, without historic precedents, with difficulty comparable to the cruelest events of the biological struggle for existence. The war can be related to this struggle, but Auschwitz has nothing to do with war; it is neither an episode in it nor an extreme form of it. War is always a terrible fact, to be deprecated, but it is in us, it has its rationality, we “understand” it.

But there is no rationality in the Nazi hatred: it is a hate that is not in us; it is outside man, it is a poison fruit that sprung from the deadly trunk of Fascism, but it is outside and beyond Fascism itself. We cannot understand it, but we can and must understand from where it springs, and we must be on our guard. If understanding is impossible, knowing is imperative, because what happened could happen again. Conscience can be seduced and obscured again – even our consciences. (2004: 395-396)

Levi’s reflection on the Nazis’ violent anti-Semitism is included in the “Acknowledgments and Epilogue” at the end of *The Zone of Interest* (2014), by Martin Amis, an Holocaust-centred novel set in Auschwitz in the months from August 1942 to April 1943. Amis has admitted that the problem of understanding Hitler and the Holocaust bedevilled him until he read Levi’s statement on the Nazis’ fanatical hatred of the Jews (Rosenbaum 2012). Amis has always found the question of the Holocaust exceptionally impressive: “I can’t imagine ever losing my horrifying fascination regarding this subject” (Seaman 2014). In fact, Amis has explained that his return to the subject after *Time’s Arrow* (1991) came from a feeling “that in the very palpable, foreseeable future the Holocaust is going to absent itself from living memory” (Rosenbaum 2012). In this sense, although

Cynthia Ozick has some reservations about *The Zone of Interest*, she has admitted that Amis “is not among those worldly sick-and-tired-of-hearing-about-it casuists for whom the Holocaust has gone stale to the point of insult” (2014). Amis believes that, although the survivors’ testimonies will always be available in print and on video, their death will mark a symbolic divide (Rosenbaum 2012).⁶ He has thus justified his attempt to represent the Holocaust:

There are very respectable and distinguished people who say you shouldn’t write about the Holocaust. George Steiner, Cynthia Ozick and others. But it is slightly self-righteous to say that and it also makes no philosophical sense and no literary critical sense [...] “*Arbeit Macht Frei*” says on the gates of Auschwitz and also underneath poets and novelists not welcome. The Holocaust and the Nazi Germany is the worst that has happened yet, it’s the terminal point of human evil and it demolished the image of man while it was taking place. If in the Middle East the Isis phenomenon suddenly exploded, genocide in every direction and the numbers were as great, at what moment, at what stage, does it exclude itself, becomes extraterritorial for writers? It makes no sense. (Seaman 2014)

Amis admits that the author addressing a topic as complex as the Holocaust has special responsibilities not qualitatively different from any other kind of writing, “because you are always battling with finding the right tone and words for the event you are describing. But the tension is unusually sharp when you are writing about something as atrocious as this” (Seaman 2014).

With *The Zone of Interest* Amis wanted to deal with the Holocaust in a more realistic way and this is why he chose social realism as the genre for the novel (Seaman 2014). In fact, in the “Acknowledgments and Epilogue” Amis includes the historical documentation he used to write the novel and emphasises that “I adhere to that which happened, in all its horror, its desolation, and its bloody-minded opacity” (2015: 310).⁷ Certainly, some critics have described the book as a traditional historical novel (Wood 2014; Preston 2014; Ozick 2014), which “slams home the horror of the Holocaust” and makes the reader aware of the “monstrousness of the Nazis’ crimes” (Kakutani 2014). As Wheldon has asserted, Amis is performing a fundamental task by doing his subject justice: “If it only helps to explain to those who at present so promiscuously throw around the word ‘genocide’ what that awful word in reality denotes it will have earned the attention it will certainly receive” (2014).

⁶ Rosenbaum is certainly right when he claims that there are two Martin Amises. On the one hand, we have the Martin Amis who writes outrageous comic satiric novels and, on the other, the Martin Amis who writes “books that go beyond *Bad Behavior* to contemplate Evil itself” (2012).

⁷ Lang has explained that Holocaust fiction tends to include statements attesting to the essential truthfulness in it, which suggests that “historical discourse is viewed even by writers of the *imaginative* literature of the Holocaust as a condition to which they aspire” (1988: 10).

Amis's emphasis on his use of realism to represent the Shoah is certainly significant, since Epstein, the author of the well-known Holocaust novel *King of the Jews* (1979), argues that Holocaust fiction should show "what life in the ghettos and camps was really like -that is, reproducing, re-creating, restoring to life, in such a way that the reader feels a sense of connectedness, not dispassion and distance, least of all horror and repugnance, to the events and the characters that, Lazarus-like are called back from the dead" (1988: 264-5). Fiction should increase our capacity to suffer and bear the unbearable and make us realize that both victims and perpetrators were men and that the Holocaust happened in our own world, not in a fantasyland: "[...] just as the Holocaust did not take place in a special universe, so did it not 'reflect a fundamental distortion in human nature' but, in fact, was both inflicted and borne by those who were all *too human*" (267). The failure of the creative artist to give us the reality of the Holocaust entails what Epstein calls a crucial failure of responsibility (269), since only by creating a bond between the reader and the world that is being depicted in the novel can the writer help bring about a political change that would make another Holocaust less certain.

Amis's realistic approach to the horrors of the concentration camps explains why in the novel humour is more restrained than in previous books: "But, in his new Holocaust novel, Amis is too humane, finally, to do more than attempt a few swipes at such humor [...] Yet, when such cruelties are repeated and repeated, even the satirist is apt to lose heart and concur with Thomsen: 'I used to be numb; now I'm row'" (Oates 2014). In *The Zone of Interest* the story is told from the point of view of three central characters: Angelus Thomsen, a womanizer, a nephew of Martin Bormann, Hitler's private secretary; Paul Doll, the camp commandment and the source of most of the comedy in the novel; and Szmul, the leader of the Sonderkommando, whose members were Jewish prisoners forced to do the Nazis' "dirty work":

At Auschwitz, the Sonderkommandos had better physical conditions than other inmates; they had decent food, slept on straw mattresses and could wear normal clothing. Sonderkommandos were divided into several groups, each with a specialized function. Some greeted the new arrivals, telling them that they were going to shower prior to being sent to work. They were obliged to lie, telling the soon-to-be-murdered prisoners that after the delousing process they would be assigned to labor teams and reunited with their families. These were the only Sonderkommandos to have contact with the victims while they were still alive. The SS carried out the gassings, and the Sonderkommandos would enter the chambers afterward, remove the bodies, process them and transport them to the crematorium. Other teams processed the corpses after the gas chambers, extracting gold teeth, and removing clothes and valuables before taking them to the crematoria for final disposal. (Shields)

Amis has explained that Szmul has much less space than the others because he felt that only in the character of Szmul was he confronting directly the horror of the Holocaust: “And I didn’t want any poetic summoning of the horror of it, but you could not in the end entirely avoid it” (Seaman 2014). Oates has argued that Szmul is not a convincing character because “it’s a nearly impossible task to give a convincing voice to such a person (and such a person very likely existed)” (2014). Franklin (2014) expresses a similar idea, while Reich has argued that Szmul is the least original of the three main characters because with him Amis is “uncharacteristically cautious and deferential, as if treading on sacred ground”. On the contrary, others believe that Szmul is “at once admirable and horrifying in his desperate drive to survive” (Preston 2014) or that “Amis’s crematorium raven flies out from the novel as its single invincibly convincing voice”, erasing all other voices: “He alone is immune to the reader’s skepticism, he alone is safe from even the possibility of diminishment through parody” (Ozick 2014). I absolutely agree with the latter, because I think that Szmul is one of Amis’s most brilliant creations. The very first time we hear his voice, Szmul tells us the story of a king who commissioned his favourite wizard to create a magic mirror that “showed you your soul-it showed you who you really were” (2015: 33). No one could look at it without turning away: “I find that the KZ is that mirror. The KZ is that mirror, but with one difference. You can’t turn away” (33). Interestingly enough, at the end of the novel Thomsen, one of the perpetrators, comes to the same conclusion: “We all discovered, or helplessly revealed, who we were. Who somebody really was. *That* was the zone of interest” (285). Even Doll, who seems to be very “proud” of his job, realizes that you cannot judge the Sonders or anyone who has gone through the experience of the concentration camp: “Ach, if they were real men -in their place I’d [...] But wait. You never are in anybody’s place. And it’s true what they say, here in the KL: No one knows themselves. Who are you? You don’t know. Then you come to the Zone of Interest, and it tells you who you are” (68). In fact, Amis has explained that the application of the story of the king to Auschwitz is that “survivors said again and again you only see about five per cent of another person and about five per cent of yourself in real life, in normal life. It’s only in dire extremis that you actually find out the extent of your courage, whether you’re prepared to make others suffer for your advantage. Even among victims. It’s a very frightening thing the idea of finding out who you really are” (Stadlen 2013).

Amis dedicates the novel, among others, to Levi, who in his essay “The Grey Zone” pays special attention to the role played by the Special Squads in the concentration camps. Levi believes that no one is authorized to judge them and asks the readers to imagine what they would have done if they had lived

for months or years in a ghetto tormented by hunger, promiscuity, humiliation, witnessing the death of their beloved ones, and had been sent afterwards to a concentration camp.⁸ His conclusion is enlightening:

But it is doubtless true that it deals with the death of the soul. Now, nobody can know for how long and under what trials his soul can resist before yielding or breaking. Every human being possesses a reserve of strength whose extent is unknown to him: it can be large, small, or non-existent, and only extreme adversity makes it possible to evaluate it. Even without having recourse to the extreme case of the Special Squads, it often happens to us who have returned that when we describe our vicissitudes, our interlocutor will say: "In your place I would not have lasted for a single day." This statement does not have a precise meaning: one is never in another's place. Each individual is so complex an object that there is no point in trying to foresee his behaviour, all the more so in extreme situations; and neither is it possible to foresee one's own behaviour. Therefore, I ask that we meditate on the story of "the crematorium ravens" with pity and rigour, but that a judgement of them be suspended. (2013: 60-61)

Levi reminds us that some of the Special Squads did rebel and were immediately punished by a horrible death. There were also many cases of suicide at the moment of recruitment or immediately after. Finally, it must not be forgotten that at Auschwitz in October 1944 a group of Sonderkommandos organized a rebellion against the SS. The revolt was a failure and no one of the insurgents survived (58-59).

Levi insists that although we have the testimonies of the Sonders, who buried their diaries near the crematories in Auschwitz to bear witness to the atrocities committed by the Nazis, it is almost impossible to imagine how these men lived day by day, saw themselves and accepted their role in the camp (49). Levi goes so far as to say that what they wrote cannot be taken literally, since probably most of them were trying to justify and rehabilitate themselves: "a liberating outburst instead of a Medusa-faced truth" (52).

I think that one of Amis' greatest achievements in *The Zone of Interest* is precisely that he humanizes and rehabilitates the figure of the Sonder by showing that people like Szmul were also the victims of the Nazi genocide. Cohen has accurately described the situation of those who were forced to collaborate with the Nazis:

Arendt's point is that no prosecution would have wanted, and no defence would have dared, to address the forced collaboration of Jews in their own extermination

⁸ Howe expresses the very same idea in his analysis of *Night*, by Elie Wiesel: "Indeed, that is one of the major effects of honest testimony about the Holocaust – it dissolves any impulse to judge what the victims did or did not do, since there are situations so extreme that it seems immoral to make judgments about those who must endure them" (1988: 184).

[...] But Arendt failed to state the obvious: that being forced to participate in another's death while waiting for your own was victimisation of its most perverse. What the Jerusalem judiciary didn't trust the world to comprehend was something that was already being taught in Israeli schools, and for survivors was a basic fact. (2016: 31)

Van Alphen also argues that the victims' situation was defined by the lack of choice and therefore it is difficult to draw the line between responsibility and victimhood: "One took part in a history that did not provide unambiguous roles of subject and object" (1999: 30). In fact, in the novel *Szmul*, whom Ozick describes as "the most pitiable of the doomed" (2014), defends his innocence: "When he was still with us, my philosophical friend Adam used to say, *We don't even have the comfort of innocence*. I didn't and I don't agree. I would still plead not guilty" (34).

Hofmann has stated that in the midst of so much horror, *Szmul* is striving for dignity and truth (2014: 3) and it is obvious that Amis tries to imagine and recreate how someone who is forced by circumstances to collaborate in the extermination of his brothers feels:

As well as being the saddest men who ever lived, we are also the most disgusting. And yet our situation is paradoxical.

It is difficult to see how we can be as disgusting as we unquestionably are when we do no harm.

The case could be made that on balance we do a little good. Still, we are infinitely disgusting, and also infinitely sad. (33)

When Hannah, Doll's wife, meets him she tells her husband that "He's got the saddest face I've ever seen" (184). Doll himself asserts that *Szmul* has Sonder eyes: "His eyes are gone, dead, defunct, extinct" (63). This emphasis on *Szmul*'s sadness is very interesting because in "The Grey Zone" Levi reproduces the testimony of a member of the Sonderkommando which echoes *Szmul*'s feeling: "You mustn't think that we are monsters; we are the same as you, only much more unhappy" (2013: 52). *Szmul* acknowledges that the "Sonders have suffered Seelenmord -death of the soul. But the Germans have suffered it too" (201), which is very revealing because again in "The Grey Zone" Levi explains that the existence of the Sonderkommando had precisely this message: "We, the master race, are your destroyers, but you are no better than we are; if we so wish and we do so wish, we can destroy not only your bodies but also your souls, just as we have destroyed ours" (2013: 52-53). By focusing on *Szmul*'s feelings and treating him as a human being who suffers and tries to share with us what life is like in a concentration camp, Amis is fulfilling what Appelfeld believes should be

the task of any author writing on the Holocaust. Appelfeld argues that literature about the Holocaust should forget the numbers and facts, since they were the murderers' own well-proven means, and bring the horrifying experience down to the human realm: "When I say 'to bring down,' I do not mean to simplify, to attenuate, or to sweeten the horror, but to attempt to make the events speak through the individual and in his language, to rescue the suffering from huge numbers, from dreadful anonymity, and to restore the person's given and family name, to give the tortured person back his human form, which was snatched away from him" (1988: 92) Appelfeld believes that "man as a number is one of the horrors of dehumanization" (92) and actually in *The Zone of Interest* the perpetrators are the ones who are obsessed with numbers.⁹

Szmul is certainly, as a critic has put it, the moral consciousness of the novel (Kakutani 2014). Through him we learn about some of the atrocities committed in the camps: how the Sonders were eventually murdered by the SS so that there would be no witnesses to the Nazis' killing methods; how in the course of their work the Sonders very often encountered someone they knew and had to pretend that everything was going to be great, which is what happens when Szmul sees his son's best friend, Witold, whose face "flares with gratitude and relief" (241) when he recognizes Szmul:

"Yes, Chaim's here. With his brother. They're working in the home farm. In the fields. With any luck you'll get the same job. They're big boys now. They've grown."

"What about my boot? I'll be needing my boot for the fields."

"All the luggage will be waiting at the guest house."

...

"You'll get cheese sandwiches straight away, and then there'll be a hot meal later on. I'll have Chaim come and find you."

"Oh, that'd be good."

And those are his last words. (241-2)

⁹ Yad Vashem, the World Holocaust Remember Center, has been fulfilling since 1955 its mandate to preserve the memory of Holocaust victims "by collecting their names, the ultimate representation of a person's identity". Their main aim is to comprehend who the "six million" murdered in the Holocaust were, "where they lived, information about their families, what their dreams were, how they died, or whether and how they were related to us". In fact, the International School for Holocaust Studies has as its goal to "present Jewish people as human beings with discernible identities which the Germans planned to destroy in the name of their murderous racist ideology. From the dust and loss, we are obliged to retrieve the humanity of the victims and uncover families and communities as well as their culture that was annihilated during the Holocaust".

The reader is also shocked when Szmul tells him about the fate of the teenage boys the SS selected to help the Sonders drag the bodies to the mass grave, especially when he learns that Szmul's sons were among the silent boys:

They were given no food or water, and they worked for twelve hours under the lash, naked in the snow and the petrified mud.

When the light was thinning Major Lange led the boys to light the pits and shot them one by one –and you could hear that. Towards the end he ran out of ammunition and used the butt of his pistol on their skulls. And you could hear that. But the boys, jockeying and jostling to be next in line, didn't make a sound. (203)

The reader is constantly aware of Szmul's pain and suffering: "It takes Witold less than a minute to die. About twenty seconds pass, and he is gone. There are fewer things to say goodbye to, there is less life, less love (perhaps), and less memory needing to be scattered" (242). In his effort to make the reader sympathize with Szmul, Amis emphasises that he never gets used to the task he performs in the camp: "'Either you go mad in the first ten minutes,' it is often said, 'or you get used to it.' You could argue that those who get used to it do in fact go mad. And there is another possible outcome: you don't go mad and you don't get used to it" (77).¹⁰

Amis also describes how Doll constantly humiliates, demeans and mocks Szmul, who cannot defend himself because he is absolutely powerless. Doll's comments are really cruel:

"Tell me, Sonder. Does it feel different? Knowing your uh- time of departure?"

"Yes, sir."

"Of course it does. April 30th. Where are we now? The 6th. No, the 7th. So. 23 days to Walpurgisnacht."

He took an indescribably filthy rag from his pocket and set about scouring his fingernails.

"I'm not expecting you to confide in me, Sonder. But is there anything...positive about it? About knowing?" (235)

Doll knows how much Szmul loves his wife and in order to make him suffer makes remarks that cause Szmul unbearable pain:

"Tell me. Were you happy with your Shulamith? Was it love whose month was ever May?"

¹⁰ Amis is probably referring here to one of the testimonies that Levi reproduces in "The Grey Zone": "Doing this work, one either goes crazy the first day or gets accustomed to it" (2013: 51).

I shrug.

“Mm, I suppose you’d have to explain why, in her absence, you’ve rather gone downhill. Let yourself go a bit. Ach, there’s nothing worse than the contempt of a woman. Your one, Shulamith, she’s a big girl, isn’t she. Did Shulamith like you fucking her, Sonder?” (204)

Szmul is deeply wounded by Doll’s words because although he adores his wife, he cannot bear the thought of seeing her again and having to tell her what his job is in the concentration camp:

The thought I find hardest to avoid is the thought of returning home to my wife. I can avoid the thought, more or less. But I can’t avoid the dream.

In the dream I enter the kitchen and she swivels in her chair and says, “You’re back. What happened?” And when I begin my story she listens for a while and then turns away, shaking her head [...]

That is all, but the dream is unendurable, and the dream knows this and humanely grants me the power to rouse myself from it. By now I am bolt upright the instant it starts. Then I climb from my bedding and pace the floor no matter how tired I am, because I’m afraid to go to sleep. (137)

But in spite of his tragic fate, Szmul never falls into false sentimentalism or victimization. His narrative is always spare, because his main aim is to bear witness and he thinks that the best way to make the reader believe him is by being calm. Interestingly enough, he seems to be following Levi’s example:

I prefer justice. Precisely for this reason, when describing the tragic world of Auschwitz, I have deliberately assumed the calm, sober language of the witness, neither the lamenting tones of the victim nor the irate voice of someone who seeks revenge. I thought that my account would be all the more credible and useful the more it appeared objective and the less it sounded overtly emotional; only in this way does a witness in matters of justice perform his task, which is that of preparing the ground for the judge. The judges are my readers. (Levi 2004: 382)

Szmul knows that he is writing about an event that has no precedent, no model in human history. He does not want to distort or embellish it, as other Sonders have done before him: “I am a serious man, and I am writing my testimony” (79). But he knows that it is very difficult to tell the truth: “Will I lie? Will I need to deceive? I understand that I am disgusting. But will I *write* disgustingly?” (79). Nevertheless, he will try to accomplish his task as best as he can and tell the world about the horrors of the concentration camp. He is aware of the fact that he will die in Auschwitz, but, like many survivors, believes that his mission is to recount the things he has witnessed: “*Martyrer, mucednik, martelaar, meczonnik, martyr:*

in every language I know, the word comes from the Greek, *martur*, meaning *witness*. We, the Sonders, or some of us, will bear witness” (77).

In the novel Doll argues that for him honour is very important, whereas for the Sonders “Honour gone; the animal or even mineral desire to persist. Being is a habit, a habit they can’t break” (68). But for Szmul being is not a habit, but something very special and valuable and it is precisely his acceptance and celebration of life in spite of the atrocities he witnesses, which makes him a comic hero. According to Hyers (1996) comic heroes reaffirm the unconditional value of life and refuse to let personal tragedies crush their spirit. Comic heroes exalt virtues such as flexibility, freedom, compromise, survivability, sympathy, empathy, generosity, affection, love, meekness. The comic hero has to fight with suffering and disappointment, with the inconsistencies and ambiguities of life and does it rather valiantly. Szmul has to face the absurd fact that “The Jews can only prolong their lives by helping the enemy to victory -a victory that for the Jews means what?” (238)¹¹ and cannot forget that his two sons contributed to this war against the Jews: “I am choking, I am drowning. This pencil and these scraps of paper aren’t enough. I need colours, sounds -oils and orchestras. I need something more than words” (238). Szmul also realizes that with the war the ambiguities, muddiness, limitations and contradictions of human nature come to the fore and that in the end man’s main commitment is to life and the basics of life. As Hyers points out, comic heroism is more concerned with saving skin than with saving face: “Moral codes are in the service of people and their circumstances. Hunger supercedes Mosaic Law” (1996: 66). When people are confronted with the harsh reality of ghettos and concentration camps moral values no longer apply, everything is relativized. The labels with which we define our lives become blurred. This becomes very clear in the novel when one of the prisoners who arrives in Auschwitz tells Szmul what he describes as “a story about the power of hunger” (136). The deportation of all adults over sixty-five and children under ten from the ghetto in Łódź generated a lot of pain, but when the same afternoon those left behind were told that a supply of potatoes was ready for distribution: “a wave of euphoria surges through the streets of the ghetto. Now the focus of talk and thought is not the disappearance of all adults over sixty-five and all children under ten, but the potatoes” (136).

But in spite of so much pain, Szmul has the courage to go on writing and adapt himself to the new circumstances in order to survive. As Hyers explains: “We are endowed with a brain that -along with the capacity for imagining all sorts of paradises and utopias for ourselves, and an equal number of holocausts and hells for our enemies -is capable of imagining an endless variety of alternative modes of

¹¹ Levi describes the fact the Jews were forced to contribute to their own extermination as a “paroxysm of perfidiousness and hatred” (2013: 50).

being, believing, and doing” (1996: 51-2). Like the comic hero, Szmul realizes the importance of being alive and fights to give meaning to his terrible predicament:

There persist three reasons, or excuses, for going on living: first, to bear witness, and, second, to exact moral vengeance. I am bearing witness; but the magic looking glass does not show me a killer. Or not yet.

Third, and most crucially, we save a live (or prolong a life) at the rate of one per transport. Sometimes none, sometimes two –an average of one. And 0.01 per cent is not 0.00. They are invariably male youths. (34)

Amis has explained that by the time Levi wrote “The Grey Zone” he did not know that occasionally the Sonders saved a life (Seaman 2014). They would tell the young boys to say that they were eighteen years old and had a trade so that they would get passed the selection. In fact, when in *The Zone of Interest* the Sonders have a debate on why they lie to the Jews when they arrive at Auschwitz, Szmul puts an end to the discussion by saying: “And I say, ‘*Ihr seit achzen jobr alt, und ihr bott a fach.* That’s all there is. There’s nothing else.” (138)

Instead of allowing dramatic circumstances to destroy us, the comic spirit renews our will and courage to live.¹² Szmul celebrates every day that he is still alive: “At every sunrise I tell myself, ‘Well. Not tonight.’ At every sunset I tell myself, ‘Well. Not today’” (200). He realizes that perhaps it is frivolous to persist in a “fool’s inferno” (200), but his commitment to life is greater than his commitment to death. He is even capable of transcending his own demise by making fun of it. Thus, when Doll tells him that April the thirtieth is the day he will have to stab Hannah, he writes: “It’s now March 10. I feel as though I have been granted eternal life” (202). When Szmul realizes that Doll is going to shoot him after he has killed his wife, he decides to sacrifice himself in order to save the life of the only person in the camp who has been nice to him, Hannah Doll:

She looks in my direction and she says something quite extraordinary to me. And I recoil from it as if I have smoke in my eyes. Five minutes later, standing bent behind the main guardroom, I am able to shed tears for the first time since Chelmo.

“Guten Tag,” she says. (140)

Szmul is aware of the fact that this time his not obeying the orders will make a difference and shows his commitment to life and the basics of life by forcing

¹² In fact, according to Hyers (1996), the book of Job can be considered to belong to the comic mode not because of its happy ending with Job getting back everything that was taken away from him, but because of his attitude when he loses his family and possessions: “The Lord gave, and the Lord has taken away; blessed be the name of the Lord” (Job 1:21 RSV).

his own death so that another person can survive. What Hannah remembers with crystal clarity is how Szmul, who never looked her in the eyes, did so as he told her that her husband wanted him to kill her. By making Szmul perform this act of generosity, Amis is showing the reader that under extreme circumstances people like the Sonders are capable of the worst but also of the best. As Hyers has explained, people and circumstances are not so neatly divisible into black and white, right and wrong: “We are suspended, as it were, between heaven and earth, eternity and time, the infinite and the finite, spirit and flesh, rationality and impulse, altruism and selfishness, pride and insecurity, life and death” (1996: 60-61). At the end of the novel by giving Szmul the strength to look into Hannah’s eyes, Amis is giving him his soul back and celebrating his humanity and compassion: “Then after a time you realize that all the Sonders do it: they try to hide their eyes. And who would have guessed how foundationally necessary it is, in human dealings, to see the eyes? Yes. But the eyes are the windows to the soul, and when the soul is gone the eyes too are untenanted” (81).

Hyers asserts that the comic hero reminds us of our intrinsic flexibility and adaptability, which have allowed us to survive under the most difficult circumstances: “We have lived in caves and palaces, deserts and fertile valleys, igloos and tropical huts, monasteries and harems. We have been patriarchal and matriarchal, monarchists and anarchists, capitalists and communists [...] And we have survived” (1996: 52). The comic hero knows that life is never simple, sensible or logical, but still insists on affirming and celebrating life. What defines a comedy is not a completely successful ending, but the way life is perceived and received. Comedy does not ignore suffering or death, but does not leave us with a sense of futility, alienation or despair: “Even in those comedies that end ambiguously or in defeat, one is left with a distinct sense of faith renewed and hope rekindled” (Hyers 1996: 171). When Doll asks Szmul why the Sonders do not rise up, he answers that “The men still hope, sir” and adds “It’s human to hope, sir” (82). Szmul believes that his testimony will bear witness to the atrocities committed by the Nazis and this is why the last words of his diary do not show despair or defeat, but celebrate life and renew hope and faith:¹³

On my way over I will inhumate everything I’ve written, in the Thermos flask beneath the gooseberry bush.

And, by reason of that, not all of me will die. (270)

¹³ Interestingly enough, one of the main aims of the International School for Holocaust Studies at Yad Vashem is to instill in the pupils a feeling of hope: “Studying the Holocaust can generate a feeling of helplessness, but we aim to create a dialogue with the past for a better future”.

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**A CRITICAL DISCOURSE APPROACH TO BENJAMIN MARTIN'S
PREFACE TO AN INTRODUCTION TO THE ENGLISH LANGUAGE AND
LEARNING (1754)¹**

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ABSTRACT. *The purpose of the present paper is to contribute to the depiction of Martin's role as a grammarian by analysing the preface to his grammar An Introduction to the English Language and Learning (1754). By using a Critical Discourse Analysis approach and a method based on systemic functional grammar, this study intends to describe the discourse structures used in the preface to fulfil its advertising function and persuade the addressee as a potential buyer or user of the grammar. Martin's preface is characterised by a peculiarly exaggerated and aggressive tone and by a strong emphasis on the religious implications of education, all of which confer some distinction to Martin within the discourse community of eighteenth-century grammarians.*

Keywords: English grammars, eighteenth century, Critical Discourse Analysis, systemic functional grammar, transitivity structures, Benjamin Martin.

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UNA APROXIMACIÓN CRÍTICA DISCURSIVA AL PREFACIO DE BENJAMIN MARTIN A AN INTRODUCTION TO THE ENGLISH LANGUAGE AND LEARNING (1754)

RESUMEN. *El presente trabajo pretende contribuir a perfilar el papel de Martin como gramático a través del análisis del prefacio a su gramática An Introduction to the English Language and Learning (1754). Utilizando una aproximación al Análisis Crítico del Discurso y un método basado en la gramática sistémico-funcional, el objetivo de este estudio se centrará en describir las estructuras discursivas utilizadas en el prefacio para dar forma a su función propagandística y persuadir al lector como comprador potencial o usuario de la gramática. El prefacio de Martin se caracteriza por un tono peculiarmente exagerado y agresivo, y también por un fuerte énfasis en las implicaciones religiosas de la educación. Todas estas características aportan un rasgo de distinción a Martin dentro de la comunidad discursiva de gramáticos del siglo dieciocho.*

Palabras clave: Gramáticas inglesas, siglo dieciocho, Análisis Crítico del Discurso, gramática sistémico-funcional, estructuras de transitividad, Benjamin Martin.

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1. INTRODUCTION: MARTIN IN HIS CONTEXT

In John R. Millburn's (1976) biography, *Benjamin Martin: Author, Instrument-Maker, and 'Country Showman'*, Benjamin Martin is depicted as a remarkably versatile character, especially active as a lecturer and maker of scientific instruments of various kinds. However, as stated by Tiekens-Boon van Ostade (1982) in her study 'Benjamin Martin The Linguist', there is one aspect of Millburn's biography that should have been treated more extensively, namely, his role as a linguist. Despite Tiekens-Boon van Ostade's remark, Martin's linguistic profile remains rather unexplored. In recent research carried out by the author of this paper (Fernández-Martínez 2016) on a corpus of prefaces to eighteenth-century English grammars, Benjamin Martin's preface to *An Introduction to the English Language and Learning* (1754) became the object of interest to the author because of its distinctive linguistic qualities. The characteristics of Martin's preface make it different from the grammars included in the selected corpus, mainly because of its rather aggressive and emphatic nature, and the attention paid to the critical religious dimension that education acquires. The aim of this paper is to deepen understanding of the discourse structures used in Martin's preface to fulfil its advertising function and persuade the addressee as a potential buyer or user of the grammar.

The eighteenth century, and in particular the second half of the century, witnessed an unprecedented increase in the production of English grammars. The proliferation of grammars can partly be related to the intensification of social mobility, especially during the second half of the century, and the need for the codification of the English language (Tieken-Boon van Ostade 2008a: 10). As the Industrial Revolution was progressing, rising middle classes began to aspire to higher positions in society. An ambitious middle class tried to have access to correct usage of the language and prestigious language variants. Meanwhile, grammarians became aware of the linguistic implications of the demands of social mobility: “grammarians of this period are seen as wanting to ‘fix’ the English language in order to achieve the stability in language that they hoped to retain in government and in society” (Beal 2004: 95).

Both grammar writers and publishers were in competition with each other for a share of the readership's market of English grammars. The market created by the wide readership included the children of ambitious middle-class parents. Some grammarians also advocated the teaching of English to girls of all classes since they were denied entry to grammar schools and universities (Beal 2004: 103). The battle for the control of the editorial market led publishers to employ strategies that would make their books more attractive to potential buyers (Tieken-Boon van Ostade 2008c: 121). In such a competitive context, prefaces to the grammars were used to convince potential buyers of the positive qualities of the grammars. Prefaces, therefore, fulfilled an “advertising function” (Watts 1995: 154). Genette (1991) has referred to the pragmatic function of prefaces as paratextual elements in terms of their authorial or editorial intention but also in their purpose to assure the presence of the work they accompany and its reception. “Certain elements of the paratext are effectively addressed to [...] the public in general [...]. Others are addressed more specifically, and more restrictively, to the readers of the text alone: this is typically the case of the preface” (Genette 1991: 267). In any case, the term paratext embraces different types of textual elements that must be examined individually, “genre by genre” (Genette 1991: 269).

As Watts (2008: 55) states, to delineate the discursive strategies that are common to the discourse community of English grammar writers, grammars themselves have to be investigated more closely. Grammarians displayed some common discourse strategies and socio-cognitive assumptions that justified their being considered a discourse community (Watts 1995, 2008).² Their grammars

² Grammar writers were thus in competition with one another, but there was also a certain amount of communication in writing among some of them. As Watts (2008) explains, rather than constituting a community of practice, grammar writers formed a discourse community. Even though they did not share it, grammarians had a common enterprise that led to regular textual borrowings amongst them. However, because there was no truly mutual engagement between them, they could not be considered a community of practice.

represented a form of discourse with conceptual and structural similarities, and it was in the prefaces to their grammars that their shared discourse structures and ideologies were particularly noticeable. However, although prefaces to eighteenth-century English grammars have not been of much concern until now, Watts (2008) opened a pathway to more research in this area.³

In Fernández-Martínez (2016), twenty-one prefaces to eighteenth-century English grammars were analysed to establish some of the discourse structures that characterised the discourse community of English grammarians.⁴ This study formulates a proposal of genre structure, applicable to the corpus selected, in terms of which the prefaces are composed of three stages: Construction, in which the process of creation of the grammar is explained; Amelioration, where the text focuses on potential readership as beneficiaries or buyers of the grammar; and Contact, where a line of communication between author and readership is created, allowing the transfer of focus in the text from the writer to the reader. The stages suggested in this paper represent a personal application to the prefaces under study of both Martin's (1992) concept of genre and of the genre structures exemplified by Martin and Rose (2003: 7-15). Martin defines genre as a semiotic system that serves the social purpose of language use: "a staged, goal-oriented social process" (Martin 1992: 505; Martin and Rose 2003: 7). Genre systems are formulated on the grounds of similarities and differences between text structures, so text structure is generated at the level of genre, thereby producing the different text types.

Martin's preface contains eighteen pages (starting from page v until page xxii). Through these three stages of genre, it contrasts a past and present context of deficient grammar learning with an improved learning system that should rely on the use of the grammar presented. This content does not differ from what English grammars in the eighteenth century reflected: "Like the authors of selfhelp books today, grammarians of the eighteenth and nineteenth centuries had to establish that there was a problem in order to sell their solutions to

³ Studies such as the ones undertaken by Rodríguez-Álvarez and Rodríguez-Gil (2013) and Domínguez-Rodríguez and Rodríguez-Álvarez (2015) have contributed to the characterisation of the prefatory texts of eighteenth-century grammars. Increasing attention to the study of the eighteenth-century can also be attested to by the availability of online resources, such as the *Eighteenth-Century English Grammar* (ECEG) database. This electronic database of eighteenth-century English grammars compiled by Rodríguez-Gil and Yáñez-Bouza (2010) aims to meet the demands of scholars working on the field of English grammars by offering bibliographic information about English grammars, along with biographic information of the grammar-writers.

⁴ The corpus under analysis was retrieved from ECEG following these parameters: (i) *England* for place of birth of the author, (ii) *English grammar* for type of work, and (iii) *institutional* and *mixed* for target audience (instruction).

readers anxious to avoid being censured for grammatical solecism" (Beal 2004: 92-93). However, as will be shown in the present paper, Martin's preface employs discourse structures that offer a particular view of those conditions.

The study above (Fernández-Martínez 2016) applied, essentially, a Critical Discourse Analysis oriented question that explored Watts' idea of prefaces as a site for communicating of a discourse community. Thus, it could also be suggested that Martin's preface may have placed him as a distinctive author within the discourse community of eighteenth-century English grammarians, at least with regards to the grammarians selected in this study. In the biography published by Millburn (1976), Martin is depicted as a remarkably versatile character who was especially active as a lecturer and maker of scientific instruments of various kinds, one of the best-known men of science of his day. His diverse interests and the feeling that he could improve whatever came under careful examination led him to undertake a range of projects with much success. Martin's abilities and skills are also described in *The Oxford Dictionary of National Biography* (2004). As it is explained there, Martin taught a wide variety of disciplines, from writing to astronomy, in the school at Sussex he established in his late twenties. There he began to write, his first publication being *The Philosophical Grammar* (1735). Martin devised his own microscope because one of the major fields of expertise for him was optics. By 1742, Martin tried to earn a living giving lectures on experimental philosophy, first in Reading and later in Bristol and Bath. A greatly expanded version of his lectures was published in the two volumes of *Philosophia Britannica* (1747). From 1746 until 1756, he was travelling and lecturing mainly on experimental philosophy, although he also produced *Institutions of Language* (1748), *Lingua Britannica Reformata*, *A New English Dictionary* (1749), and his most ambitious literary work, *The General Magazine of Arts and Sciences, Philosophical, Philological, Mathematical, and Mechanical* (1755). When he abandoned travelling, he began to trade as an instrument maker and, more specifically, as an optician, and also gave evening lecture courses in London. He died in 1782 after being declared bankrupt, probably the result of a suicide attempt.

Tieken-Boon van Ostade (1982: 129) diminishes the importance of Martin's abilities: "Martin's versatility is thus not really outstanding in a period in which there were as yet no true specialists, at least as far as linguistics is concerned." On the contrary, although Tieken-Boon van Ostade (1982: 121) admits that the biography was not aimed at a public of scholars interested in his linguistic side, she believes that there is one aspect in Millburn's biography that should have been treated more extensively, namely, his role as a linguist.⁵ Martin's dictionary has attracted

⁵ In the eighteenth century, the typical occupation of grammarians was primarily that of schoolteacher, although grammars were also written by clergymen, booksellers, and other apparently self-proclaimed

the attention of scholars (e.g., Wells 1973; Starnes and Noyes 1991), and some research has been carried out on his scientific instruments (e.g., Millburn 1973). Nevertheless, Martin has not been of much concern among scholars in more recent research on eighteenth-century grammatical traditions. Evidence of this is provided in Tiekens-Boon van Ostade's (2008b) edited book *Grammars, Grammarians and Grammar Writing in Eighteenth-Century England*, where only a reference to Martin's grammar can be read when Auer (2008: 61) mentions "lesser-known grammars that were never reprinted such as Kirkby (1746) and Martin (1754)". In 'Benjamin Martin the Linguist', Tiekens-Boon van Ostade (1982) highlighted his role as a linguist through two grammatical works, *Institutions of Language* (1748) and *An Introduction to the English Language and Learning* (1754), and one dictionary, *Lingua Britannica Reformata* (1749). Indeed, despite Tiekens-Boon van Ostade's remark, Martin's linguistic profile remains rather unexplored.

The purpose of the present study is to contribute to depicting Martin's role as a grammarian by analysing the preface to his grammar *An Introduction to the English Language and Learning* (1754).⁶ This researcher intends to argue that far from being overlooked, Martin's linguistic profile deserves wider recognition. Concerning his preface, its particularly aggressive and powerful tone, along with the emphasis laid on the religious implications of education, may have helped enhance the persuasive purpose of the preface and confer some distinction to Martin within the discourse community of eighteenth-century grammarians. In addition, the focus on the religious dimension of education is not to be underestimated either. Although Reyk (2009: 426) considers the role of religion to have received little attention, he states: "There was disagreement over the actual state of religious provision at the public schools and universities, but all were agreed that the most important aim of education at both types of institution was the formation of Christian men".⁷

2. THEORETICAL AND METHODOLOGICAL FRAMEWORK

Critical Discourse Analysis is an interdisciplinary approach that considers discourse an instrument of power and ideological control (e.g., Fairclough 1989,

grammarians. It must be noted that, according to current standards, grammarians in the eighteenth century were not language experts "simply because experts, as they have come to be considered nowadays, did not exist for practically any field" (Chapman 2008: 21).

⁶ *An Introduction to the English Language and Learning* was Martin's second grammatical work. It was first published in 1754 and went through three editions. The second and the third editions came out in 1756 and 1766, respectively.

⁷ Reyk (2009) offers a detailed examination of the written debate on religious education in the eighteenth century in which discipline and religious education were inextricably tied and considered together.

1995). Critical Discourse Analysis promotes the application of critical thought to any text, situation, or social problem to uncover the implicit strategies that exert a persuasive effect on the reader or hearer. Considering those aspects, it could be argued that the aim of this study fits in with a Critical Discourse Analysis perspective. More specifically, the process of naturalisation proposed by Fairclough (1989) may help explain the purpose that sustains some of the discourse structures in Martin's preface, and overall, the strong persuasive effect behind the preface. Through the process of naturalisation, discourse types lose their ideological character because ideologies are presented as common-sense assumptions: "Naturalization is the royal road to common sense" (Fairclough 1989: 92). Dominant discourses are subject to a process of naturalisation by means of which they lose their connection with particular ideologies and turn into the common-sense practice of the institution they represent. A discourse type will cease to be seen as one among several possible ways of viewing things and will become natural and legitimate, presenting simply the way things are. In order to acknowledge naturalisation, a distinction should be made "between the superficial common-sense *appearances* of discourse and its underlying *essence*" (Fairclough 1989: 92). Hence, this analysis will try to unveil how some discourse structures naturalise the text to present as natural and normal a reality as possible in which the reader is to be convinced of the benefits of Martin's grammar for the education of children.

Critical Discourse Analysis derives from several theoretical backgrounds, and there is not a specific methodology considered as characteristic. Various types of texts have been analysed using a Critical Discourse Analysis framework, such as political speeches (e.g., Wang 2010), educational texts (e.g., Rogers 2011) or newspapers (e.g., Teo 2000), to name but a few. Despite the fact that prefaces have been a subject of interest for discourse analysis since the Old English period (e.g., Discenza 2001; Harbus 2007), prefaces to eighteenth-century English grammars continue to be unexplored from a Critical Discourse Analysis point of view. Accordingly, this paper addresses some deficiencies by gathering Critical Discourse Analysis, prefaces to eighteenth-century English grammars, and Martin's preface in particular.

Although Critical Discourse Analysis has been quite eclectic from a methodological point of view, Critical Discourse Analysis and Systemic Functional Linguistics have remained in an ongoing exchange since they both primarily share a dialectical view of language and society. Systemic Functional Linguistics, which studies the functions that language serves in society, has turned into the most extensively used method throughout their historical relationship (e.g., Martin 2000; Young and Harrison 2004). More specifically, since its first edition in 1985, Halliday's (2004) *Introduction to Functional Grammar* has traditionally been regarded as one of the most suitable instruments for the analysis of the text (e.g., Fairclough 1989, 1995).

The analysis carried out in the present paper will focus on learners as the main participants in the text, either as beneficiaries or as victims of education, as well as on the role of parents and their responsibility regarding the education of children. These participants may be considered the addressees of Martin's grammar and more generally, the prospective users and buyers of the grammar. To this end, the researcher follows Martin's (1992: 129) terminology, where the term *participant* is proposed to refer to how individuals who are capable of functioning as agents in transitivity structures (see Halliday 2004: 168-305) perform in the text. Halliday's transitivity structure represents reality regarding the three components: *participants*, *processes*, and *circumstances*. The set of processes proposed by Halliday (2004: 168-259) range from material actions (representing processes of the external world) to mental ones (construing inner experience), relational processes (identifying and classifying), behavioural (outer manifestations of inner workings), verbal, and existential. As far as meaning is concerned, circumstances refer to the location of an event in time or space, its manner, or its cause (Halliday 2004: 260-261). By using these tools, we will try to illustrate how education, through either proper or unsuccessful teaching methods, affects learners, and how learners and prospective users of the grammar are described in the preface, namely the actions they perform, the relationships established between them, and the attitudes they show towards education. In the analysis of transitivity constructions, lexical cohesion devices will also be taken into consideration to study the effect of vocabulary within transitivity structures and at a discourse level. "Just as ellipsis and substitution take advantage of the patterns inherent in grammatical structure, [...] lexical cohesion takes advantage of the patterns inherent in the organization of lexis" (Halliday 2004: 570). Martin's preface is characterised by the extensive use of processes of repetition – considered by Halliday (2004: 571) "The most direct form of lexical cohesion" –, synonymy, and ultimately, a complex network of aggressive, and at times, pejorative terms that seem to collocate in the preface and, overall, add great emphasis and intensity to the text to provoke the reaction of the reader. However, the most personal characteristic of Martin's preface is the collocation, namely, "a tendency to co-occur" (Halliday 2004: 577), or rather the naturalisation of collocation, of educational and religious terms to alert the reader to the adverse effects of poor quality education and its severe effect on a religious sphere.

3. DISCUSSION

The prefaces to eighteenth-century English grammars under study in Fernández-Martínez (2016) contain discourse structures in which the quality of existing grammars and the work undertaken hitherto by grammarians are criticised. At the

same time, the different discourse structures underlie the adverse consequences for the learner. Martin's preface is particularly powerful and emphatic in this sense, which confers some singularity to the way in which the text fulfils its persuasive function over the reader. Martin's preface is characterized by complex transitivity patterns that, as will be explained throughout this section, combine various processes and participants in a systematic and purposeful way. These transitivity configurations become more intense by including an amalgam of aggressive and somewhat pejorative terms, along with some emphatic lexical and grammatical devices (e.g., emphatic adjectives, repetition, synonymy, and comparative and superlative forms). Furthermore, a remarkable religious dimension of education pervades the text, contributing to naturalising the impression of a disastrous learning situation with far-reaching catastrophic consequences.

As already mentioned, this analysis will focus on the role of the users, learners, or potential buyers of the grammar as described through transitivity structures. More specifically, this paper aims to study how transitivity patterns depict these participants to exert an influential function on the addressees and persuade them to buy or use the grammar presented. Potential users as learners appear mainly through the third person, either singular or plural, although they are also integrated into the references of the first-person plural (we). The third person materialises in the preface through a variety of participants that go from references to children, youth, learners, scholars, or parents, to their religious identification as Christians. Methods and participants presented both through the first-person plural (we/our) and third person (children, youth, learners, scholars, parents, and Christians) will be analysed in this section, which will be structured taking into account these two main categories: third person and first-person plural. In either case, participants are presented either as victims of previous poorly implemented methods or as potential beneficiaries of the new grammar. In either case, the transitivity structures used in the text to portray them exert a persuasive role over the reader both to alert him to the impractical nature of previous methods and show the merits of Martin's grammar.

3.1. *THIRD PERSON*

Transitivity structures that describe traditional grammars or teaching methods are also included in this analysis since they influence the perception of the quality of the grammar presented regarding the benefits it may offer to the learner. Martin naturalises a categorical discourse wherein some negative items (*insufficient*,

unnatural, absurd) refer to the characteristics of the teaching methods and the results of their application:⁸ “But what is most extraordinary in our vulgar Methods [...] it will appear to be every Way insufficient, unnatural, and absurd, and certainly the most *prophane*, if not *impious* way [...]” (viii-ix). By means of both attribute verbs (*is, appear*) and the string of likewise pejorative adjectives (*insufficient, unnatural, absurd*), previous grammars and methods are discredited. Relational attribute structures (*it be the most essential Part, the usual Method they all pursue of[...] is a very bad one*) are included again to assess the facts delineated, whereas the author places himself as a centre of reflection through a cognitive process (*consider*) in order to support the reliability of the message: “And this brings me to consider the Subject of *Reading* and *Discourse* [...] nothing has been more neglected in *English Education*, though it be the most *essential Part*” (vi), “though I have found, by many Year of Experience, that the usual Method they all pursue of [...] is a very bad one [...]” (vii-viii). The learner is placed within a particularly unfavourable environment of learning flaws and neglect, which stresses the necessity of grammatical assistance, also emphasised by the repetition of the adjective *necessary*: “But *Grammar* is the only *one Thing* necessary [...]” (vi), “as is the usual Method, which I know to be a very bad one by many Years Experience. To this I have premised, what is necessary to the [...]” (xv). Throughout the preface, transitivity patterns include attributive structures (mainly with the verb *be*) that interfere in the impartiality of the message.

A recurrent complex transitivity pattern used throughout the preface combines relational attributive structures, whereby the reality described is assessed (*would it not appear an amazing Thing*), with mental processes of perception (*to see*) whose participants (or sensers, in Halliday’s terminology) act as witnesses of the facts presented. Throughout the preface, Martin does not purely deliver information. Rather than describing events, he evaluates them and places the reader as an observer to confer veracity to the text. In this case, learners are portrayed as negatively affected by existing learning methods, namely, as children without judgement (*senseless Boy and Girl*): “would it not appear an amazing Thing to any one but a *Christian*, to see these Writings made the *vulgar Praxis* [...] to every *senseless Boy and Girl* [...]” (ix). Martin refers to profound consequences that go beyond an educational context and affect religion. Religious terms depict the learner as being more than a learner, a *Christian*, and as can be observed in the following structure, the way of teaching through these methods as *prophane* and *impious*, with further emphasis laid through synonymy (*prophane, impious*) and superlative forms (*the most prophane*). Accordingly, collocation of religious and

⁸ Segments from Martin’s preface (1754) are referred to by page number. Words in italics stay as they are in this version.

educational lexical items seems to be regarded as common sense. Martin's preface is especially critical and explicit in his statements. Martin's view of education is marked by its precariousness. He denounces the negligence of past and current teaching approaches by also presenting their results with children, who are depicted as incompetent learners: *senseless Boy and Girl*, but also with *barren, uncultivated Mind*: "but the barren, and uncultivated Mind shews the Man in a deplorable, and shocking Contrast, susceptible of any Thing that is bad" (xx). Learners affected by previous defective grammars perform as double participants in this transitivity structure, namely, in Halliday's terms, both as an actor and as a goal. Therefore, apart from being damaged by previous and existing teaching approaches, learners become victims of themselves and of their intellectual deficiencies. What is more, in a deprecating tone, learners are portrayed as defective humans prone to temptation (*susceptible of any Thing that is bad*).

The third person (*the Child*) is also placed in a situation of difficulties and obstacles to surmount. Material verbs performed by children (*accent*) are inserted in wider transitivity structures that specify how the accomplishment of these tasks is hindered by erroneous educative systems of instruction. The actions of learners are influenced or determined by the circumstances imposed by teaching methods, which act as activators (*oblige*, *makes*) of the actions carried out by the learner: "it obliges the Child to accent some Words [...] it makes it very difficult for him to accent [...]" (viii). Opposing the previous transitivity structures, the new approach suggested through Martin's grammar portrays the scholar to his full potential in the execution of the tasks (*is perfect in*) in the following relational attributive structure: "After the Scholar is perfect in Spelling, the next Thing necessary [...]" (xvii). As shown in the following examples, a system of carefully arranged adjectives and adverbs (*genuine, well, judiciously, proper, sufficient*) qualify what should be considered an authentic and convenient education, whereas adverbs materialise in circumstantial elements that support the felicity of the actions undertaken. On the other hand, verbs such as *enable* or *exercise* function as facilitators of the educative duties assumed, activating positive results: "Plan of general and genuine Education [...] as will enable a Person to speak; read, and write, well and judiciously [...]" (xiii), "And the *Third Part* must consist of a proper and sufficient *Praxis*, for exercising the Scholar in the *Art of reading well* [...]" (xiv). Compared to it, the transitivity structure *common Experience but too much evinces* accentuates the truthfulness of the message in which the imperfection of the mental action of cognition (*understand*) carried out by learners is enhanced by the contrast between *too much* (as a circumstantial element) and *too little*. Expressing quantity or degree, both components contribute to increasing the gap between the advantages and detrimental effects of previous grammars and the new grammar,

respectively: “common Experience but too much evinces how little our Youth understand of either, after the first seven Years of the customary Education” (v).

In the following transitivity arrangement, the third person becomes more specific through the general reference *Youth*. The accomplishment of material creative processes (*form, construct*) relies on the actions of the instructors (*must be instructed*), supporting the idea of the youth’s lack of self-sufficiency in educational matters: “The *Second Part* is that, by which the Youth must be instructed how to form, or construct a sentence [...] in such a natural and proper Manner [...]” (xiv). However, what this structure unveils is a sort of anticipation of the success of this new grammar. Transitivity patterns fix the actions of the third person to follow, indicating the improvement achieved by learners. Circumstantial elements, rather than merely providing information about manner, exert a strategic purpose since they qualify methods by transferring to them the same features (*natural and proper*). The role of youth in the previous transitivity arrangement opposes his function in the following one, where attributive structures (*what is most extraordinary, it will appear to be [...]*) are employed to evaluate the results of traditional methods in an emphatic manner. The way of instructing youth shows a disrespectful attitude towards God, which is enhanced through synonymy (*prophane, impious*) and superlative forms (*the most prophane*) in the attributive element: “But what is most extraordinary in our vulgar Methods [...] it will appear to be every Way insufficient, unnatural, and absurd, and certainly the most *prophane*, if not *impious* Way that possibly could be thought of, for instructing Youth in the *Art of Reading*” (viii-ix). This discourse configuration allows for attributive constructions that show emphatic amazement (*what is most extraordinary*), but above all, that intentionally transfer the same judgement onto the reader. In addition, the author uses the passive with mental, cognitive process (*that possibly could be thought of*) to highlight the attributive meaning. Therefore, rather than merely describing, the author evaluates the actions of the learners by integrating them into higher transitivity structures of assessment.

By means of the third person, the learner is depicted as being severely affected by the grammatical deficiencies and limitations of the teaching methods of the past and present to make the learner aware of the necessity of grammatical assistance. The author fixes a model of action to be followed by the student, although far from merely presenting it, Martin imposes it strategically. Thus, transitivity structures do not merely reflect how learners behave or act but how they should or have to. The examination of lexical items evinces this discernible contrast. A detailed system of adjectives creates a double layer of learning conditions that despite concentrating on the preceding and present stage of unproductive learning, also refer to the subsequent phase of educational improvement. Through the transitivity patterns

associated with the third person, the preface evinces the disparity between the implementation of both proper and mistaken teaching methods. The capacity of teaching methods either to enable or to hinder the actions of learners is illustrated through some complex transitivity structures. Some processes (e.g., *enable*, *makes*) act as hinge actions that allow the learner to perform either correctly or mistakenly, whereas through circumstantial elements, the potential of the learner is presented at its fullest or lowest potential. In either case, the learner is described as lacking autonomy, as an entity in the hands of the methods applied and unable to control his own educative destiny.

A position of conformity with vulgar methods also evinces the corruption of adults and makes them responsible for producing inept children. Martin's preface creates a network of responsibility where traditional methods and the implicit consent of parents' function as joint determinants that distract children not only from religion but also from their own happiness: "Parents must be adjudged guilty of Inhumanity to their Children, when they neglect to give them a *Scientific Education*. Nothing can be more astonishing, than to see how anxious they are in amassing *Wealth* for them, and at the same Time, with what Indifference and Insensibility they suffer the *wretched Poverty* of their Minds" (xx-xxi). Different layers of processes are employed to portray parents as neglecting the education of their children. The use of the passive (*must be adjudged*), in combination with the attributive structure *Nothing can be more astonishing*, and the inclusion of a superlative form (*more astonishing*), turn into an implicit invitation to the reader to judge the behaviour of parents. This incitement is further supported by the understood testimony of the first-person plural with a verb of perception (*to see*). Through different levels of processes that mix attributive patterns (*anxious they are*), material processes with abstract meaning (*amassing*), and behavioural verbs (*suffer*), the preface depicts the attitude of abandonment and carelessness of parents as regards the education of their children. Indeed, Martin is highly critical of the role of parents, as he focuses on them as misleading elements in the education of their children, reproaching them for their *Inhumanity* and greediness (*anxious [...] in amassing Wealth*), whereas processes and circumstances in transitivity structures show *neglect* and *Indifference and Insensibility*, respectively. Nevertheless, Martin seems to be excessive and exaggerated in his attempt to bestow upon parents the responsibility of educational collapse. To the categorical adjectives used to measure the education precariousness previously mentioned, another emphatic adjective (*astonishing*) in the attributive structure *Nothing can be more astonishing* must be added, as well as more references to its impact on learners (*wretched Poverty of their Minds*). Deficient education methods trigger destructive and hostile behaviour in children.

Traditional education becomes a harmful instrument that causes considerable damage to children, both physically and morally: “How are those Writings, which were intended to give the greatest *Pleasure and Solace to the Mind*, often made the Cause of *bodily Pain and Wretchedness to Children*” (x-xi). Therefore, the preface moves between extremes and tackles different levels of implication. More specifically, this sentence opposes intention (*intended to*) and reality or outcome (*made*) by contrasting the highest expectations with the destructive results that pervade body, mind, and feelings, moving thus from *the greatest Pleasure and Solace to the Mind* to *bodily Pain and Wretchedness*. Distinctiveness in Martin’s preface emerges from a combination of transitivity patterns and lexical cohesive devices that provide a framework of discourse intensity and emphasis to the text. Above all, the text comes from a view of education laden with strong religious connotations where education seems to be transformed into a kind of religion itself. Throughout the preface, innumerable religious associations are conferred to education to illustrate how those *vulgar* methods degenerate into an irreverent behaviour towards religion. A bad learning method implies a lack of respect for religious beliefs, a kind of insult to religion whereby an incompetent learner becomes a bad believer as well: “How are those *Scriptures of Truth*, those *Written Laws of God* [...] *torn to Pieces, and trampled under our Feet* while Children!” (x). Transitivity structures exemplify the destructive behaviour towards religion that emerges from an immoral education by means of aggressive material processes (*torn to Pieces, trampled under our Feet*). The preface thus naturalises a straight connection between education and religion regarding the way a deficient education will have a direct and adverse effect on religion.

3.2. FIRST-PERSON PLURAL

The reader is predisposed to evaluate the situation described as being normal (*it is not seldom*), whereas the first-person plural (we) integrates reader and writer as witnesses of the reality being denounced: “it is not seldom that we see a *Genius* buried in *Obscurity* [...]” (xviii-xix). By means of the first-person plural, or inclusive *we* (see, e.g., Fairclough 1989), the author creates an emotional state of empathy and closeness with the reader, sharing the reader’s feelings of frustration, which facilitates the subtle imposition of subjectivity in the message, in this case, to illustrate that the persistence of traditional methods may lead to horrible consequences for the brightest. Now, the third person is portrayed in rather macabre circumstances (*a Genius buried in Obscurity*), by contrasting the highest potential of learners (*Genius*) with the most frustrating and darkest destiny that nullifies any prospects of success (*buried in Obscurity*). In the structure “Is it not very preposterous to learn to *read without Understanding* [...]” (xi), the

writer also takes for granted the role of the reader as a spectator of the events. The learner appears as an elided agent (*to learn*) in the attributive construction *Is it not very preposterous [...]*, whereby the writer extends an implicit invitation to the reader to share his view about the failure of existing teaching approaches. In this case, the combination of mental processes (*learn, read*) is nullified by the circumstantial element of manner (*without Understanding*).

The analysis of the first-person plural (*we*) in transitivity structures proves the limitations of teaching methods through the inability of these participants to perform as learned people: “because, without such Knowledge, we cannot converse with Men of Learning, we cannot understand Books of Science, nor can we read or write properly [...]” (vii). The repetition of inability (*cannot*) and the range of processes involved (to be precise, verbal, cognitive, and material-creative), together with the emphatic unproductive circumstances (*properly*), combine to alert the reader against the poor quality of education, and above all, against the damaging effect, at different levels, it has on children.

In some structures the first-person plural (*our*) is used to exert a strategic effect of closeness on the reader whereby the writer presents to the reader what seems to be a shared undeniable reality: “And indeed, I know of no other Instance, that shews so plainly, how *callous* our Minds may be rendered by Custom, and altogether insensible of Impressions from the most *interesting* and *sacred Principles* in Nature, viz. those of RELIGION, and the HAPPINESS of our *Children* (ix)”. In this sentence, the author (*I*) displays his authority by providing a rational background through the mental verb of cognition *know* (*I know*). The transitivity structure made of the verb *shews* plus the circumstantial element *so plainly* underlies the self-evident nature of the information provided, where the first-person plural appears as an insensible mind as the result of traditional teaching methods. Once again, synonymy (*callous, insensible*) and superlative forms (*the most interesting and sacred*) are employed to reproach us for passivity. Martin is direct and energetic when it comes to criticising society for a somewhat conformist attitude towards education, which also affects the essence of a human being, namely, religion and happiness. Martin exploits the side of responsibility as a discourse strategy to provoke a feeling of guilt and an active response on the part of the reader. Thus, the preface establishes a close correlation between education, religion, and happiness in which we should assume total responsibility. Believers who have been indoctrinated by education demonstrate contempt for religion. Nevertheless, being tolerant of traditional teaching methods turns us into accomplices. The author seems to question the moral integrity of adults because of their indifference regarding the happiness of their children. In this sense, the preface aims to cause a spontaneous reaction in adults. More importantly,

the explicit references of the process *whipp'd* to physical mistreatment serve to introduce the idea of punishment like penance in their incapacity to learn properly: “How are we *reproached* and *whipp'd* in our *Non-age*, for not being able to *read* [...]” (xi). Vulgar methods corrupt good human condition and produce traitors to religion so that a connection could be found between educational inabilities and punishment. Martin depicts a rather demoralizing picture of both children, as victims of their parents’ neglect, and of adults, who give their consent.

Throughout the preface, the first-person plural performs as a witness of events. Facts are not merely presented but supported by the perception of both reader and writer as a united entity to confer credibility and authenticity to the text: “we often see Children bred up without any Erudition at all; and though the Parents be in opulent Circumstances; yet they appear *Niggards* in nothing so much as the little Learning they bestow on their Children; if they purchase it, it must come very cheap; no Man is so ill paid as a *School-Master* [...]” (xxi).

And is it not extremely probable, that the *Book* we have so frequently bedrivelled, daubed, and pulled to Pieces at School, should become the Object of our future Indifference, Contempt, or Aversion? And may not the *Grounds of Deism*, and *Infidelity* in general, be very reasonably deduced from hence? And therefore, finally, may we not look upon this Custom of learning Youth to read by the *Holy Bible* and *absurd Profanation*, and the *most sordid Abuse* of the fame? (xi).

Material processes such as *bedrivelled*, *daubed*, and *pulled to Pieces* are employed as blistering physical attacks on religion, whereas *Indifference*, *Contempt*, or *Aversion* put the blame on the passive attitude of adults. Circumstantial elements (*without any Erudition at all*) nullify the action of instructors on children (*bred up*), whereas parents are censured for their meanness (*Niggards*) regarding the education of their children (*little Learning they bestow on their Children*). Further connotations of sex (*prostituted*), money (*mercenary*, *opulent*), and racism (*Niggards*) are introduced, turning education into a field of conflict or overflow channel of human depravity, where *Infidelity* and *Profanation* subvert the basic pillars of religion by collocating with the *Grounds of Deism* and the *Holy Bible*, respectively: “But such is the Effect of Custom, and inveterate Usage, and such the Weakness of human Nature, that *we suffer our Bibles to be prostituted unconcernedly* to a base and mercenary Interest [...]” (xii). In all this corrupt site of immorality and wickedness, Martin presents his grammar as a redeemer that will restore educational, social, and religious order to the world: “I HAVE long been persuaded, that nothing has been so much wanted in our *English Schools* as an *Introduction to the English Language and Learning* [...]” (v). What is more, the significance of his grammar is assumed to go beyond the educational sphere, as can be inferred by establishing a link with the following sentence: “Education of

Children should be esteemed the most important Affair of Life [...]” (xxi). Through the mental process of cognition (*esteem*) and the implicit first-person plural as the agent of the passive verb, the author invites, or rather, implicitly imposes, the reader to reach that conclusion.

Consequently, in Martin's preface, education is presented as the central axis of human life. It functions as a polluting but also as a purifying element, and ultimately as a kind of religion in itself. From a state of frailty and depravity, Martin's preface leads the learner to a healing process triggered by proper teaching methods. But more specifically, it is Martin's grammar that may function as a remedy that can rescue the learner from the lowest levels of human condition. Therefore, as a kind of discourse strategy that proves the value of his grammar, the learner undergoes a process of misery and penance. Martin's grammar will restore the student as a learner but, most importantly, as a true believer and as a human being. Essentially, the religious dimension Martin assigns to education could be interpreted as a strategy to highlight the relevance of his grammar as an instrument of salvation.

As evinced through the analysis carried out in this paper, Martin's preface is characterised by the appearance of some powerful vocabulary that has a considerable effect at a discourse level. Martin makes use of shocking terms that occasionally may even be offensive to some of the participants described in the text. A hostile attitude pervades the preface through an extensive procedure of naturalised lexical cohesion based mainly on processes of repetition, synonymy, and collocation, the latter presenting the association of education and religion as a common-sense assumption. Other linguistic mechanisms, such as intensifiers, comparative and superlative forms, or emphatic adjectives (e.g., *preposterous*, *deplorable*, *shocking*) contribute to conveying an emphatic nature and great intensity to the text. Transitivity structures place the learner as a victim of traditional teaching methods, and what is more, as a victim of his parents. Transitivity arrangements do not only describe the deficiencies of traditional methods. The author tries to influence the perception of events by the reader as well. Throughout the preface, complex transitivity patterns include relational attributive structures whereby reality is evaluated. At the same time, through mental verbs of cognition, mainly with the first-person plural, the reader is placed as a witness of events. The execution of material processes of doing, either dispositive (doing to) or creative (bring about), are hindered as if symbolising the imposed inability of learners produced by mistaken teaching methods and to implicitly encourage a judgement of disapproval on the reader. The strategic purpose of this conflation of linguistic procedures may be to alert and provoke an immediate response on any potential buyer of the grammar.

In Martin's preface, education acquires a significant religious dimension that also pervades the most essential aspects of human life. Sexual references and racist connotations shake up the reader's conscience and contribute to catching the reader's attention. However, education may also be negatively influenced by economic interests or be the source of unhappiness, obscurity, and of a chaotic existence. The most important pillars of the human being may collapse because of a deficient education system. Accordingly, Martin transmits a rather catastrophic idea of penance, disorder, and corruption produced by a defective education system.

4. CONCLUSION

This paper has tried to gain insight into the role of Martin as a grammarian through the analysis of his preface to *An Introduction to the English Language and Learning* (1754). The aim of the current paper was to describe the discourse structures used in Martin's preface to fulfil its advertising function and persuade the addressee to be a potential buyer or user of the grammar. As illustrated throughout this analysis, Martin's preface is characterised by the appearance of some powerful vocabulary with a considerable effect at a discourse level and also by the peculiarly exaggerated and aggressive tone emerging from the complex discourse structures used. These characteristics, along with the emphasis placed on the religious implications of education, confer some distinction to Martin within the discourse community of eighteenth-century grammarians. Within the corpus of prefaces selected in Fernández-Martínez (2016), Martin's preface stands out because of its linguistic uniqueness, specifically its hostile style and the religious implications of education. The religious dimension assigned to education unveils a discourse strategy whereby grammars are depicted as instruments of purification and, ultimately, as a kind of religion in itself. Through the analysis of his preface, Martin reveals himself as a grammarian of excess, gloomy, and apocalyptic in his assessment of reality. Martin presents an alarming preface that naturalises a catastrophic view of education as the source of human degeneracy, but also as the source of human salvation. He makes use of offensive and provocative insolence to activate an automatic response in the reader. Whatever the result, what is clear is that the uniqueness of his preface confers some singularity to Martin within the discourse community of English grammarians analysed until now by the author of this paper. Although more research is needed to extend the corpus of prefaces to English grammars under analysis, it could be stated that the peculiarities of Martin's preface contribute to enriching the discourse profile of the discourse community of eighteenth-century English grammarians. Far from being a factor to be overlooked, Martin's role as a linguist still deserves careful attention.

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A.S. BYATT AND THE “PERPETUAL TRAVELLER”: A READING PRACTICE FOR NEW BRITISH FICTION

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ABSTRACT. *While most readers enjoyed, or at least admired A.S. Byatt’s Booker prize-winning novel Possession, many are puzzled by her work before and since. This essay argues that the problem is not the novels themselves, but rather the way that readers approach them. Conventional reading practices for experimental or postmodern fiction do not enable the reader to understand and enjoy her dense, dizzying work. By examining the intertexts in her novella “Morpho Eugenia,” in particular two imaginary texts written by the protagonist William Adamson, this essay demonstrates how the novella generates a different kind of reading practice. Using Byatt’s metaphor, the essay recommends that readers become “perpetual travelers,” a global model of readership that will enable readers to navigate not only Byatt’s oeuvre and the realm of neo-Victorian fiction, but also the field of new British fiction and the crowded media landscape in which it resides.*

Keywords: Angels and Insects, historical fiction, novel, British literature, hermeneutics, intertextuality.

A.S. BYATT Y EL “VIAJERO PERPETUO”: UNA PRÁCTICA LECTORA DE LA NUEVA FICCIÓN BRITÁNICA

RESUMEN. Aunque la mayoría de los lectores disfrutaron o por lo menos admiraron la novela *Possession*, escrita por A.S. Byatt, y merecedora del premio Booker, muchos se han quedado desconcertados por su obra de antes y después. Este artículo defiende que el problema no reside en las novelas en sí mismas, sino en la manera en que los lectores se acercan a las mismas. La lectura convencional que se suele llevar a cabo de la ficción postmoderna o experimental no le permite al lector entender y disfrutar de la obra densa y mareante de esta escritora. A través del análisis intertextual de su novela corta “*Morpho Eugenia*”, y en particular de dos textos imaginarios escritos por el protagonista, William Adamson, este artículo demuestra la manera en que la novela corta genera un tipo diferente de lectura. Siguiendo la metáfora de Byatt, en este artículo se recomienda que los lectores se conviertan en “viajeros perpetuos”, un modelo global de lectura que permitirá navegar no sólo por la obra de Byatt y el terreno de la ficción neo-victoriana, sino también por el campo de la nueva ficción británica y el populoso paisaje mediático en el que reside esta última.

Palabras clave: Ángeles e insectos, ficción histórica, novela, literatura británica, intertextualidad.

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The past is a foreign country: they do things differently there.
– *The Go-Between*, L. P. Hartley

And any good reader ought to have a kind of neutral gear... a kind of wandering, scanning reading which is a reenacting reading. – A.S. Byatt

The success of A.S. Byatt’s Booker-prize winning *Possession: A Romance* (1990) secured her position within the literary world and illustrated the ascendancy of the neo-Victorian novel. Her next book, a pair of novellas entitled *Angels and Insects* (1992), revisited the Victorian era. Despite the genre’s growing popularity, Byatt’s work continued to puzzle critics, readers, and scholars. John Barrell began his review for the *London Review of Books*: “I don’t quite know what to say about *Angels and Insects*” (1992: 18). He goes on to assert that he admires what Byatt accomplishes, but he doesn’t see the point – he can’t figure out “the idea behind these novellas” (1992: 18). For many readers, even savvy, professional readers

like Barrell, Byatt’s novels present an insurmountable obstacle to comprehension, enjoyment, or both. The historical turn within the field of contemporary British fiction met with resistance too. Historical fiction, especially “literary” historical fiction published in the past few decades, has been accused of “random cannibalization of all the styles of the past”, “blurring of the distinction between history and literature”, and “fancy-dress worldmaking” (Jameson 1991: 18; Holmes 1997: 13; Keen 2006: 176). This essay argues that the problem is not the novels themselves or their genre, but rather the readers’ approach to them. Byatt’s fiction illustrates the problem and provides a solution. Too often readers burrow through her books in an attempt to unveil the Idea beneath the dense cover of metaphor and allusion that characterizes her fiction. While this may be a tested approach for readers of fiction in the wake of postmodernism, we must search for a different reading practice to understand and enjoy Byatt’s “self-conscious realism”¹ (Byatt 1992b: xv). This essay contends that “Morpho Eugenia”, the first novella in *Angels and Insects*, promotes a unique reading practice, a practice that transforms the reader into a “perpetual traveller” (Byatt 1992a: 18). The metaphor “perpetual traveller” is taken from the novella itself – the protagonist William Adamson uses it to describe a colony of ants that he wishes to study. It characterizes a practice that requires the reader to work, yet affords pleasure, that sends the reader on journey without beginning or end, a private practice that potentially shifts the paradigm of reading within public discourse. Using “Morpho Eugenia” as a case study, this essay suggests that readers willing to become perpetual travellers will be better equipped to navigate Byatt’s novels, historical fiction, New British Fiction and the crowded and ever-changing media landscape they occupy.

The idea of reader as perpetual traveller may seem counterintuitive when approaching a realist novella set in a Victorian manor home. Unlike *Possession*, which jumps back and forth between the nineteenth and the twentieth centuries, Byatt sets *Angels and Insects* entirely in the 1860s. For some, this nestles the text further away from contemporary concerns. Indeed, those who criticize historical fiction often accuse its authors and readers of a problematic nostalgia and insularity, reminiscing about colonial England instead of confronting and depicting issues in today’s global society.² This essay will explain how the perpetual-traveller reading practice can combat such concerns about insularity within Byatt’s oeuvre and beyond. Contrary to the standard view, Byatt contends that “aggressively ‘experimental’ fiction”, in its attempt to open up a space for reader-participation, actually restricts the reader with “distracting devices” (Byatt 1992b: 157). In her

¹ Byatt’s own term.

² Perhaps the most strident example being the manifesto by Matt Thorne and Nicolas Blincoe in *All Hail the New Puritans* in which they vow that “our texts will avoid all improbable or unknowable speculations on the past or the future” (i).

words, such fiction “teases the reader and demands total admiration and assent”; it is “more exclusive of mental activity in the readers” (Byatt 1992b: xvi). The type of novel she writes, “leaves space for [...] dissent and qualification”, for “independent thought” in the reader (Byatt 1992b: xv, xvi). She critiques John Fowles, author of *The French Lieutenant’s Woman* (1969), a novel most critics consider a forerunner to her historical fiction, for restricting the reader in this way. Although Fowles claims that he wrote multiple possible endings to his novel so as to avoid “controll[ing] his characters”, Byatt counters: “his projected endings do not suggest a plurality of possible stories [...] these alternative endings are neither future nor conditional, but fixed, Victorian, narrative past” (Byatt 1992b: 155). Alternatively, if endings stay in the realm of the possible, as she believes hers do, “they intensify the reality of the future world” for the reader (Byatt 1992b: 155). In other words, by borrowing from the historical realist tradition, Byatt’s neo-Victorian fiction actually enables a more active, participatory reading experience in the present and a more credible vision of the future.

Rather than beginning with externally generated terminology, the metaphor “perpetual traveler” helps us to approach the text on its own terms. Furthermore, using a metaphor acknowledges the central role that this type of figurative language plays in Byatt’s work. Susan Poznar uses a similar tactic in her analysis of “Conjugal Angel”. She compares the novella to “the shining cocoon that the medium Sophy Sheeky perceives spinning itself around the aged Alfred Tennyson” and describes it as “haunted, not only by spirit voices but also by the voices of contemporary literary debate” (Poznar 2004: 174, 175). Julian Gitzen asserts that, “For Byatt the most powerful feature of language remains metaphor, that imaginative vehicle of implied or explicit comparisons” (1995: 88). By choosing a metaphor from the novella to depict the reading practice that the novella recommends, we harness a powerful vehicle for understanding a complex relationship between text and reader.

However, the metaphors in “Morpho Eugenia” often seem too excessive to offer the reader any explicit comparisons. Set in a newly Darwinian world, the novella depicts the heady excitement surrounding the possibility that a single theory could explain everything. Likewise, it depicts the crisis of faith that such a theory could produce. According to Sally Shuttleworth, “Morpho Eugenia” takes place at a moment when “the study of the order of nature transmuted into a lament for its disorder” (2001: 151). Byatt highlights this conflict in the character of Sir Harald Alabaster, an Anglican minister grappling with the coincidence of his belief in science and in God, debating the matter with William and with himself in his tautological treatise on natural theology. In terms of reading practice, the problem is not Darwin’s theory itself but rather the use of his theory as an interpretive

model. Many readers are understandably drawn to this trope in the novella; the attempt to exert order, to find a system that would contain the chaos of encroaching modernity seems a fitting parallel to reading Byatt's fiction. Michael Levenson articulates both the Victorian and the contemporary academic's desire for such a universalizing theory: "There remained the hope, continually enacted in *Angels and Insects*, that the new unsettling facts could be accommodated though nimble argument. In this sense, our own literary theory is a late, parodic form of a once momentous conflict" (Levenson 2001: 162). Although William relies on metaphor to articulate his world view ("he was hard put to it not to see his own life in terms of a diminishing analogy with the tiny creatures"), Levenson points out that even William resists this pull (Byatt 1992a: 116). Levenson posits, "William Adamson is as inveterate a user of analogy as all those defensive theorists who seek to disarm the world's contingency. Yet, the difference, which is all the difference, is that his analogical imagination makes no attempt to stabilize the world" (2001: 170). By setting the novel in this transitional moment in history, in which the characters are unsure which direction to move or how to reconcile oppositional systems of organization and belief, Byatt frees readers from the necessity of choosing sides.

Byatt is not the only neo-Victorian author at the end of the twentieth century to feature this transitional moment in her fiction.³ As Shuttleworth argues, this moment attracts many contemporary novelists because the "realm of extra human order", on which both natural theology and Darwinism depends, "has a tendency to unravel and implode. Neither term in the equation remains stable" (2001: 151). Heidi Hansson notes a parallel tendency in Byatt's style. Since her readers continually move back and forth from the literal to the figurative, meaning is always somewhat in flux. Hansson dubs *Angels and Insects* a "postmodern allegory" because both the literal and figurative meanings are unstable or variable (1999: 455). This tendency towards instability, unraveling, and implosion likewise highlights the potential pitfalls of using Byatt's metaphors as a hermeneutic model. Their attractiveness is undeniable – Hansson discusses the reader's compulsion to sort through the "too much message, or too many messages" of Byatt's figurative language (1999: 461). However, when readers such as Barrell (or Levenson's "defensive theorists") adopt this practice, they reach a *cul de sac*. Byatt's figurative language resists a single interpretive key. It is dense with overt and over-determined symbols: the Alabaster children are described as "pale-gold and ivory creatures... with long pale silky lashes"; Byatt's novella shares a name with its female love

³ In addition to Byatt's neo-Victorian novels, John Glendening's *Science and Religion in Neo-Victorian Novels* examines the following examples: Penelope Lively's *City of the Mind* (1991), Graham Swift's *Ever After* (1992), Julie Diskie's *Monkey's Uncle* (1994), Liz Jensen's *Ark Baby* (1998), Andrea Barrett's *The Voyage of the Narwhal* (1998), Roger McDonald's *Mr. Darwin's Shooter* (1998), Mathew Kneale's *English Passengers* (2000), Tome Holland's *The Bone Hunter* (2001), among others.

interest, Eugenia, who also shares her name with a rare and perfectly shaped butterfly, *Morpho eugenia*; after their marriage, William and Eugenia live at Bredely Hall (b-r-e-d-e), where Eugenia breeds (b-r-e-e-d) five children, including two sets of twins, in two years (Byatt 1992a: 4). Although figurative language is crucial to the composition and consumption of Byatt's fiction, the excess of referents in "Morpho Eugenia" challenges us to expand our reading practice beyond the search for stable metaphor to provide a hermeneutic model. Instead, we must imitate William's "analogical imagination [that] makes no attempt to stabilize the world" (Levenson 2001: 170). The instability of the realm of metaphor in "Morpho Eugenia" suggests that the reader's goal is to resist the desire for stability, to embrace the motion resulting from the trembling of these foundational beliefs (theology, Darwinism, the function of figurative language, reading for the Idea beneath the text), and to imitate that motion herself.

Even though "perpetual traveller" is a metaphor, because it suggests unending motion, it becomes a metaphor *sui generis*. By emphasizing the restless movement inherent to perpetual travel, this particular metaphor comfortably co-exists with the instability and variability of Byatt's figurative language. Using it enables us to recognize the centrality of metaphor in her work, but, then, to emphasize reading practice over searching for the Idea behind these novellas. However, in order to fully comprehend the active quality of Byatt's text and the reader's experience, we must examine the other element of Byatt's novella that equals metaphor's excessiveness and importance: intertextuality. While the plot of "Morpho Eugenia" does not stray from mid-Victorian England, the space of Byatt's text is flooded with manifold texts by other authors, both from the characters' (fictional) present and (our) historical past. These include excerpts from works by historical authors, such as John Milton, Ben Jonson, and Robert Browning. They include myths and fairy tales retold by the novella's characters, such as the nanny's rendition of Cupid and Psyche. They also include long passages from imaginary texts written by character-authors, such as Sir Harald's treatise on natural theology and a fable by Matty Crompton (a single, semi-employed female relation of the Alabasters) entitled "Things Are Not What They Seem", which is included in its entirety, complete with illustrations. Shuttleworth claims that the textual density of Victorian natural history, which Byatt so successfully imitates, draws the reader "ever inward, so that [she] start[s] to inhabit that world of wonder and doubt, rather than standing outside of it" (2001: 154). This is one reason why Byatt's intertexts are so important – they counteract that inward pull and motivate the reader to continue moving, on and out of the space of the novel's frame.

Certainly, the term intertextuality can refer to a host of rhetorical devices including allusion, echo, parody, quotation, adaptation, pastiche, imitation, or

hypertext. Kristeva's original definition of this term draws on Bakhtin's concept of dialogism and carnivalism and adds to it Barthes notion that all texts are intertextual, or, in her words, "any text is constructed as a mosaic of quotations; any text is the absorption and transformation of another" (Kristeva 1986: 37). Therefore, the term necessarily suggests interrelation not only among literary texts, but also among cultural idioms and social contexts. Kristeva does not limit the term to allusion, verbal echoes, or diachronic relationships with earlier work; she insists on a synchronic connection to "a contemporaneous field made up of literary and nonliterary texts" (Machecek 2007: 524). Most importantly, this extra-literary interrelation highlights the potentially subversive politics of intertextuality. By examining it, we illuminate what Mary Orr calls the "tacit critical agendas behind intertextuality" (2003: 7). Intertextuality can offer "a challenge to the cultural hegemony of originality or uniqueness over reproduction/copy" (Martin 2011: 149). This potential for resisting the hegemonic is essential to the connection this essay makes between intertextuality and reading practice. Understanding how Byatt deploys intertextuality will reveal the reading practice her novella recommends and how it empowers readers to resist a dominant narrative.

Like Byatt's excessive and unstable figurative language, the sheer number of intertexts can unsettle readers. According to Paul Dawson, there is a parallel to this discomfort in the response to a "perceived decline in the cultural authority of the novel over the last two decades" (2015: 5). In other words, many worry that, as the public sphere becomes more fragmented, the impact of the novel declines. Dawson believes that novelists have returned to the unfashionable and much-maligned omniscient narrator in order to combat this anxiety and to assist "information seeking citizens" as they navigate the "densely mediated landscape" of our digital culture (Birkets qtd. in Dawson 2015: 6; 2015: 7). He explicitly uses Byatt's omniscient narrator in *Possession* as an example of this practice. James Wood critiques this narrative mode, characterizing English novelists such as Eliot, Forster, Fielding, and Byatt as "remarkably intrusive, always breaking in to speak over their characters and tell us what to think" (2002: 18). However, it is difficult to find evidence of this habit in "Morpho Eugenia". Although the novella begins with an omniscient narrator in the Victorian realist tradition, perhaps to establish a foundational trust, this voice often disappears and, therefore, readers cannot rely on this device to guide them to the novella's Idea. Byatt provides more subtle cues to guide readers through her intertexts. For example, compared to the frame novel, the intertexts' font is slightly smaller and its indent slightly larger. As a result, the reader's eye moves in a different way than it would with a typical novel; it travels from one text to the other. However, beyond flagging its presence, Byatt does not offer explicit guidance for navigating this journey. She encourages

a way of reading, not a particular meaning. Rather than the stabilizing force of the omniscient narrator, it is this reading practice that can help the “information seeking” citizen/reader to navigate the novella, and, if applied more broadly, to navigate the “densely mediated landscape” of contemporary society.

According to Alfer and Edwards de Campos, Byatt wants readers to experience a “dialogical engagement with the text, an open-minded curiosity about what the text is trying to say” (2010: 143). Her intertextuality invites such open-mindedness, curiosity, and responsiveness. By extending the novella’s intertextuality beyond allusions to or citations of historical texts, by weaving texts penned by historical and imaginary authors into her novella without distinction, she assigns the same status to historical texts and imaginary texts written by character-authors. Instead of forming a hierarchy between the ‘real’ and ‘imaginary’ texts, she forms “a relation between equals” (Machacek 2007: 525). Her text becomes a textile woven with many different threads. Paradoxically, while the intertexts call attention to the frame novel’s fictionality, they also make the fiction more real by aligning it with actual historical texts.⁴

While intertextuality is often linked with difficulty as a trademark of the postmodern novel, it serves a different purpose in Byatt’s work. Instead of creating difficulty, instead of limiting the pleasure of reading to those who “get” the references, her fictional intertexts render the novella more democratic. While critics have noted the “Eliotic quantity of literary allusion and mythic parallels woven into her fiction”, I would argue that they are not Eliotic in their effect – they do not seek to narrow the audience to the right kind of reader (Gitzen 1995: 94). In fact, Byatt often articulates her preference for the lay reader over the professional critic or academic and touts radio and television programs for “operating in the open world, not the university” (qtd. in Alfer and Edward de Campos 2010: 146).⁵ The non-hierarchical nature and the increasing number of non-allusive intertexts render a search for an original source moot. Since there is no reference to “get”, the intertexts can challenge the reader without quizzing her, activate her critical capacity and expand her enjoyment beyond a game of “catch the allusion”.

This activation is key – as the reader’s eye travels across the page, her mind engages with texts by various authors. The novella seeks to create movement, a journey beyond the plot. The focus on an active reader is central to many

⁴ For more on this type of paradoxical outcome see Linda Hutcheon’s chapter “Historicizing the Postmodern: The Problematicizing of History” in *A Poetics of Postmodernism: History, Theory, Fiction*. Frederick Holmes and Mariadele Boccardi both discuss Hutcheon’s theory in relation to *Possession*.

⁵ In the introduction to her collection of essays *On Histories and Stories*, Byatt celebrates that “readers at large, who are spending more and more time discussing books – all sorts of books – in the vulgar tongues and frank language of every day, in book clubs.” (6)

theories of readership over the past half century, and a number of theorists use a metaphor that suggests movement. Wolfgang Iser describes the reader as “wandering” through a text, “travell[ing]” between “textual segments” (2010: 1528). Roland Barthes’s essay “From Work to Text” (“De l’oeuvre au texte”) outlines seven characteristics of Text (*texte*) versus Work (*oeuvre*). These characteristics succinctly capture the components of Byatt’s intertextuality that lead to the perpetual-traveller reading practice. In his discussion of *texte*’s inherent plurality, playing on the etymological connection between *texte* and textile, Barthes begins by comparing “the reader of the Text” to “someone at a loose end” (Barthes 2010: 1328). The *texte*/textile is not complete – some threads hangs loose, waiting for the reader to take them up. Then he shifts to the metaphor “strolling” to describe the reader’s actions:

This [reader] strolls – it is what happened to the author of these lines, then it was that he had a vivid idea of the Text – on the side of a valley, a *oued* flowing down below (*oued* is there to bear witness to a certain feeling of unfamiliarity); what he perceives is multiple, irreducible, coming from a disconnected, heterogeneous variety of substances and perspectives...All these incidents are half-identifiable: they come from codes which are known but their combination is unique, founds the stroll [*promenade*] in a difference repeatable only as difference. (Barthes 2010: 1328-29)

In this striking passage, the reader/author strolls along a valley in a strange and unfamiliar place. *Oued* is the Wadi word for a streambed or valley. By using this foreign term for something that does not exist in the author’s country of origin, Barthes characterizes the reader’s experience with the text as an encounter with otherness, as adventurous, even dangerous. In the French, the word translated “feeling of unfamiliarity” is *dépaysement* – the reader is literally un-country-ed in this encounter and left to wander alone without guidance (Barthes 1971: 73). *Oued* also suggests the transformative nature of this encounter. The *oued* is dry all year, except for the rainy season – then it is flooded with water and transformed into an entirely different landscape. Byatt’s intertextuality is akin to the Barthesian *texte* – not singular, but plural; not an object, but a process. Byatt weaves her intertexts into the frame story and the reader reenacts that weaving motion. If we imagine her intertexts as a “disconnected, heterogeneous variety of substances and perspectives”, then we can trace how she encourages the reader to stroll through these intertextual passages and create her own unique combination.

The final characteristic of *texte* in Barthes’s essay, and, of course, one to which he would return, is pleasure. Whether or not readers enjoy reading is a theme within Byatt criticism, too, although scholars typically turn to *Possession* to support their claims. Ann Marie Adams argues that *Possession* does create a

particular reading practice, but not a particularly enjoyable one. She contends that the combination of its romance plot, its intrusive narrator, and Byatt's subtextual insistence that critics impair readers' access to the Author's message force the reader to accept a singular reading practice and thereby undermine her pleasure. According to Adams, rather than liberated, "enchanted readers", Byatt's readers are "constructed and constrained" (2003: 108). On the other hand, Mark Hennelly posits a dual pleasure of the text in *Possession*, for Byatt's readers and for the novel's character-readers, two academics for whom reading is both work and pleasure. He examines "the motif of 'repeating patterns'" to establish the "greedy reading"⁶ practice that *Possession* recommends and the "cognitive and visceral" pleasures it affords (2003: 445). His version, which combines work and pleasure, activity and enjoyment, more closely aligns with my interpretation of the effect of intertextuality in "Morpho Eugenia".

In order to demonstrate precisely how intertextuality in "Morpho Eugenia" creates the perpetual-traveller reading practice, I will examine two intertexts in particular: William's personal journal and his book of natural history, *The Swarming City*. While other critics have focused on the novella's allusions to historical texts (e.g. Judith Fletcher's "The *Odyssey* Rewoven") or the complete fictional intertext, Matty Compton's "Things Are Not What They Seem", (e.g. Michael Lackey's "Prolegomena to Any Future Theory"), this essay will focus on two imaginary works that bookend the novella's plot. These two texts coincide with William's travels – his arrival and departure from Bredely Hall respectively. Furthermore, they track William's search for his vocation, a career that requires work yet affords pleasure, activity that will help him balance his public and private life. His search for a vocation parallels our search for a reading practice and by tracing William's search through the (inter)texts that foster his transformation, we will discover the reading practice that has the potential to transform readers as well as reading.

William's journal jumpstarts his journey toward a vocation. The narrator tells us that, as a young man, son of a Yorkshire butcher, William began keeping a journal in order to create "an accurate record, of the development of the mind and character of William, who still meant to be a great man" (Byatt 1992a: 11). The description of his developing mind and character moves in tandem with his burgeoning authorship. After he began collecting scientific specimens, "His journal was for the first time alive with a purposeful happiness" (Byatt 1992a: 11). Once he discovers social insects, "His journal became the journal of an ant-watcher" (Byatt 1992a: 12). His journal transforms yet again once he plans to travel to the

⁶ Hennelly uses Byatt's term from the introduction to *Passions of the Mind*: "Greedy reading made me want to write, as if this were the only adequate response to the pleasure and power of books" (xiii).

Amazon. In this stage of metamorphosis, his writing becomes more complex: “The journal[s] began to intermingle a rapt, visionary note with detailed practical sums for outfitting, for specimen boxes, with names of ships, with useful addresses” (Byatt 1992a: 12). The different registers of his internal and external life combine in this text and create a textual vision of his impending future and vocation.

Once his travels commence, William begins corresponding with Harald Alabaster and a vision of his vocation emerges: “William wrote [...] the letters of a great naturalist from an untrodden wilderness, spiced with an attractive self-deprecating humour” (Byatt 1992a: 13). Now the “ant-watcher” has graduated to “great naturalist”. His writing both produces and reflects this new identity, not only in terms of content, but also in terms of style. An “ant-watcher” might record the movements of insects; a “great naturalist” describes his observations with drama and humor. These aesthetic changes represent William’s transformation, at least in his self-perception, from amateur to expert.

The journal transforms along with William physically as well as textually. The narrator describes his “tropical journal” as “much stained – by the paraffin in which their box had once been doused to prevent their being eaten by ants and termites, by traces of mud and crushed leaves from canoe accidents, by salt water like floods of tears” (Byatt 1992a: 13). The journal gained tactile qualities during William’s travels – his experiences in the Amazon bestowed it with new physical characteristics in addition to the professional and personal experiences recorded within its pages. With the journal, textual comingling becomes materially instantiated.⁷

William’s personal and professional discoveries are inextricably linked with their inscription, with this comingled text. Despite the dangers, disasters, and privations, his Amazonian life and the process of writing about it undeniably exhilarate him:

He had peered into these pages [of his journal] by the light of burning turtle oil, and had recorded his solitude, his smallness in the face of the river and the forest, his determination to survive, whilst comparing himself to a dancing midge in a collecting bottle. He had come to be addicted to the written form of his own language, which he hardly spoke at all. (Byatt 1992a: 13-14)

He becomes even more obsessed with *written* language as his spoken language disappears. Some critics focus on the ontologizing power of the spoken word in this novella, in particular, the act of naming. Lackey, in his analysis of Matty’s

⁷ Elizabeth Hicks thoughtfully examines the connection between material objects and the identity of individuals who make and/or collect them in Byatt’s work. See “Public and Private Collections in A.S. Byatt’s *The Children’s Book*”.

intertextual fable, observes that the character Mistress Pan Demos “has the power and authority to control her world through language (‘you *must* do as I say’), which means that [anyone], while in her world, cannot use language to define themselves or to control their own subjectivity” (Byatt 1992a: 136; original emphasis). Note that her powerful language is spoken – you must do as I *say*. The power of naming is undeniably a motif within the novella, and other Victorian and neo-Victorian fiction, connected to the era’s extensive discoveries of new species. The naming method was generated by a combination of England’s imperial project and the new Darwinian philosophy of interconnectivity. According to Michelle Weinroth, the process of naming “affords the individual both godly power and joy to organize, colonize, and ascribe meaning to unnamed things” but it is “also an incarcerating force”, the latter demonstrating what she calls the novella’s “postcolonial critique” of “Victorian Englishness” (Byatt 1992a: 187). For William in the Amazon though, the written word takes precedence. Indeed, this practice is framed as addiction. He *needs* the written record of his travels as much as the travels themselves. Both are essential to the discovery of his vocation.

His addiction persists from his past travels to the novella’s present. His journal, the “accurate record” of the development of his “mind and character” led him to other texts, which he likewise incorporates into his journal (Byatt 1992a: 11). The narrator explains: “Writing gave him a taste for poetry. He read and reread *Paradise Lost* and *Paradise Regained* [...] and an anthology of *Choice Beauties of our Elder Poets*. It was to this he turned now” (Byatt 1992a: 14). Up to this point, the reader has merely encountered the narrator’s descriptions of William’s journal. Now that mediating voice ceases. “[N]ow,” William copies out lines from a Ben Jonson poem into his journal, which Byatt includes as a block quote in her text. William uses this passage to work out his feelings for Eugenia and to relish the painful pleasure of falling in love. The reader has work to do too. Encountering Jonson, dropped into the novella, pushes the interpretive onus onto the reader. She must figure out how to navigate a text that is simultaneously Jonson’s, William’s, and Byatt’s.

This first intertext, Jonson’s poem, is soon followed by another. The narrator’s voice returns, briefly, to tell us that William remembered a line from a fairy story he heard as a child, “I shall die if I cannot have her” (Byatt 1992a: 15). This intertextual passage is both familiar and strange. Byatt uses double quotation marks, suggesting that William is copying it out verbatim. However, although it recalls countless stories, it does not have a precise referent. In this way, Byatt offers her reader a middle ground between Jonson’s (historical) and William’s (imaginary) text. It belongs to everyone and no one, part of the cultural discourse of fairy tales, quotable, available, yet unattributable. This exemplifies how Byatt’s

intertextuality denies the search for an origin that would provide a direct path to interpretation. Instead, she encourages readers to embrace the "feeling of unfamiliarity" they experience as they encounter journal entries, poems, and fairy stories in rapid succession (Barthes 2010: 1328).

The parallel between William's journal, embedded in Byatt's novella, and Jonson's poem, embedded in William's journal, is undeniable. The doubleness of Byatt's page, with two sets of fonts and indentations, parallels the doubleness of William's journal, practical and visionary, physical and textual. Furthermore, as one of the only items that survived shipwreck, the journal brings his travels back to England literally and metaphorically. It provides a record of his life as a great naturalist and keeps images of his Amazonian travels alive in his mind's eye. The duality of these texts introduces a pervasive doubling throughout Byatt's novella.

As Alfer and Edwards de Campos point out, the phenomenon of doubling⁸ is, "of course, one that readers of Byatt's [...] fiction are already familiar with" (2010: 152). Doubleness is explicitly invoked by the narrator and the trope accumulates symbolic force as the novella continues. Upon returning to England, the narrator tells us that William experiences "double vision" (Byatt 1992a: 7). He simultaneously sees moments from his travels alongside events in the present; a figurative version of what Byatt's reader sees on the pages of the novella. "Morpho Eugenia" opens with a ball and, goaded by Lady Alabaster to rectify the perennial lack of gentleman partners, William finds himself spinning round the dance floor with the youngest Miss Alabaster. The narrator tells us that the waltz reminds him of other waltzes danced in Pará and Manáos "with olive-skinned and velvet-brown ladies of doubtful virtue and no virtue" (Byatt 1992a: 5). The parallel moment in the present distresses him: "There was something alarming in the soft, white creature in his arms, at once so milky-wholesome and so airily untouchable" (Byatt 1992a: 5). The paradoxical doubleness of the present, his perception of the Alabaster dance partner once he has recalled a comparable experience in the Amazon, alarms him.

The sense of alarm increases when he partners with Eugenia. Voicing William's thoughts, the narrator describes her as "both proudly naked and wholly untouchable" and at this thought William experiences "to his shame and amazement, unmistakable stirrings and quickenings of bodily excitement in himself" (Byatt 1992a: 7). This sensation recalls a very different kind of dance, when he was: "grabbed and nuzzled and rubbed and cuddled with great vigour by women with brown breasts glistening with sweat and oil, and shameless fingers. Nothing he did now seemed to happen without this *double vision*, of things seen

⁸ They use the term "double effect".

and done otherwise, in another world” (Byatt 1992a: 7, my emphasis). Everything he does “now” happens alongside “things seen and done otherwise”; this alabaster lady has a “velvet-brown” Other. Ultimately, the problem with this double vision is its intensely personal (sexual) manifestation. William was invited to Bredely Hall because his letters to Harald Alabaster established him as a “great naturalist”. Once he enters Bredely Hall, however, his path shifts. Instead of a scientist-explorer conquering the Amazonian jungle, he becomes a character in a marriage plot. When dancing with love interest Eugenia, he does not recall professional activities from his travel; he recalls distinctly more personal ones.

While sitting in church with the Alabasters, William experiences a recurrence of this double vision. During Harald’s Anglican sermon, he remembers an altogether different spiritual practice, an all-male Amazonian ceremony:

He remembered the fleeing women, faces covered, sitting amongst the decorous English family, men on one side, women on another, watching Eugenia’s pink tongue moisten her soft lips. He felt he was doomed to a kind of double consciousness. Everything he experienced brought up its contrary image from *out there*, which had the effect of making not only the Amazon ceremonies but the English sermon seem strange, unreal, of an uncertain nature. (Byatt 1992a: 27-8; original emphasis)

Imagining the Amazonian women in this chapel alongside a vision of Eugenia’s pink, soft, and moist tongue and lips transforms the troubling double vision he had at the dance to an even more troubling state: double consciousness.⁹ Now that he lives with the Alabasters at Bredely Hall, he must grapple with the unsettling coincidence of his current life and his other life, his mind must continually confront “out there” and in here. Indeed, the missing subject in Byatt’s syntax does not clearly indicate who is doing the “sitting” – William or the “fleeing women” – suggesting the perilous state of William’s subjectivity. Doubleness has advanced from vision to consciousness – it moves further inward and threatens not only William’s vocation but also his idea of self. Like Barthes’s encounter with the *oued*, William’s double-vision of foreign faces juxtaposed with decorous English ones evokes a feeling of radical unfamiliarity. William, however, seems unable to take these threads and weave them together. His mind seems to flee from the images, not stroll among them. Bredely Hall does not allow the freedom of movement to wander in search of his vocation.

The most troubling part of the ballroom and church scenes seems to be William’s inability to sort, distinguish, or impose order on these unruly thoughts.

⁹ It is impossible to use this phrase without invoking W.E.B. Dubois and the concept of a racialized Other. Although this is not the primary focus of my argument, the invocation underscores the racial component of William’s double vision.

This discomfort parallels some readers' discomfort with the inability to sort, distinguish, or impose order on Byatt's unruly text. William is afflicted by the same unruliness in his work for Harald, seemingly without any pleasure. Facing the mountain of specimens that Harald purchased "with no clear priority of interest", William feels unequal to the task of systematically sorting these "higgledy-piggledy" treasures (Byatt 1992a: 28).¹⁰ The narrator states: "He could not devise an organising principle" to impose upon the "plethora of beetles or [...] sudden plague of frogs" (Byatt 1992a: 29). The word "plague" here recalls the "plague[s] of biting flies" he described in the jungle. These are the only two times Byatt uses the word "plague" to describe an overwhelming number of troubling objects. Its repetition here transfers the subtext of fear and danger written in the journal from living specimens to dead ones, from his work in the past to his present occupation. Furthermore, since this passage immediately follows the scene in the church, the reader is encouraged to connect the two scenes of discomfort, alike in their lack of organization, and in William's inability to place things where they belong (memories or specimens), or even to know where that place is ("out there" or in here). He wants to devise an organizing principle for his career, his life, his (literal and metaphorical) place in the world. William is doing a kind of scientific work, but, like readers searching for an "organising principle" to unlock the Idea behind the novella, it is the wrong kind of work. By misplacing his goal, he puts the search for a true vocation in peril.

Searching for an organizing principle to sort Harald's higgledy-piggledy collection is not the work that William wants to be doing, nor is this the model for reading that Byatt recommends. He wants to return to the Amazon to research an unstudied ant species called *Eciton burchelli*. In his description of this ant, he introduces our metaphor for reading practice: William suspects these ants are "perpetual travellers who form only *temporary encampments*... they *must* be perpetually on the move in order to survive" (Byatt 1992a: 18-19; original emphasis). Although his wealthy host promises to fund an expedition in the future, he persuades William to extend his visit at Bredely Hall in the meantime. Delaying this venture stalls his search for a vocation, a life in which work and pleasure comfortably co-habitate.

William's journal introduces the novella's intertextuality and establishes the doubleness of William's text and his experience of life in England. However, after the reader's first direct glimpse of the journal's pages, they disappear entirely from

¹⁰ Byatt takes this unusual descriptor from one of Darwin's letters written shortly after the publication of *Origin of the Species* in 1859: "I have heard by round about channel that Herschel says my Book 'is the law of higgledy-pigglety.' What this exactly means I do not know, but it is evidently very contemptuous. – If true this is great blow & discouragement" (Darwin 1859: np).

the novella. After he marries Eugenia and the desire he recorded in his journal is fulfilled (“I shall die if I cannot have her”), after the Amazonian travels that inscribed life and texture into their pages end, the text seems to have outlived its utility. Upon the birth of his fifth child, William contemplates his life: “For he was not happy. He had perhaps never been exactly happy, though he had had what he desired, what he had written in his journal he had desired. [Note the verb tense here – *bad* desired.] He was unhappy for many reasons. Most of all, and every day, he worried that he had lost his sense of purpose, even vocation” (Byatt 1992a: 84). Originally, his journal led him toward his vocation, but his desire for Eugenia derailed his career and trapped him in the domestic space of Bredely Hall. Here, a balance of personal and professional desire could not be sustained, and the former swallowed up the latter. Now he needs a new kind of writing to find and fulfill a different desire, a text to take the journal’s place, one that can once again help him find his vocation and render his life “alive with a purposeful happiness”, as the journal once did (Byatt 1992a: 11).

Matty Crompton leads him to just such a text. When she suggests that they observe the local species of social insects and record their findings, William feels that, by “put[ting] him in the way of purposeful activity again” she had “transfigured [his] prospects” (Byatt 1992a: 88, 109). It is key, though, that this transfiguration hinges on authorship. This time, he writes a naturalist work of nonfiction entitled *The Swarming City: A Natural History of a Woodland Society, its polity, its economy, its arms and defences, its origin, expansion and decline*, about twelve pages of which are embedded within Byatt’s novella. His journal chronicled a personal journey that led to a professional, public persona. Now this public, professional text will lead him to personal happiness. It enables him to escape the stagnant domestic space of Bredely Hall and shift his romantic interest from Eugenia, a creature of that space, to Matty, someone eager to travel, a suitable partner for his personal and professional life.

More than a uni-dimensional, professional text, *The Swarming City*’s generic complexity endows it with transformative potential for author and reader. Initially, William resists Matty’s suggestion to write a book, claiming that he does not have time to write a “major scientific study” (Byatt 1992a: 108). She counters by suggesting that he write a “natural history”, a term that accounts for the multifaceted text that she envisions. She imagines this book as: “something very interesting to a general public, and yet of scientific value”; “useful – and dare I say it – *profitable*”; William could share his “very great knowledge” but with the requisite “drama [...] to appeal to the general public”; the book will be “*delightful* as well as profound and truthful” (Byatt 1992a: 108-109, 120; original emphasis). Unlike William and his journal, in conceiving of this text Matty focuses on the

reader as much as the writer. She wants to find an appropriate venue for William’s talents, but also to shape his text to appeal to a real audience and market. Matty’s book concept is more democratic. It has the potential to provide pleasure and edification; scholarship and financial gain. Like Byatt, Matty envisions a reader’s dialogical, open-minded, and curious engagement with the text.

Writing *The Swarming City* as Matty recommends leads William to his vocation. William was the author and sole reader of his previous text, his journal, and the genre’s inherent insularity limited its effectiveness. It may sound counterintuitive to claim that a journal, which undoubtedly encourages and records self-reflection, could, by its very nature, hinder personal development. It may sound equally strange to suggest that the journal that begat the “ant-watcher” and “great naturalist” could not precipitate William’s professional development. But if it had begun to do either, William himself confirms that this progression ceased at Bredely Hall. Personally, he became a somewhat estranged husband and professionally, he was demoted to an assistant for Harald and a governess during the children’s science lessons.

No resident of Bredely Hall maintains a proper balance of public and private, personal and professional, and no member of the Alabaster family finds happiness or success in either realm. Insular to the extreme, this domestic space engenders terrible, taboo behaviors, even an incestuous relationship between Eugenia and her brother Edgar. In this sense, Bredely Hall can be read as an anti-Darwinian space that rejects the essential precursor to progress, genetic diversification. Certainly such a place would be toxic to the continued development of a “great naturalist”. The lovely, lily white Eugenia’s relationship with Edgar leads to the death of her fiancé, the failure of her marriage to William, and the propagation of several sibling-children. Likewise, while Edgar appears to represent the ideal Victorian male, his personality is dangerously unbalanced. Byatt describes his ideal qualities: “a big, muscular man, his blond hair crimping in windswept, regular waves over his long head”; the eldest son and heir of “an ancient and noble family, who had always been very pure-blooded”; equally comfortable waltzing (“his large feet moved quickly and intricately, tracing elegant skipping patterns”) and riding horses (Byatt 1992a: 5, 25, 5). However, William observes that Edgar’s body displays a stifled, “pent-in force” that foreshadows the ugly private behaviors that Edgar conceals, his hidden “centaur or satyr” (Byatt 1992a: 123, 29). In addition to being his sister’s longtime lover, Edgar is also an unabashed rapist. When William encounters Edgar in the scullery raping a young female servant, Amy, who William had noted earlier was “no more than a child”, Edgar shows no embarrassment or remorse (Byatt 1992a: 86-7). Rather, he attacks William for interrupting them and demands that William apologize and leave. Neither Eugenia nor Edgar travel from

Bredely Hall, neither has a profession to balance his or her personal life, and neither seeks nor discovers a vocation such as William pursues. As Shuttleworth points out, “William chooses ‘dusky’-skinned Matty, member of hardier stock than those effete, interbred specimens produced by the leisured aristocratic life at Bredely Hall” (2001: 158). William could never enjoy a happy marriage in the Alabaster home but *The Swarming City* will enable a happy marriage of desire and vocation for William and Matty.

Writing *The Swarming City* enables the appropriate balance of public and private in William’s re-emerging vocation and reverses the valence of the disorienting double vision that he experienced earlier in the novella. The book’s multiplicity, as Matty envisions it, appeals to publishers and therefore provides him with the financial resources to leave Bredely Hall and its immoderate privacy. With his book advance, he and Matty purchase two berths on Captain Papagay’s ship and journey to the Amazon together. Instead of halting his forward trajectory as the journal and Eugenia did, postponing his travels and rooting him at Bredely Hall, this text renders him a traveller once again. Ultimately, *The Swarming City* leads him back to the Amazon, back to his career, accompanied by a partner in work and romance.

I suggest that we can reimagine the experience of Byatt’s readers when they encounter embedded texts as a kind of travel too. It’s not just what they see, but the places they go as they read further and further into another story. It’s the way their eyes move over the page on a self-guided journey as they navigate from texts by one author to another, and back again. The multiplicity of intertexts in “Morpho Eugenia” undermines a hierarchical approach to reading. It rejects an organizing principle that would privilege one text in order to suppress another. Instead of the strict hierarchy of, for example, a manor house or a family tree, the novella’s intertextuality is better represented by the continual movement of a perpetual traveller. William and Byatt encourage their readers to compare ants with humans, to see what the ants can show us about ourselves, but then to look beyond such a figure because “Analogy is a slippery tool” (Byatt 1992a: 116). The metaphor of perpetual traveller reveals William’s compulsion to keep moving within and beyond the novella, a compulsion shared by readers. Both *The Swarming City* and “Morpho Eugenia” render William a perpetual traveller. While Captain Papagay does return to his wife in England in the next novella, “The Conjugal Angel”, William and Matty do not reappear. William un-countrys himself, becomes a perpetual traveller, and thereby achieves happiness and satisfaction. For Byatt’s reader, his journey never ends.

If Byatt’s readers embrace the reading practice “Morpho Eugenia” recommends, their journeys will never end either. Some critics have disparaged neo-Victorian

novels such as *Angels and Insects* for presenting thinly veiled nostalgia for Britain's colonial past, for resisting the globalizing trend in new British fiction by re-enacting outdated frameworks of perception. I would argue that the perpetual-traveller reading practice challenges that perception by resisting a hegemonic narrative, by rejecting the idea of origin or destination. Like William, if the reader un-countrys herself when confronted with otherness, if she engages with and embraces the unfamiliar, she will embark on an endless global journey. Rather than colonial nostalgia, Byatt's work transforms the desire to return to a Victorian past into a desire never to return to anywhere, or to acknowledge that such an origin exists. This produces a distinctly, even radically global model of readership. Byatt's intertextuality creates a kind of Barthian *texte* without beginning or end. Like William, Byatt's reader becomes a perpetual traveller, compelled to roam from text to intertext, and thoroughly enjoys the journey.

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**REASSESSING JOHN STEINBECK'S MODERNISM: MYTH, RITUAL,
AND A LAND FULL OF GHOSTS IN *TO A GOD UNKNOWN***

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ABSTRACT. *The aim of this paper is to reassess John Steinbeck's presence and significance within American modernism by advancing a myth-critical reading of his early novel *To a God Unknown* (1933). Considering the interplay between this novel and the precedent literary tradition and other contextual aspects that might have influenced Steinbeck's text, this study explores Steinbeck's often disregarded novel as an eloquent demonstration of the malleability of myths characteristic of Anglo-American modernism. Taking myth-ritualism—the most prominent approach to myth at the time—as a critical prism to reappraise Steinbeck's own reshaping of modernist aesthetics, this article examines recurrent frustrated and misguided ritual patterns along with the rewriting of flouted mythical motifs as a series of aesthetic choices that give shape and meaning to a state of stagnation common to the post-war American literary landscapes, but now exacerbated as it has finally spread, as a plague of perverse remythologization, to the Eden of the West.*

Keywords: John Steinbeck, Modernism, myth-criticism, myth and ritual, American literature, *To a God Unknown*.

EL MODERNISMO DE JOHN STEINBECK: MITOS, RITOS Y UNA TIERRA LLENA DE FANTASMAS EN *TO A GOD UNKNOWN*

RESUMEN. *El objetivo de este trabajo es revisar la relevancia de John Steinbeck como autor modernista a través de una lectura mito-crítica de su novela To a God Unknown (1933). Tomando en consideración las intersecciones entre el texto de Steinbeck y la tradición literaria que le precede, así como otros aspectos contextuales significativos, este estudio explora un texto poco considerado hasta ahora para demostrar que la novela de hecho constituye una demostración elocuente de la maleabilidad de los mitos tan típica del modernismo anglo-americano. Para ello, este artículo emplea el mito-ritualismo (la escuela mito-crítica más prominente en aquel momento) como prisma crítico para examinar los recurrentes ritos fallidos y los patrones míticos reinterpretados que en la novela dan cuenta de un estado de degeneración propio del paisaje literario modernista en los Estados Unidos, un estado que aquí se ve exacerbado por haber alcanzado, por fin, como si de una plaga re-mitologizante se tratase, el Edén del oeste americano.*

Palabras clave: John Steinbeck, modernismo, mito-crítica, mito-ritualismo, literatura de los EE UU, *To a God Unknown*.

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1. INTRODUCTION

Most of John Steinbeck's major works, such as *The Pastures of Heaven* (1932), *The Grapes of Wrath* (1939), or *East of Eden* (1952), give account of a remarkably well-known use of traditional myths that refuses to take for granted any sense of truth that might be imbued in those myths—what Pugh defines as a “sense of ‘naturalness’ that corresponds to the version of reality promoted by accepted myths and masterplots” (Pugh 2006: 74). Over the decades, this reluctance to take myth at face value has attracted a significant amount of critical debate, which mostly has focused on exploring how, in order to challenge an unquestioning acceptance of traditional myths as natural narratives, Steinbeck's major novels tend to reinterpret and *rewrite* myth by combining and superimposing divergent mythical templates. An illustrative example of this might be found in the juxtaposition in one single narrative of different tropes and motifs from the Old and the New Testaments in *The Grapes of Wrath* (the Flood, the Exodus, and Jesus Christ's Sacrifice), or in the coalescence of the Exile of Eden, the Parable of the Prodigal Son, and varied pagan esoteric myths in *East of Eden* (Pugh 2006: 74). In the earlier and much less often critically considered *To a God Unknown* (1933), however, the process of mythical representation—fundamentally influenced by the principles of

myth-ritualism dominant in Anglo-American literature in the nineteen-twenties—is observably more straightforward and, yet, as this study aims to demonstrate, also undermines the ‘naturalness’ of dominant mythical narratives in a way that calls for a reappraising of Steinbeck’s use of myth within the context of American modernism.

As one of the earliest novels published by John Steinbeck, *To a God Unknown*—the story of a man who moves to California to establish a homestead and, after a terrible drought, sacrifices his own life to ensure the prosperity of his land—gives account of a particular view of American life characterized by a “closeness” to the extremely pessimistic view expressed in the works of those who Warren French eloquently described as “the Wasteland writers” of the nineteen-twenties (1975: 51). French used this label to refer to “the fictional chroniclers of the Lost Generation” (51), meaning authors such as Dos Passos, Fitzgerald, Hemingway and Faulkner, whose novels from the previous decade were highly influenced, symbolically and ideologically, by T.S. Eliot’s *The Waste Land* (1922), and which, perhaps more significantly, contributed to a representation of the post-war Zeitgeist as a literary fiction mostly characterized by a “widely prevalent world-weariness” (French 1975: 51). Even though Steinbeck would later on become progressively separated from these writers, artistically speaking, as his career expanded in the following decades, in the early nineteen-thirties the interplay between Steinbeck’s writing and the literary trend that years later Frank Kermode would define as “wastelandism” (1967: 113)—and Saul Bellow would denounce in his novel *Herzog* declaring “the commonplaces of the Wasteland outlook” (1965: 81)—constitutes a significant trait of Steinbeck’s modernist aesthetic that deserves new critical attention. Hence this article reassesses Steinbeck’s *To a God Unknown* as a “mystical tragedy” (French 1975: 179), “[a] product of the pervasive mentality of the Waste Land years of the 1920’s” (170) that represents the story of “[an] America turned wasteland in the Depression era” (Post 1993: 8). On this basis, this essay will precisely probe into the mythical mechanisms that configure this particular image of an American wasteland. Taking into consideration the influence of the immediately precedent literary tradition, but also Steinbeck’s personal contact with myth-critic Joseph Campbell, to whom he read selections from his draft of *To a God Unknown* (Simkins 2007: 13), this article will then explore Steinbeck’s often disregarded novel as an enlightened demonstration of the malleability of myths as “dynamic shapers of consciousness” (Pugh 2006: 74). Such mythical malleability, as will be explained, is typical of modernist literature and cannot be fully understood without considering the influence of myth-ritualism, the most prominent school of myth-criticism at the beginning of the past century and which serves in this study as a critical prism to reconsider Steinbeck’s presence and significance within American modernism.

2. FROM RITUAL TO DISJOINTED ROMANCE

As briefly mentioned before, myth in Steinbeck's novels often operates not as an immovable master narrative, but as an "adaptive narrative" (Simkins 2007: 13). This reveals a critical thinking towards myth that understands that, to control, order, and give shape and significance to the anarchic and futile contemporary world, paraphrasing T.S. Eliot (1952: 426),¹ myth cannot simply be retold: it has to be adapted, that is, rewritten. The 'naturalness' of myth is effectively undercut. Myth is instead revealed as a discursive strategy "fundamentally about the transformation of chaos into harmony" in a way that "includes all the axiological and ethical aspects of life" (Meletinsky 1998: 156). For it was modern ethnology that demonstrated that mythopoesis is an act of symbolic codification, representation, classification and reinterpretation of reality (1998: 116). This vision coincides with Post's argument that Steinbeck's novel develops the notion that humankind's account of myths is necessarily transformative and in constant evolution, because all stories are built by arranging a fixed set of disjointed images in different, changeable ways (1993: 8). But this recognition of the malleability of myth is inextricable from Steinbeck's literary context. As this essay claims, it is the modernist remaking of myth that exposes that, as Manganaro insists, myth is a cultural fabrication for it "expresses the culture within which it works" (1998: 153). The malleability of Steinbeck's myths is the malleability of modernist art, with its emphasis on change and disjunction. The modernist writer "makes myths, which in Eliotic terms means he shapes them actively, suppressively, orderingly, out of cultural material rather than simply expressing or mourning them" (Manganaro 1998: 163).

The use of myth in modernism, specifically as it concerns the efforts of the 'wasteland writers,' is then an active process of myth-making, and Steinbeck's *To a God Unknown* participates in the process. Looking closely to the mythical structures of the text, the disjointed images that are reshaped and set in a new order to make the myth anew may indeed be identified with the mythemes that make up the Waste Land myth. These mythemes are motifs such as the blighted land, the maimed king, the knight, or the Grail, which are decomposed and reassembled in the text into a multitude of ambiguous symbols that, as will be explored, give shape to the typically modernist myth-ritualistic narrative that we find in the 'wasteland novels'.

In Arthurian mythology, there is a Maimed King that governs over the Waste Land. The character, often known as the Fisher King, appears for the first time

¹ T. S. Eliot theorized his "mythical method" in the essay "Ulysses, Order and Myth," where he argued that the use of myth in modern literature was "simply a way of controlling, of ordering, of giving a shape and a significance to the immense panorama of futility and anarchy which is contemporary history" (1952: 426).

in the earliest extant version of the Grail myth, the *Conte del Graal* of Chrétien de Troyes, an unfinished courtly romance composed probably between 1175 and 1190 (Loomis 1992: 28). This Maimed King has been wounded between the thighs and has become sterile. Due to the mystical, sympathetic connection between the king and his kingdom, his sterility has spread to the land, and so for the land to be restored, the young Grail Knight must relieve the king by either finding the Grail or the meaning of the Grail. In later versions of the tale, as critic Northrop Frye explained in his studies of medieval romance, the pursued healing of the king is displaced into a narrative of dynastic succession (1976: 12) about “the replacement of an aged and impotent king by a youthful successor” (12). At the beginning of the twentieth century, it is worth noting, this narrative of dynastic succession that structures the myth of the Waste Land had become inextricably bound to the principles of myth-ritualism as advanced by the anthropologist James. G. Frazer.

Of all the schools of thought that have analysed Arthurian mythology, the most relevant for understanding early twentieth-century literature is the ‘myth and ritual’ school. This school, also known as the school of the Cambridge Ritualists, was formed by a group of classical scholars who, in the decade before First World War, applied James G. Frazer’s theory of myth and ritual to classical mythology and early forms of classical drama (Segal 1999: 49). Some years later, a pupil of the Cambridge Ritualists, Jessie Weston, applied the myth and ritual theory to the study of the Grail Legend in her seminal book *From Ritual to Romance* (1920), which influenced T. S. Eliot’s representation of the Waste Land myth in *The Waste Land* and thus conditioned how the myth would feature in Anglo-American literature in the following decades.

The main claim of myth-ritualism in general terms is that “literature harks back to myths that were originally the scripts of the key primitive ritual of regularly killing and replacing the king in order to ensure crops for the community” (Segal 1999: 44), a notion that Weston applied to her studies, bringing about a critical revolution in the field of Arthuriana. For the first time, in Weston’s book the story of the Grail was critically dissociated from Christianity, reverting the ideological turn entailed by the medieval (Holy) Grail, a sign of the “revolution in mythology” brought about by Christianity (Hocart 2004: 26). The suggestion instead that the medieval myth of the Waste Land was in fact the literary evolution of an ancient fertility rite sprang, of course, from Frazer’s extraordinarily influential *The Golden Bough* (1890), in which the anthropologist argues that myth emerges as the narrative transposition (as either a script or an explanation) of ritual ceremonies. The primeval ritual described by Frazer is a rite during which the tribal king is sacrificed by the tribal community when he falls ill or when his strength diminishes (Frazer 1963: 308-329). This sacrifice, magically bound to the passage of the

seasons, is aimed to warrant the restoration of the crops in springtime, since, according to Frazer's hypothesis, tribal cultures held the belief that the fertility of the land depended upon the strength and vigour of the king.

The aim of the ritual was to prevent the aging, sickness, and natural death of the king, which would be calamitous for the land and the tribe, as the body of the king was believed to contain the spirit of vegetation. This is what Robert Segal defines as "second myth-ritualism," separating in two stages Frazer's hypothesis. According to Segal's explanation (1999: 39), in a first stage of Frazer's anthropological studies, myths in ancient, tribal cultures are presented as describing the life of the god of vegetation, and rituals are dramatic enactments of such myths that operate on the basis of homoeopathic magic; that is to say, practical magic that follows the principle that "like produces like" (Frazer 1963: 14). In this view, fertility rites observed by men in ancient civilizations are in fact the dramatic representations of the phenomena that they were trying to facilitate for, as Frazer writes, "it is a familiar tenet of magic that you can produce any desired effect by merely imitating it" (377). From this standpoint, rituals are understood as means to control the god of vegetation and not to manipulate vegetation directly (Segal 1999: 39-40). In the second stage of Frazer's myth-ritualist hypothesis, however, the figure of the divine king is introduced. Whereas in the first stage the tribal king had played the part of the god of vegetation during the celebration of homeopathic rites, in Frazer's second version of myth-ritualism the king is himself conceived as divine, since it is believed that the vegetation god resides in him. The regenerative ritual that results from this belief is the sacrificial killing of the divine king. Myth is thus regarded as the "script" of ritual (Segal 1999: 44), and not as a story explaining the beliefs that support the ritual. In successive times, according to myth-ritualism, myth—understood as the script of the sacrifice ritual, that is, as existing *after* the ritual—undergoes a gradual narrative evolution, from describing a ritual in origin to eventually developing literature, in general, or the Waste Land romances, in the specific case of Weston's hypothesis. Romance, a typically medieval literary 'mode' the matter of which is "the victory of fertility over the waste land" (Frye 1971: 193), focuses then on the topic of healing the king or, eventually, of 'killing the king.' In Segal's words, "'The king must die' becomes the familiar summary line" of this chivalric adventures (Segal 1999: 44).

3. THE KING MUST DIE

'The king must die' could certainly summarize the plot of *To a God Unknown*. The novel opens with a scene of quasi-royal succession between a father and his son, Joseph, that, by describing a moment of genital contact between both

characters, suggests a transaction of sexual potency: “Come to me, Joseph. Put your hand here—no, here. My father did it this way. A custom so old cannot be wrong. Now, leave your hand there!” He bowed his white head, “May the blessing of God and my blessing rest on this child” (Steinbeck 1979: 3). The “white head” of Joseph’s father indicates a succession very close to Frazerian principles, in which the old ‘king’ is transferring the spirit within him to a vigorous successor. The fact that the scene focuses on the transference of sexual potency is indisputably Frazerian too, for as Frazer hypothesizes, “the fertility of men, of cattle, and of the crops is believed to depend sympathetically on the generative power of the king” (1963: 313). This sympathetic identification between the king and his land is all-pervading in *To a God Unknown*, but also, as will be explained, heavily misplaced. Joseph realizes: “His father and the new land were one,” (Steinbeck 1979: 6); and, not much later: “My father thinks he is almost a god. And he is” (12).

Joseph’s father is indeed mythically characterized as a man-god that Frazer would describe as “a human being endowed with divine or supernatural powers” (Frazer 1963: 106). As a priest, or as God himself, he anoints Joseph right before he dies, and so Joseph inherits his father’s ‘divinity’. Mystically connected to the land, the ties that bind him are explicitly described in sexual terms: “As he rode, Joseph became timid and yet eager, as a young man is who slips out to a rendezvous with a wise and beautiful woman. He was half-drugged and overwhelmed by the forest of Our Lady. There was a curious femaleness about the interlacing boughs and twigs, about the long green cavern cut by the river through the trees and the brilliant underbrush” (Steinbeck 1979: 4). The image of a “long green cavern” eloquently establishes the tone of a series of increasingly sexualized descriptions—e.g., “as he looked into the valley, Joseph felt his body flushing with a hot fluid of love” (7)—that culminate in a clear act of fecundation:

He stamped his feet into the soft earth. Then the exultance grew to be a sharp pain of desire that run through his body in a hot river. He flung himself face downward on the grass and pressed his cheek against the wet stems. His fingers gripped the wet grass and tore it out, and gripped again. His thighs beat heavily on the earth.

The fury left him and he was cold and bewildered and frightened at himself. He sat up and wiped the mud from his lips and beard (...) He tried to remember exactly what had happened. For a moment the land had been his wife. ‘I’ll need a wife,’ he said. ‘It will be too lonely here without a wife.’ (9)

Despite the exuberant sexuality of the description, it may be helpful to remember that, according to the principles of ritualistic sympathetic magic, the divine king is not meant to literally fertilize the land. On the contrary, the divine king must be able to reproduce his own kind, so that his reproductive capacity can

be transferred by the law of similarity (Frazer 1963: 12) to the crops and cattle. This circumstance reveals that, in spite of the clear identification between Joseph and Frazer's divine king, and despite the insistent sexualisation of Joseph's connection with the land—at times a bit forced and awkward, which might suggest some form of irony—the rules of the homeopathic magic that supposedly sustain the mythical sympathetic connection between the king and his land are flouted:

When he walked bareheaded through the fields, feeling the wind in his beard, his eyes smouldered with lust. All things about him, the soil, the cattle, and the people were fertile, and Joseph was the source, the root of their fertility; his was the motivating lust. He willed that all things about him must grow, grow quickly, conceived and multiply. The hopeless sin was barrenness, a sun intolerable and unforfeitable. (Steinbeck 1979: 27)

The fact that Joseph intends to will things into happening facilitates his identification with a kingly figure, but ironically his desire contravenes the character's ritual function. He cannot *will* the land and cattle to be fertile. He can only be the source of that fertility by means of action, and not desire: he must be fertile himself. His lust and passion are otherwise sterile and misplaced. As Post explains, "Joseph is preoccupied with the mystery of propagation throughout the course of the novel, but his thoughts are primarily concerned with the land's regeneration rather than his own generative desires" (1993: 62). The effect of this preoccupation is counter-productive. Demonstrating Joseph's failures in sympathetically connecting with his pasture, it is in those scenes that exacerbate the buoyant fertility of Joseph's land that the text highlights the character's sexual impotence: "One day Joseph stood by the pasture fence, watching a bull with a cow. He beat his hands against the fence rail; a red light burned in his eyes. As Burton approached him from behind, Joseph whipped off his hat and flung it down and tore open the collar of his shirt. He shouted, 'Mount, you fool! She's ready. Mount now!'" (Steinbeck 1979: 28).²

Burton, Joseph's deeply Christian brother, believes that Joseph's worshipping of trees and other outwardly pagan practices are blasphemous and dangerous, and so he warns Joseph that he is behaving queerly, that people might think his interest in the bull's mounting might be personal, and that "the Scripture mentions

² The choice of the bull as emblem of fecundity is anthropologically justified. It is not incidental that Ernest Hemingway's celebrated 'wasteland novel' *The Sun Also Rises* (1926) recreates the degradation of bullfighting, a sacrificial rite of fertility, corrupted and stripped of all meaning once it becomes a form of vain entertainment for the spiritually malcontent characters of the novel. As anthropologist Pitt-Rivers explains, in the speciesist social construction of bulls they signify "the tireless coupling capacity attributed to animals" and combine "masculine moral virtues as well as the animal virtues that ensure fertility" (1997: 111, my translation). Bulls are thus emblems of sexual vigour and fecundity, and as such they appear recurrently in Steinbeck's text.

such forbidden things" (28). Far from denying such accusations, however, Joseph admits to them: "They might say I felt like the bull. Well, I do, Burton. And if I could mount a cow and fertilize it, do you think I'd hesitate? (...) If feeling could put a cow with a calf, I could mount a hundred. (...) Everything on the land is reproducing. I am the only sterile thing. I need a wife" (29).

The text states explicitly that Joseph is sterile, a circumstance that, in both ritual and mythical terms, can only result in the wasting of the land. Rama, Joseph's sister in law and a character symbolically connected to maternity and fertility, describes Joseph in clearly mythical terms as a divine figure: "there are men born outside humanity (...) Joseph has strength beyond vision of shattering, he has the calm of mountains, and his emotion is as wild and fierce and sharp as the lightning and just as reasonless as far as I can see or know (...) You cannot think of Joseph dying. He is eternal. His father died, and it was not death" (79). Joseph is eternal because, as an "incarnate human god" (Frazer 1963: 105), he mythically embodies the divine spirit that, would Joseph have an heir to succeed him, will live on after Joseph's physical death, as it has lived before him, incarnated in his father and in the great oak tree that Joseph identifies with his father's spirit throughout the novel.

4. A VIBRATION OF HORROR

It is significant that, even though the text insists on underlining Joseph's sterility, his ranch is not afflicted by his plight until his wife, Elizabeth, dies tragically in what once again constitutes a failed rite of fecundity. This tragic moment exacerbates to the point of no return the sexual and vital frustration she and, by extension, Joseph, had experienced since their foreboding wedding rites.

When Joseph begins courting Elizabeth, a character also mythologized and described as possessing a "preternatural knowledge" (Steinbeck 1979: 38), he finds her "tense to repel his attack upon her boundaried and fortified self" (51). Gradually, however, her reluctance starts to fade and, as her sexual desire awakens, she finds out that those thoughts that she thought were "foul and loathsome like slugs" (51) are in fact "light and gay and holy" (51). Elizabeth, like Joseph, also has fantasies of fecundity that, in her case, crystallize in Madonna-like images of herself, as she imagines her own body nursing Joseph, holding her breast to his lips and "pouring the hot fluid of herself toward his lips" (51). Fecundity and nurturing are once again misplaced. From the beginning of their courtship, in a narrative strategy that recurs all throughout the novel, the text raises expectations of life and fecundity, only to thwart them immediately afterwards. Soon enough, as Elizabeth daydreams of holy motherhood, her fantasies are interrupted by the

appearance of Benjy, Joseph's alcoholic brother, and she falls immediately and passionately in love with him. Right away, however, she suppresses her feelings in a self-harming act of sacrifice and makes the fatal decision to marry Joseph against her own desires. From this moment on, the wedding rites, teleologically oriented to ensure the couple's fecundity and, by mythical extension, the prosperity of Joseph's ranch, are doomed to lead only to frustration.

The wedding is held almost a year later, in winter, in a "sombre boding ceremony" (57), and in a church that "had so often seen two ripe bodies die by the process of marriage that it seemed to celebrate a mystic double death with its ritual. Both Joseph and Elizabeth felt the sullenness of the sentence. 'You must endure,' said the church; and its music was a sunless prophecy" (57). The description is quite terrible, as it corrupts a supposed ritual of fertility well beyond foreboding its futility by celebrating a "double death," an ominous prophesy corroborated when the characters' first sexual encounter is replaced by a mystical crossing of a mountain penetrated by the couple through a narrow split in the rock. The principles of sympathetic magic are again misapplied. Joseph misplaces his sexual energy and wastes his chance to be fertile. In the mountain, Elizabeth is afraid to cross, but Joseph insists that the crossing into the rock is their true marriage, an action described as "entering the passage like sperm and egg that have become a single unit of pregnancy" (63). Once they have crossed, however, nothing feels different for Elizabeth, and she is immediately abandoned there by Joseph. One more time Joseph has replaced his own generative power, which he might have executed through actual intercourse with Elizabeth, with a symbolic and barren ceremony by means of which he literally and uselessly tries to fertilize the land, "entering the passage like sperm" (63).

Joseph's insistence on performing rituals, or adhering to a symbolic experience of life, stresses the banality of myth and ritual in way that is particularly modern, as it replaces actual, magically-bound rituals with empty performances, with symbolic recreations of life that are disconnected from life. Examples are many in the novel. As a divine-king figure, Joseph should be presented with offerings and sacrifices; but instead he is the one performing the ritual, killing and offering calves to an oak tree that he worships. He even offers his own first-born child to the tree, assigning to his heir the meaning of a useless token and later on sending the child away, definitely interrupting a process of divine succession that, explicitly at the beginning of the novel, had originally bound Joseph to the land. Joseph's son should embody the man-god's indispensable fecundity. His birth is announced at the end of winter, symbolically anticipating and—from the perspective of myth-ritualism—bringing forward the coming of spring. But again expectations of fecundity are thwarted. As Elizabeth's pregnancy progresses, she

grows sick; weakened with fear and illness, she decides to visit the holiest place in Joseph's land: the grove among the pine trees that hides a rock and a stream. It is a talisman of fertility for native American women; for Joseph, it is a sacred place to visit in time of need to "be fed" (Steinbeck 1979: 37), for in the groove there is a rock believed to have nurturing as well as generative and healing properties: the novel's Grail, apocalyptically reinterpreted into a talisman of death.³

In a summary of what he calls "the chief romances of the Grail," Loomis identifies four basic forms adopted by this magical object in the medieval sources: a dish, a chalice, a stone, and a salver (Loomis 1992: 2). As it is represented in John Steinbeck's *To a God Unknown*, the Grail takes the form of a stone, hidden in a truly dangerous 'Perilous Chapel' that is described as "something like an altar that had melted and run down over itself" (Steinbeck 1979: 29). Unexpectedly, however, even in the modern degenerate world that remained in the wake of the 'wasteland writers', the source of peril in this chapel is the Grail itself which, from a source of life and sustenance, has been irredeemably transformed into a deadly weapon.

The rock, in the centre of the "holy" glade, is described as "big as a house, mysterious and huge (...) shaped, cunningly and wisely" (35). Elizabeth's mind wrestles with "its suggestive shape" (119) and, even though "there was no shape in the memory to match it" (35), the phallic symbolism is easily traceable when confronted with a second image present in the grove: a great black bull, hornless, but with a "long, black swinging scrotum, which hung nearly to the knees" (36). This description of the bull and its genitalia emphasizes sexual potency as it befits its emplacement on a mythical space where native Americans go in search of vigour and fecundity. The image, like the supposedly nurturing rock, raises expectations of fertility, but these are immediately frustrated: the bull is hornless, that is, powerless in a way that suggests an eschatological mythical representation of a world that has come to its end (Post 1993: 56).⁴

³ One of the Arthurian romances that has been more influential in modern culture, the *Parzival* of Wolfram von Eschenbach (c. 1170 – c. 1220) that inspired Wagner's *Parsifal* (1880), is remarkable among the Grail sources because of how it reconciles the conception of the Grail as a pagan talisman of plenty and as a sacred container of the Corpus Christi. But even more significantly for a myth-critical interpretation of *To a God Unknown*, Eschenbach represents the holy, nurturing grail as a stone that "receives all that is good on earth of food and drink, of paradisaic excellence" (Eschenbach 1980: 240). Joseph Campbell, who as mentioned read the draft of Steinbeck's novel, connects the representation of the Grail as a stone in Eschenbach with the philosopher's stone of alchemy (1968: 429) and, following Nietzsche, he criticizes its transformation into a "glowing super-chalice of Christ's blood" in Wagner's *Parsifal* as being "a note of Christian sanctimoniousness that is inappropriate" (430).

⁴ Post sustains this claim in relation to the presence of bulls in Finno-Ugric mythology, which identifies the bull's horns as "the life force itself" (1993: 56).

Ritualist and mythical emblems of fecundity are then portrayed ambivalently. They prove to be unreliable for Elizabeth, who, pregnant and sick, goes to the sacred glade seeking solace and healing. She contemplates the rock, this nurturing Grail-like talisman, and, initially, her irritated nerves settle and she undergoes a mystical experience that seems to corroborate the generative powers attributed to the stone by the old natives and by Joseph. She sees her own child in her womb, curled head-downward, and she sees him move as she feels him stir. But soon enough, immediately after the hope for fecundity is raised, Elizabeth's transcendent contemplation becomes suddenly terrible: "it came upon her that she could have anything she wished, and in the train of this thought there came the fear that she most wished for death" (Steinbeck 1979: 119). In that instant, the world changes around her:

There was a rustling in the forest now, not soft but sharp and malicious. She looked quickly at the rock and saw that its shape was as evil as a crouched animal and as gross as a shaggy goat. A stealthy cold had crept in to the glade. Elizabeth sprang to her feet in panic and her hands rose up and held her breasts. A vibration of horror was sweeping through the glade. The black trees cut off escape. There was the great rock crouching to spring. She backed away, fearing to take her eyes from it. When she had reached the entrance of the broad trail, she thought she saw a shaggy creature stir within the cave. The whole glade was alive with fear. (119-120)

In a traditional mythically-charged narrative, Elizabeth's visit to the rock should have ensured for the family the prosperity brought about by her pregnancy, that is, by the birth of a young successor for the divine king, whose reproductive capacity would be thus assured. But the opposite happens. Elizabeth feels literally attacked by the rock, which in her eyes transforms into a crouching creature, ready to launch at her. Mythologized nature is presented as a threat for the character's life, which sets an ominous precedent for the moment when Joseph's child is born and his birth, far from restoring the land, is followed by the death of Joseph's worshipped oak tree. The bark of the tree grows "as hostile as the rest of the earth" (141) and Elizabeth's sickness aggravates and spreads throughout the ranch.

Elizabeth blames the sacred rock, believing that "something malicious was in the glade, something that wanted to destroy [her]" (148). She vows to return when she feels better, wanting "to insult it because it frightened [her]" (148). She does, accompanied by Joseph, and on their way there they notice how the earth is turning white due to the persistent drought that has followed the death of the oak tree. In the glade however the stream by the rock is still running, and superstitiously Joseph believes that "it's as though the country were not dead while the stream is running"; that the stream is, "like a vein still pumping blood" (153). But terribly, one more time, the hopes for a recurrent, never-ending, persistent

life-force, and for the eventual, ever-recurrent regeneration of the land are soon frustrated. Elizabeth, no longer scared of the rock, decides to “climb up on its back and tame it” (153). Tragedy strikes immediately. As Elizabeth tries to climb, her heels digging “black scars” (154) in the rock, the moss covering the rock strips off and she falls, breaking her neck. Right away it begins to rain but, before the reader—but arguably not before Joseph, who will ultimately kill himself believing wholeheartedly in the generative potency of his ritual sacrifice—might be confused into interpreting Elizabeth’s death as a regenerative rite of sacrifice that will end the drought, the rain stops suddenly, and the clouds withdraw towards the ocean.

Elizabeth’s death only exacerbates the wasting of the land by decreeing Joseph’s sterility. Once again the rite of fertility—this time by means of a sacrificial death—is wrongly performed, as it deprives Joseph of his chance to reproduce. Right after he returns home that same night, Joseph finds Rama waiting for him naked, because she has understood that reproduction is “a need” (161) for Joseph. But even as “her hungry limbs drew irritably the agonizing seed of his body” (161), Joseph’s generative power proves indeed to be agonizing. Following his frenzied encounter with Rama, the plight of his land only aggravates as “the earth grew more grey and lifeless every week” (163). Joseph recognizes that “the duty of keeping life in [the] land is beyond [his] power” (167). He gives his child away and, with no chance of a successor that can inherit Joseph’s divine spirit, there is no longer hope for the crops, the cattle and the men in his land, now, from a myth-ritualist perspective, condemned to perish under a widespread disease (Frazer 313).

5. DEATH BY WATER

In the earliest version of the Grail myth that we have kept, the already mentioned *Conte del Graal* by Chrétien de Troyes, the young knight, Perceval, becomes “Perceval the Wretched” when he fails to ask about the meaning of the Grail that he saw being carried through the Fisher King’s castle. Had he asked about the purpose of that Grail, he “would have brought great succour to the good king who is maimed” because, as a result of the young knight learning about the magical properties of the Grail, the maimed Fisher King “would have totally regained the use of limbs and ruled his lands, and much good would have come of it” (Troyes 2004: 425). In an attempt to explain the core meaning of the myth, Joseph Campbell argued that the true problem that the Grail Knight must face in the varied versions of the Waste Land myth is “to ask the question relieving the Maimed King in such a way as to inherit his role without [inheriting] the wound” (Campbell 1968: 424). Such a claim explains the gist of how a story

about magically healing a divine king is displaced progressively into a narrative of dynastic succession in which the young knight acquires a certain knowledge that empowers him—thus inheriting the king's role—but remains healthy and vigorous.

However, by the time it reaches modernist American literature mostly through the influence of T.S. Eliot, the fragmented and disjointed representation of this mythical tale has suffered a series of transformations that impede the succession pattern explained as the core structure of the story by myth-critics such as Frye, Campbell or Segal. In Steinbeck's *To a God Unknown*, there is no successor to either literally or metaphorically kill the king and take his place, so Joseph must sacrifice himself in a last-resort attempt to restore the Waste Land. But by doing so, by killing himself at the end of the novel, Joseph counteracts the dramatic pattern observed in the initial succession when he became 'king'. He alone climbs onto the rock as Elizabeth did and slits the veins of his wrists. When the stream that crossed the glade finally runs dry, Joseph pours his own blood to irrigate the land.

This is the last act by means of which Joseph mistakes the principles of sympathetic magic. There is no magic beneath the performance of the rite because the performance itself carries out the action pursued by a magic that is thus finally revealed as non-existent. Joseph must feed the land himself with his own blood because he lives in a world without magic, with no hope of mystical regeneration. As presented in the novel, myth is representation with a believed but unreal substratum of mysticism, and thus the universal and naturalized understanding of myth—characteristic of myth-criticism even in the Myth and Ritual School (Manganaro 1998: 159)—is challenged in modernist literary myth-making. What Joseph performs is a barren act of sacrifice that assigns to the sick king the self-imposed role of redeemer, fusing and confusing mythical motifs that eventually disintegrate. The ailing king and “the redeeming hero, the carrier of the shining blade, whose blow, whose touch, whose existence will liberate the land” (Campbell 2008: 11) become one and the same. The constituent elements of the myth are reorganized and so the meaning contained in the myth is inevitable altered. As Lévi-Strauss famously argued, “if there is a meaning to be found in mythology, this cannot reside in the isolated elements which enter into the composition of a myth, but only in the way those elements are combined” (1955: 431).

And yet, even though Joseph's death explicitly contravenes the pattern of the myth, the rain finally comes after he dies, and, unlike it happened after Elizabeth's death, this time it does not stop. In celebration, the people of the town dance, chant, and pound the earth in a frenzy as the waters keep on rushing. It seems reasonable to think that regeneration has come. In some way, the ritual killing of the king has been performed, and as a result it seems that the drought has passed. But the killing of the king leaves no young successor behind, and so the final

regenerative ending suggests a sort of ambivalence that recalls the resignification of water as a symbol in the paradigm established by the 'wasteland writers'. After all, in Eliot's *The Waste Land* spring rain falls in April and the land is reborn, but the mythical, all-pervading Waste Land of the poem remains cursed. Perhaps, because as Madame Sosostris anticipates when she warns the reader to "fear death by water" (Eliot 2001: 55), we can no longer trust that the water that brings along the rebirth of the earth will also bring about the communal spiritual regeneration celebrated in traditional mythology.

The threat of a non-regenerative death by water—corroborated as true when, after Madame Sosostris's counterfeit Tarot cards actually predict with success the characters and events to follow in the poem, the reader has no choice but to trust her words (Brooks 2001: 207)—is a common trait in the 'wasteland' literature of the nineteen twenties. The "spring rain" (Eliot 2001: 4) makes April "the cruellest month" (1) as it forces new life into the Waste Land, where "the dead tree gives no shelter" (23) and the living have become a ghostly crowd "flowing" like water over London bridge, "undone" by death and undistinguishable from those who languish for all of eternity in Dante's Limbo (Eliot 62-64). In John Dos Passos's *Manhattan Transfer* (1925), the protagonist Ellen Thatcher accepts her final dehumanization "like someone drowning" (2000: 336) in a moment that "inexorably" (336) closes the character's life-denying evolution. Ellen's crystallization into a "porcelain figure" (272) began when she first married. During her wedding night, the feeling of the rain that "lashed in her face spitefully stinging her flesh" (113) triggered a crisis of anxiety that, as it happened to Joseph's wife Elizabeth when she first looked at the Grail-like rock, made her "want to die" (Dos Passos 2000: 113). She only recovered from this feeling by focusing on a song about an apocalyptic flood that leaves only one survivor: "long-legged Jack of the Isthmus" (113). At the end of *Manhattan Transfer* only one man survives the metaphorical flood: Jimmy Herf, who leaves the Waste Land of the modern city in a truck carrying living flowers away, and stands alone upon the isthmus that connects the continent with the concrete island of Manhattan. With only one man as sole survivor of the flood, in *Manhattan Transfer* as in *To a God Unknown*, there is no chance of succession, no chance of new life after the deluge.

In Fitzgerald's *The Great Gatsby* (1925), Jay Gatsby is getting ready to swim in the pool when Wilson shoots him and kills him at the end of the novel. He dies falling into the water. As he had told Nick right before, he had not used the pool all summer, and wanted to swim before the gardener drained it now that the dead leaves of autumn had started to fall and were clustering in the stagnant water. The confluence of death and water is evident in Nick's description of the body and blood of Gatsby in the pool: "A small gust of wind that scarcely corrugated

the surface was enough to disturb its accidental course with its accidental burden. The touch of a cluster of leaves revolved it slowly, tracing, like the leg of transit, a thin red circle in the water” (1991: 133).

As briefly observed in these examples, the transformation of water—traditionally a symbol of “spiritual fertility and the spiritual life” (Becker 2000: 322)—into a symbol of death is a constant in the symbolism of American modernism. Bearing this in mind when reassessing the ending of *To a God Unknown*, it follows that identifying the flood at the end of the novel as a threat of death by water for Joseph’s land is consistent with a myth-ritualistic reading of the text that examines the literality of Joseph’s misguided ritual performances, and it also serves to fully integrate the novel into its literary context. As Post also notes, “[Joseph] will become a part of the earth-cemetery on which the living will continue to scamper and scramble” (1993: 72). From the beginning of the novel, rites of regeneration have been consistently proven to be futile, and restorative sacrifices have been shown to be ineffectual. The magic energy theorized by myth-ritualism is lost in representation. Drought or flood, death is inescapable. Even before Elizabeth’s death, before the rotting of the oak tree, and before the wasting of Wayne Ranch, death and decay always pervaded even in the scenes of apparent plenitude.

As he marched through his land for the first time, Joseph observed that “all over the valley the flimsy little clouds were forming and ascending like the spirits of the dead rising out of a sleeping city” (Steinbeck 1979: 7). Later, he recognized that, “since I have come, since the first day, I have known that this land is full of ghosts” (21). Despite his intimate connection with the green land, Joseph always recognized that death inhabited his ranch, a recognition paralleled with the sickness of another character, Willie, who has the recurrent nightmare that he lives in “a bright place that is dry and dead, and people come out of holes and pull off his arms and legs” (15). These haunting images intercalate from the start with those moments in which Joseph lustfully attempts to fertilize the land, or recognizes, mystically, the spirit of his father in the big oak tree. From the beginning the text juxtaposes scenes of profuse fecundity and their counterpoint, the lingering threat of the “dry years” (13) that came before—preventing the land from ever being homestead before Joseph arrived—and most certainly will come again. Meyer argues that “the contiguity of penetration and possession imagery with the ‘refrain’ of the inescapable presence of the dead, the repeated motifs of blood and sacrifice, function as a counterlandscape to the mimetic topography in *To a God Unknown*” (2004: 84). In this view, then, Steinbeck’s text not only juxtaposes diverging mythical images, but also two opposing landscapes: the mimetic topography of the Nuestra Señora Valley, in central California, and a superimposed mythical blighted land, a Waste Land in which the sexual imagery of

fecundity and fertility rituals coalesces with the occupation of the land by hordes of ghosts and corpses coming out of the holes in the ground, where the dead and the roots of the green valley coexist until they become undistinguishable, for the dead infect the roots, and death permeates all life. The image inevitably recalls *The Waste Land*, when in the closing lines of "The Burial of the dead," the first canto of the poem, the poetic voice asks fellow soldier Stetson if the corpse he planted last year has begun to sprout (Eliot 2001: 71-72), revealing that the lilacs that grow in the first lines of the poem (1-2) feed off the life of the dead bodies buried underground. In Eliot's *Waste Land*, new life is born swollen with death. The corpses looking up at the awakening earth are undistinguishable from the ghosts of the survivors, to the point that Levenson argued that these corpses in fact possessed "a little life" and thus could rise from their graves and wander the earth (1984: 172), "neither / living nor dead" (Eliot 2001: 39-40). Such is the state of the crowd of ghosts that, like in Steinbeck's land "full of ghosts" (1979: 21), flows over London in Eliot's poem. The California valley in *To a God Unknown* is swarmed by "the spirits of the dead rising out of a sleeping city" (7). The sleeping city might be Eliot's "unreal" London (2001: 60) or Dos Passos and Fitzgerald's dehumanized New York but, whatever the case may be, now the ghosts have reached the Eden of the West.

6. CONCLUSIONS

Giving account of the Zeitgeist of the depression years, *To a God Unknown* is the story of the western frontier laid waste. It depicts the ending of an ineluctable journey in American culture towards degeneration. For the first European settlers, America was a quasi-mythical western Eden "in which life should be better and richer and fuller for everyone, with opportunity for each according to ability or achievement" (Adams 1954: 374). New England became Europe's western Eden, that nostalgically recalled "fresh green breast of the new world" (Fitzgerald 1991: 148), an image of plenty mourned in *The Great Gatsby*, replaced, as Tanner noted (2000: 196), by Myrtle Wilson's "left breast [...] swinging loose like a flap" (196) after she is carelessly run over and killed by Daisy Buchanan. But even before modern degeneration, when the United States became an independent nation and the need arose to occupy the territory, the notion of a western Eden was transferred to the territories west of the Mississippi River, where the land was fertile and the climate temperate. The transformation of the American West from Eden to Waste Land in Steinbeck's work, then, concludes the spread of modern dehumanization and degeneration until it occupies "the entire twentieth-century American landscape" (Post 1993: 8).

To a God Unknown then represents, mythically, “the desolation in America’s social climate that was spreading throughout the land during the period in which Steinbeck wrote the novel” (Post 1993: 8). As other modernist classics that intersect with Steinbeck’s novel, it does so through a story that not only uses myth structurally or thematically, but that represents a futile attempt of bringing on communal regeneration through “a flood of remythologization” (8). Because, as explored in this essay, ‘remythologization’ necessarily entails a process of reshaping, transforming and thus remaking myth. Reminiscing Eliot’s ‘mythical method’, the alternative to a convulsive social climate is seemingly found in the order and meaning of traditional myth, in the belief that only myth “harmoniz[es] the universe to such an extent that it does not admit of the slightest degree of chaos and disorder” (Meletinsky 1998: 156). But the new contemporary reality demands that myth should take a new shape, and therefore a new meaning. In modernist literature, myth is adaptive, malleable. In *To a God Unknown*, as in *The Waste Land* and in other contemporary texts, mythical patterns and motifs are disassembled and rearranged; they give form and meaning to a modern world of chaos and degeneration.

In the case of Steinbeck’s novel, it is the new shape of an old myth that discards the possibility of a regenerative Grail or a successful kingly succession. It is the new shape of an old story that, emptying out the magic of myth-ritualism, establishes that Joseph’s sacrifice might be ineffectual. Throughout this article, the exploration of recurrently frustrated ritual patterns of sacrifice and fecundity, and of flouted mythical patterns, has attempted to demonstrate that, in the style of literary modernism, *To a God Unknown* represents through myth-making the generalized state of spiritual destitution and life stagnation that permeates most corners of the American literary landscape of the time. The novel presents then the spiritual barrenness of an American Waste Land that modern, emptied-out, misguided life rituals cannot regenerate into a Land of Plenty that no longer exists. To represent the modernist world, the old foundational myth has been definitely *remade*.

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THE TIME ABROAD PROJECT – GERMAN AND BRITISH STUDENTS’ EXPECTATIONS FOR THEIR STAY ABROAD

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ABSTRACT. *In the UK the number of students studying for a language degree and spending an extended period abroad has been declining for some years. This trend has a negative effect on the number of incoming students too since student exchange is often based on bilateral agreements between institutions. In order to work towards overcoming the reluctance of UK students to go on a placement abroad, it is important to gain a better understanding of typical student profiles and their expectations of an exchange semester. Using a quantitative research approach this study looks at British and German students’ expectations before their time abroad and their views after their return. The results show similarities between the two cohorts, but also striking differences. In particular, the expectations regarding students’ main goals vary considerably.*

Keywords: Erasmus exchange, time abroad, language study, student expectations, profiles of exchange students, higher education.

UN PROYECTO SOBRE ESTANCIAS EN EL EXTRANJERO – LAS EXPECTATIVAS DE ESTUDIANTES BRITÁNICOS Y ALEMANES SOBRE SU INTERCAMBIO

RESUMEN. *En el Reino Unido el número de estudiantes universitarios matriculados en grados de lenguas y posteriormente disfrutando de una estancia en el extranjero ha estado decayendo en los últimos años. Dicha tendencia tiene un impacto negativo en el número de estudiantes internacionales que recibe el país ya que dicho intercambio es un acuerdo bilateral y recíproco entre las instituciones de acogida. Para intentar superar la reticencia de los estudiantes británicos de ir al extranjero como parte de sus estudios, es importante entender mejor los perfiles de los estudiantes y las expectativas que tienen sobre dichas estancias en el extranjero. Haciendo uso de una metodología cuantitativa, este estudio analiza las expectativas que tienen un grupo de estudiantes británicos y alemanes previas y posteriores al intercambio. Los resultados muestran semejanzas entre los dos grupos de estudiantes pero también diferencias importantes, especialmente las que hacen referencia a los objetivos de los estudiantes.*

Palabras clave: Intercambio Erasmus, estancias en el extranjero, aprendizaje de lenguas, expectativas de estudiantes, perfiles de estudiantes de intercambio, educación superior.

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1. INTRODUCTION

In Britain, students are less likely to study foreign languages in school as well as university, than in neighbouring European countries. One of the reasons for this phenomenon has been linked to the political decision in 2004 that made language study no longer compulsory in key stage 4 in schools (Lanvers and Coleman 2013). As a result, the number of students studying foreign languages at English state schools declined (CfBT Education Trust 2014) and fewer leavers from state schools have the pre-requisites to enter degree level language study in HE. Other reasons have also been identified to influence the individuals' choices not to study foreign languages (cf. Coleman 2011), for example that English is the de facto lingua franca and therefore native speakers of English may see less need to learn other languages (Coleman, Galaczi and Astruc 2007). Furthermore, British people often refer to themselves as a nation which is 'lazy to learn' other languages, and may therefore be in danger to become "a nation of monolinguals" (British Academy position statement 2011).

Students studying foreign languages at universities in Britain are expected to spend some time of their degree course among the target language communities abroad. The year 2012-13 saw the highest number of UK students participating in the Erasmus exchange scheme since the launch of it in 1987, but the numbers fell well below those of participants in the Erasmus exchange programme in France, Germany and Spain (Fact check 2016). The reluctance of students in one country, i.e. the UK, to go abroad can have a direct effect on opportunities for those in other countries. The available number of study placements abroad is often determined by bilateral agreements between partner institutions. The declining number of British university students studying foreign languages (Coleman 2011) has a direct impact on the number of places for incoming students and contributes to the imbalance of supply and demand: The ratio of incoming to outgoing places in Britain is 2:1, the highest imbalance within the Erasmus scheme (British Academy 2012). For example, Nottingham Trent University (NTU) receives regular requests to increase the number of places for incoming students. Increasing the number of British students studying foreign languages and spending time abroad would therefore not only benefit bilateral agreements with partner institutions, it would also address the concern that Britain could move towards being 'a nation of monolinguals'.

Against the background of this phenomenon, a mixed-method study was undertaken which aims to get a better understanding of student profiles of outgoing students at NTU and its partner institution, the University of Education (PH) in Freiburg, Germany. The study aims to discover potential national differences between the two groups, some of the expectations and fears students have towards sojourns, and whether students feel that their expectations and fears later materialized. It was anticipated that gaining a clearer picture of both cohorts, students' socio-economic backgrounds, and their expectations and fears could theoretically inform future interventions and thereafter could potentially have an impact on the uptake of sojourns.

This current paper reports only on one part of the larger study, i.e. the student profiles and the students' expectations, for which primarily a quantitative research method was used.

2. STUDY ABROAD RESEARCH

It seems widely accepted that spending part of a university degree course abroad is very positive, for the individual student development as well as employment opportunities. Teichler (2015: 15) even states that "temporary student mobility seems to be "good" from all points of view". The field of research into the benefits

for students of spending time abroad is expanding, but can be viewed as “an ill-defined research domain, embracing related but disparate experiences” (Coleman 2013: 17). The following will sketch some key concepts in recent study abroad research, i.e. the positive effects on the individuals’ personal development, their language proficiency and intercultural communication, as well as the advantages for their future employment.

Increasing the employment opportunities after graduation through an international outlook is a cornerstone of current HE strategic plans. The internationalization agenda in higher education (HE) supports “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of higher education” (Knight 2004: 9). This often takes the form of an exchange semester, which can improve foreign language skills and develop intercultural competence, two aspects which are recognized as enhancement factors for later employment opportunities (Jones 2011). Once language study is combined with study abroad, there appears to be a clear link to later mobility as well. A study of graduates from German universities by Parey and Waldinger (2007) found evidence of increased mobility within the labour market in Europe due to the Erasmus programme. Furthermore, it discovered that of “the students who study abroad in a European country and work internationally after graduation, two thirds end up working in a European country” (Parey and Waldinger 2007: i).

The majority of non-specialist language learners in HE in the UK are aware “of a close link between foreign language competence and employability, seeing language skills as a career advantage” (Canning 2011: 2). However, the employment-enhancing factor on its own does not appear to have led to any substantial increase in the number of British students in HE taking up serious language study and embarking on placement time abroad. The opposite seems to be the case, as elaborated above and reflected in the declining trajectory of foreign language degree students.

Other studies focus on the personal development and the individual experience. For example, Zimmermann and Neyer (2013) show evidence of the strong influence the experience of spending time abroad has on the development of the personalities of young university students. Forming new relationships with “international people” (2013: 527) has substantial formative effects on them. Zimmermann’s and Neyer’s study shows that spending time abroad not only leads to increased openness but also a decrease in neuroticism and they conclude that “hitting the road has substantial effects on who we are” (2013: 527). The lasting effects on individuals that sojourns can have are also demonstrated by Garbati and Rothschild’s collaborative auto-ethnographic research (2016). A promising line of enquiry relating to students’ personal developments focuses on relationships

formed during the time abroad and maintained through social networks. The study of these social networks can provide insights into the level of engagement of sojourners with various groups (Coleman and Chafer 2010) and described by Coleman (2013, 2015) within a model of concentric circles.

Sojourns facilitate students to be exposed to other cultures, to gain confidence on a personal development level (Coleman 1997; Kinginger 2013; van Maele *et al.* 2016), and language students in particular have the opportunity to improve their language skills (Kinger 2013). The immersion in the L2¹ culture offers opportunities to improve the L2 proficiency levels, or as Coleman put it to “eat, drink and sleep” the studied language (2015: 34). While there is some debate whether there is a threshold when foreign language learning among the target language community is likely to be most valuable (Collentine 2009²), it is generally assumed that it is beneficial to L2 learners to have access to rich and potentially continuous L2 input. The context of being abroad offers increased opportunities to interact with native speakers and to negotiate meaning, an occurrence which is associated with learning taking place (cf. output theory, Swain 1995). Furthermore, the stay abroad among the L2 community has been shown to improve L2 fluency in particular (Huensch and Tracy-Ventura 2017; Segalowitz and Freed 2004).

Closely related to the improvement of L2 proficiency is the enhancement of intercultural sensitivity, which is associated with sojourns (Anderson, Lawton, Rexeisen and Hubbard 2006; Gutierrez Almarza *et al.* 2015, 2017; Houghton 2014; Smolicic 2013; Williams 2005). Through the experience of living in and socializing within the L2 community, students gain a deeper understanding not only of the host culture, but also of their own, and learn to mediate between the two.

Research in the field of study abroad has expanded its focus from the study of what kind of gains students make, to students' needs and how universities can facilitate better support and provide better preparation (Paige and Goode 2009). A related study by van Maele *et al.* asked students for their views about the three most important factors for a successful stay abroad with the objective that the results could inform the development of “teaching activities of intercultural education for Erasmus students” (van Maele *et al.* 2016: 385).

¹ L2 refers to the foreign language studied, irrespective of it being the first, second, or even nth foreign language; L2 country, L2 community and L2 culture refer to the country / community / culture in which the studied language is spoken.

² Collentine (2009) provides a useful overview of research on language acquisition in the context of study abroad.

As shown, not all nationalities engage equally enthusiastically in opportunities for study abroad. While German university students³ expect to experience international sojourns (*Institut für Hochschulforschung: Studie Internationale Mobilität* 2013), there is a noticeable reluctance among British university students⁴ to partake in exchange programmes (British Academy 2013). Such reluctance has been observed in other countries too, for instance in Japan (Houghton 2014), where it has been suggested that a contributing factor to “the inward-looking mind-set prevalent among young Japanese” might be “the growing complacency in an affluent society” (Tanikawa 2013).

Any attempt to increase the engagement of students with language study and sojourns would benefit from a deeper understanding of students’ expectations regarding time spent abroad. According to a British Academy position paper (2012: 7) it is recognized that the students’ “[p]ersonal objectives and outcomes have been among [...] the least studied in terms of the value of the year abroad”. The present study addresses this gap with the objective to gain insights, which can inform our understanding of student expectations and may thereafter inform future interventions.

3. THE STUDY

This study involved a British and a German university, NTU and the *PHF*, and set out to gain insights into students’ expectations and concerns relating to the time spent abroad at two moments in time: in advance of their stay abroad and after their return. It explores the participants’ profiles, and identifies commonalities and differences between the British and German cohorts.

Student opinions were elicited mainly via two online surveys: one before their stay abroad, and a second one after the students had returned to their home institutions.

By contrasting views expressed in the two questionnaires, the study seeks to understand students’ perceptions better: This article looks at their expectations prior to the stay abroad and reports to what extent the expectations were reflected in students’ responses after their return.

³ The terms ‘German university students’ and ‘German students’ are used interchangeably without making a reference to the students’ actual nationality.

⁴ The terms ‘British university students’ and ‘British students’ are used interchangeably without making a reference to the students’ actual nationality.

⁵ For the purpose of ease of reading, the terms *Pädagogische Hochschule (PH)* and university are used interchangeably when referring to both institutions generically. Beyond the fact that the two types of institutions may attract different kind of home students in Germany, the difference in their educational approach is irrelevant in the context of this project.

3.1. PARTICIPATING STUDENTS – COURSE INFORMATION

The British respondents were studying a BA course with at least one foreign language, combined with a second subject, for example international relations. In general, NTU students are strongly encouraged to spend their third year abroad, but may request to take a 3-year degree pathway instead, typically for personal reasons, as for example financial or family commitments. Students studying two foreign languages usually spend 1 semester in each L2 country: students with one foreign language spend up to 1 year in the L2 country. NTU's BA languages courses do not prepare students for a specific employment pathway, such as for instance a teaching career.

The German university students, on the other hand, were studying to become teachers of English as a foreign language. For most of these students, a stay abroad is recommended, but not obligatory. However, many German students expect to go abroad, as reflected in figures of a 2013 study on international mobility, which show that more than a quarter of students enrolled in BA and MA courses in Germany had already spent part of their studies abroad (*Institut für Hochschulforschung, Studie Internationale Mobilität* 2013).

As a result of the general imbalance of available exchange semesters alluded to above (British Academy, 2012, 2013), the places for study in England and Ireland for the German *PH* students of English are very much oversubscribed, and are therefore allocated on a competitive basis. This may mean that the German university students who succeeded in securing a study placement abroad may be more motivated than their NTU counterparts who do not need to compete for their placements.

4. DATA COLLECTION AND RESEARCH QUESTIONS

In order to study student attitudes towards their sojourns and to explore potential reasons for the reported reluctance among British university students in general to embark on study abroad (British Academy 2012; 2013), three research questions were posed:

1. What are the student profiles in the two institutions?
2. What are the students' expectations before going abroad?
3. After their return, did students feel that their expectations had materialized?

The main body of data is based on a quantitative research approach, using an online survey sent to 809 foreign language students at NTU and the *PH* Freiburg. This part of the research looks at general student profiles and attitudes towards time spent abroad, irrespective of their target languages and L2 communities.

Additionally, qualitative data was generated through student interviews and individually written Erasmus reports which will be discussed in another paper. This qualitative data provided insights, for example into the students' travelling while abroad, and is used here only to illustrate results gained through the questionnaire.

The survey questionnaires were accessible via a link embedded in an email. The participating institutions provided email distribution lists for the relevant student cohorts. Emails were then sent out inviting the students to participate in the research. Colleagues involved in student exchange at both institutions were asked to support participation through awareness raising, for example by mentioning the project to their outgoing students. Since the sender of the email, i.e. the researcher, was not known to the majority of the addressees, it was likely that emails could be otherwise ignored and therefore questionnaires not filled in and returned.

4.1. QUESTIONNAIRE DESIGN

The questionnaires were divided into blocks of questions addressing major themes. This paper reports on (1) the student profiles and (2) the students' expectations.

In order to gain information about the students' personal backgrounds, questions posed included those aimed at their family's experience of higher education and the students' personal experience of living away from home and living abroad. These latter factors were hypothesized to serve as indicators of potential levels of student confidence and self-reliance.

The theme of the student expectations had been previously identified as important student consideration which could influence their decision regarding spending time abroad (Council of Industry and Higher Education 2007). Within the questionnaire, several questions per section explore these concepts further. Beyond straightforward questions to elicit specific information such as age and gender, the survey consisted of two main question types: open questions in which students had the opportunity to give any answers they felt appropriate, and prompts asking them to rank statements for preference or relevance following a Likert scale. The open questions were asked before the ranking questions in order to limit potential influence on the responses to the open questions. If open questions and ranking questions produced similar responses, this may be seen as supporting the importance of those statements for the students.

This study therefore investigates students' perceptions of key areas and compares the results before and after the study abroad. Furthermore, emerging differences and similarities between the British and German cohorts are looked at.

5. RESULTS RESEARCH QUESTION 1: STUDENT PROFILES

5.1. PARTICIPANTS IN THE STUDY

Using administrative email contact lists, the pre-stay abroad survey was sent to a large cohort of modern languages students at Nottingham Trent University, enrolled in various languages at levels 1 and 2 of their study, i.e. before their scheduled time abroad during their 3rd year. 246 students received invitations to participate. The response rate was 18.7%, i.e. 46 valid responses⁶ were received.

Responding students were studying French, German, Italian, Spanish or Mandarin. The surveys were not restricted to students studying German, even though NTU's partner institutions involved in this project were only those who receive NTU's outgoing students of German.

At the *Pädagogische Hochschule Freiburg*, 563 students were included in the administrative email contact list and were invited to take part. The response rate was 10.48%, i.e. 59 valid responses were returned. Since this list included all levels, including some students who had already returned from their year abroad, the response rate could be expected to be slightly lower.

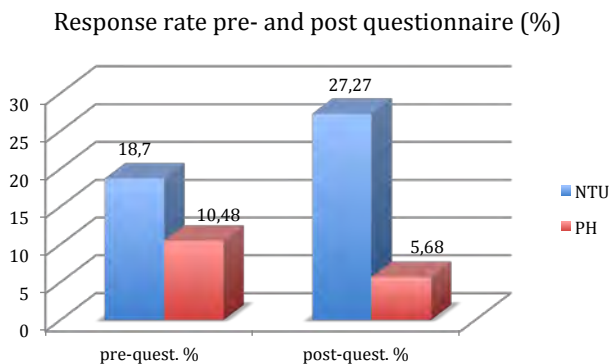


Figure 1. Response rate (pre-questionnaire NTU: n=246; PH: n=563; post-questionnaire NTU: n=88; PH: n=563).

The response rates of both institutions and the disparity in the response rates between the two institutions have an impact on generalizability and complicate comparability between the two contexts. Where tendencies are identified in the data, their interpretation is therefore to be read cautiously.

The post-stay-abroad questionnaire was sent to 88 participants, i.e. it was restricted to those students enrolled on NTU's modern languages degree course

⁶ Only those responses with explicitly expressed consent were included in the results.

who actually went abroad during the year studied. With 27.27% (= 24 valid returns), the return rate was nearly 9% higher than in the pre-questionnaire, albeit based on a reduced number of participating students overall.

For the German cohort, the survey was sent to the same large email list of 563 students. 32 valid responses were received, a response rate of 5.68%, just over half of the return rate for the pre-stay questionnaire.

It had been anticipated that there would be a large number of students filling in both questionnaires, thereby allowing a direct comparison between their individual expectations and concerns before the stay abroad and to what extent they later considered them to have materialized. This would have facilitated the identification of representative individual case studies. However, the overlap was smaller than expected: Only 37.5% of the British cohort (9 out of 24 students) and 40.63% of the German group (13 out of 32 students) answered both questionnaires. As part of this study a direct comparison of results within this smaller group was not undertaken. Instead, any comparisons were based on the overall results.

As eluded to above, the disparities in the response rates as well as the differences in the responding participants complicate comparability between cohorts. However, some trends can be identified and are presented cautiously.

5.2. PARTICIPANT INFORMATION GAINED THROUGH THE PRE-STAY QUESTIONNAIRE⁷

The average student participating in this study is white, female, and between 19 and 22 years old.

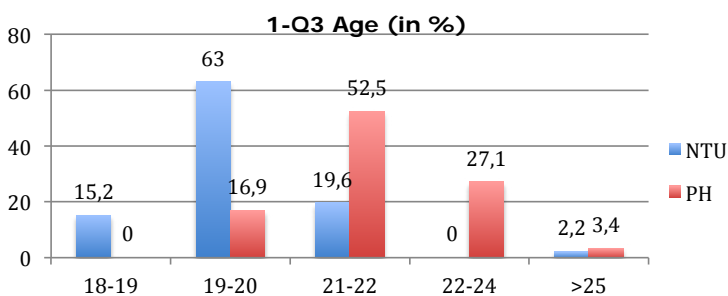


Figure 2. Age of participants (N=105; NTU: n=46 + PH: n=59).

British participants are noticeably younger with 63% falling into the 19-20 year old age group, while the majority of German students (52.5%) are 21-22.

⁷ In the pre-questionnaire n=105 overall, i.e. NTU: n=46; PH: n=59.

A good 15% of the British university students are only 18-19 (0% in the German cohort), and only a very small number of students is older than 22. Of the German participants nearly 17% are 19-20, and 27% are 22-24 years old.

Overall, 81.9% of the participants were female and 18.1% male, with a higher representation of males at NTU (23.9%) than at the PH (13.6%).

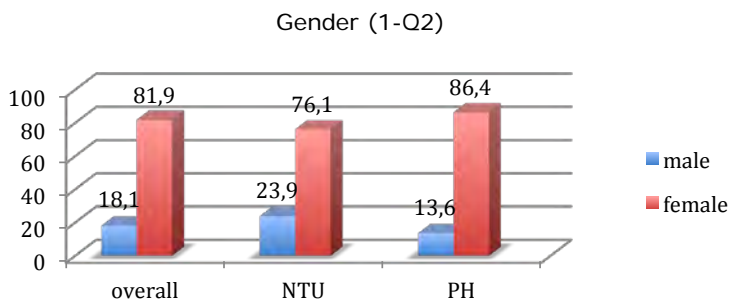


Figure 3. Gender (N=105; NTU: n=46 + PH: n=59).

5.3. INDICATORS OF STUDENTS' LEVEL OF INDEPENDENCE AND CONFIDENCE BEFORE THEIR STAY ABROAD

Living away from the parents, in their own household, can be seen as a step to potential independence. A large majority of the students surveyed (90.5%) were studying and living away from their hometown. Nearly 90% of all students had also been abroad before the university exchange, usually on holidays with friends and family, but some had also worked or attended a school abroad.

Before starting university life, 64.4% of the German students, but only 21.7% of the British students had lived away from home.

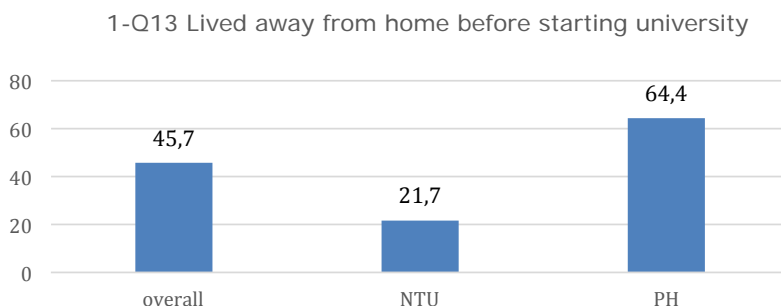


Figure 4. Living away from home (N=105; NTU: n=46 + PH: n=59).

Belonging to a family in which other family members have attended or are attending HE may be seen as an indicator of students potentially developing their personal confidence. Growing up in a household in which siblings or parents attended university, and had perhaps also taken up the opportunity of an exchange semester, may instill more confidence to go abroad. Students were therefore asked whether they were the first member of their family to attend higher education. About half of all respondents are trailblazers in that they are the first person in their family to go to university. This is true for a larger proportion of the British students than in the German cohort.

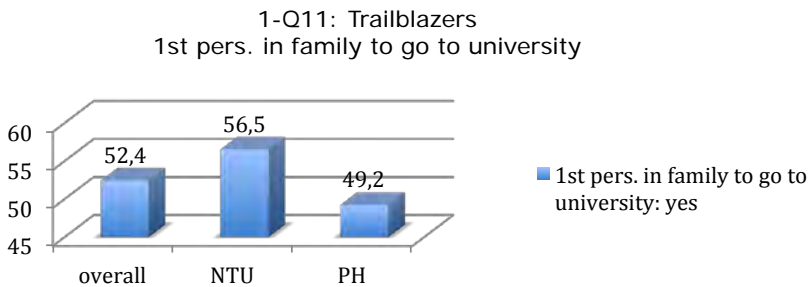


Figure 5. Trailblazers (N=105; NTU: n=46 + PH: n=59).

In summary, indicators of students' level of independence and confidence prior to going abroad point towards a noticeable difference between the two cohorts. Unlike the German university students, the majority of British university students live away from home for the first time when they start university life. The majority of them also represent the first member of their family to study at university. These two findings may point towards a potentially lower level of confidence present among the British students before their stay abroad, an interpretation which appears to be underscored by the student perceptions after their return: NTU students rank "feeling more independent" as their most important gain of the experience (70.8%, figure 14), an outcome which is rated in 5th position among the German students (37.5%, figure 15).

5.4. EMERGING STUDENT PROFILE

The overall student profile prior to the stay abroad seems to suggest that the German students may be more independent and confident than their British counterparts. The German students tend to be a little older, they are likely to complete their third year of study before they go abroad, they are less likely to be

studying in their hometown, and are three times more likely to have lived away from home before they started their university course. They are also considerably more likely to have worked abroad as volunteers.

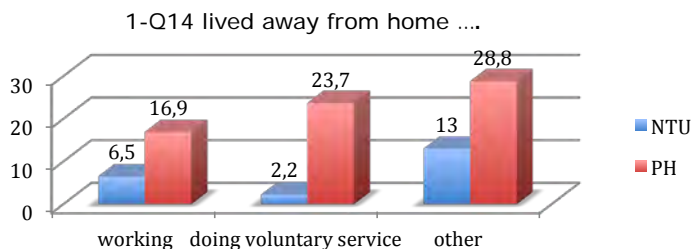


Figure 6. Activities before the start of university (NTU: n=46 + PH: n=59).

Furthermore, the German university students are more likely to have other family members who attend/ed higher education.

Several factors contribute to this different profile, many of which are rooted in the different socialization and educational system in Germany. German children start school later and are therefore older when they leave school and enter higher education. Additionally, military or civilian service was required for men until 2011, and continued to be taken up on a voluntary basis thereafter. Many female school leavers also commit to other activities such as voluntary work in the social sector before going to university.

While Germany does not have such a long tradition of taking gap years spent travelling as Britain does, there is a developing culture of working abroad for some time, before committing to further or higher education (figure 6).

In this study, 64.4% of the German students did indeed live away from home for up to one year before they started their university course (figure 4), for example attending education abroad or working as an au pair. 20.3% name working as an au pair in places like the UK, Australia, Italy, the US. Others spent time in Romania, Africa, South America, Canada, China, New Zealand.

In comparison, only 21.7% of students at NTU, a post-1992 university, had lived away from home prior to entering higher education, for example attending a boarding school⁸ or a language school abroad.

Young people who work abroad expose themselves to a new culture and a foreign language community. The German university students in the study were

⁸ Children of military personnel often attend boarding schools since the frequent posting of their parents to various bases could otherwise disrupt their education too much.

likely to use English abroad, as indicated by the high number of English-speaking destinations. These factors are likely to have contributed to the German students feeling more confident and independent before they embarked on the exchange semester. It is therefore not surprising that the expectation that they hope to achieve independence and confidence is named less frequently by the German cohort (28.8%) than by their British counterparts (41.3%, figure 13).

Many of the German university students in this study benefited from longer and more intense exposure to their studied language than the British cohort, for example during the pre-university time spent abroad, as well as exposure to English through pop culture, advertisement and the media in Germany. German students therefore had an opportunity to gain a high level of L2 fluency prior to going on study-placements which is likely to have had an influence on their perception of how much their L2 skills improved during the semester abroad: while 50% of the NTU students agree strongly that their L2 skills have improved, only 21.9% of the *PH* students agree strongly with this statement (figure 7). However, both cohorts agree that their language skills improved during the time abroad (NTU: 91.7%; *PH*: 78.2%; figure 7).

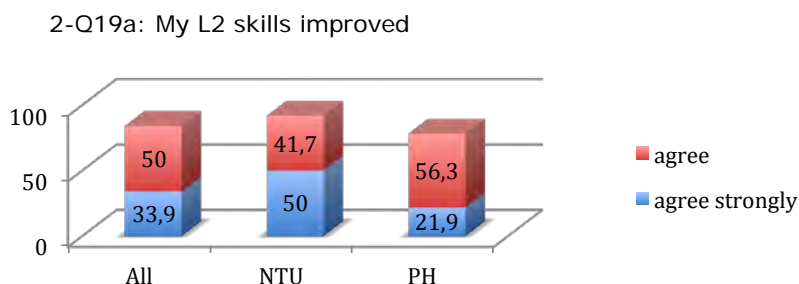


Figure 7. Agree (strongly) to have improved L2 skills (N=56; NTU=24; PH: n=32).

6. RESULTS RESEARCH QUESTION 2: STUDENT EXPECTATIONS

6.1. STUDENT EXPECTATIONS BEFORE GOING ABROAD

The student expectations towards a stay abroad were elicited through open questions and via statements to be ranked according to the individually perceived level of importance. The ranking statements were based on anecdotal evidence and common assumptions: They include statements such as: “My main aim in going abroad is to improve my language skills, to meet people from the host country” etc.

In the open questions, students were asked to name the three most important expectations they had for their stay abroad. The open questions were placed before the prompts students were asked to rank in order to minimize influencing the students’ answers. Some overlap between given prompts and free answers occurred, possibly confirming the importance students attached to these points.

6.2. RANKING POTENTIAL EXPECTATIONS

The ranking questions allow students to prioritize the given prompts in relation to one another. Several prompts were provided, covering a number of areas relating mainly to instrumental motivation, e.g. to enhance career prospects and also to improve the ability to deal with people from different cultures. These ranking questions showed similarities between the two groups as well as differences.

As anticipated, a frequent expectation concerning time spent abroad relates to a gain in the level of proficiency in the target language. About two thirds responded that their highest priority was to improve their foreign language skills. The distribution between the two cohorts was similar with 76.1% (NTU, figure 8) and 78% (PH, figure 9)⁹.

The expectations of the British students seem to express a higher degree of instrumental motivation as their highest driving factor. Besides language improvement, their main aims in going abroad include the enhancement of their career prospects and the fulfillment of a course requirement (figure 8). However, the second-most frequently ranked main aim is to enjoy themselves, suggesting a more intrinsic than instrumental motivational factor. Surprisingly, curiosity towards the host culture does not feature among the four most important aims in going abroad for NTU students (figure 8).

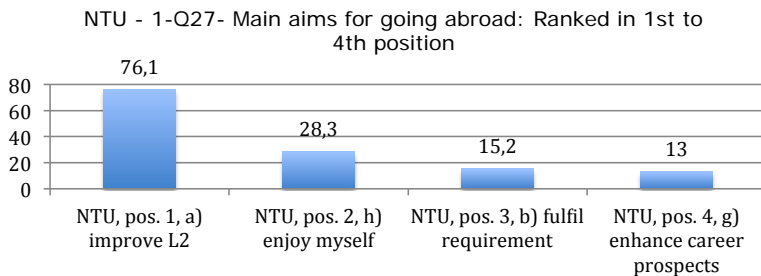


Figure 8. NTU - My main aims in going abroad are ... % age figures combining rank 1+2 as highest priorities (n=46).

⁹ The figures represent a combined reading of the highest and second highest priority (out of 9).

German students value the gain in language proficiency similarly in position 1 (figure 9). However, thereafter, the following three important aims in going abroad reflect an awareness of the potential otherness of the host culture and an interest to explore this further: in positions 2 to 4 of main aims, they name meeting the people of the L2 community, travelling and seeing the L2 country, and learning how things are done differently.

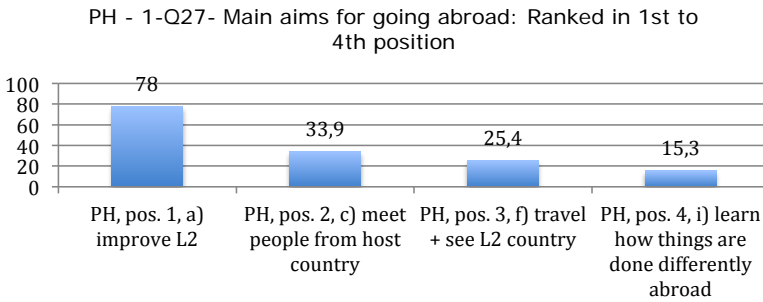


Figure 9. PH - My main aims in going abroad are ...
% age figures combining rank 1+2 as highest priorities (n=59).

Comparing the results in more detail reveals noteworthy differences between the German and the British students in relation to their actual interest in other cultures and in meeting others, i.e. people from the host country and other international students (figure 10). Only 4.3% of NTU students consider meeting people of the foreign language (L2) community as a high priority¹⁰, and 8.7% rank this at the bottom end. Similarly, the interest in meeting other international students is low amongst the British cohort (6.5%).

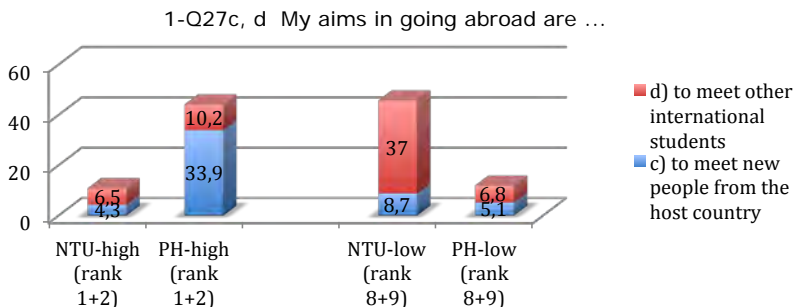


Figure 10. 1-Q27 c, d - My aims in going abroad are ... (N=105; NTU: n= 46; PH: n=59).

¹⁰ In rank 2 only, with 0 entry for rank 1, i.e. the highest importance.

While the notion of traveling and seeing the L2 country creates interest amongst *PH* students (25.4%), only 6.5% of NTU students¹¹ rank this as a high aim. To learn about how things are done differently in other countries is only a goal for 4.4% of the British group, compared with 15.3% among the German one (figure 11).

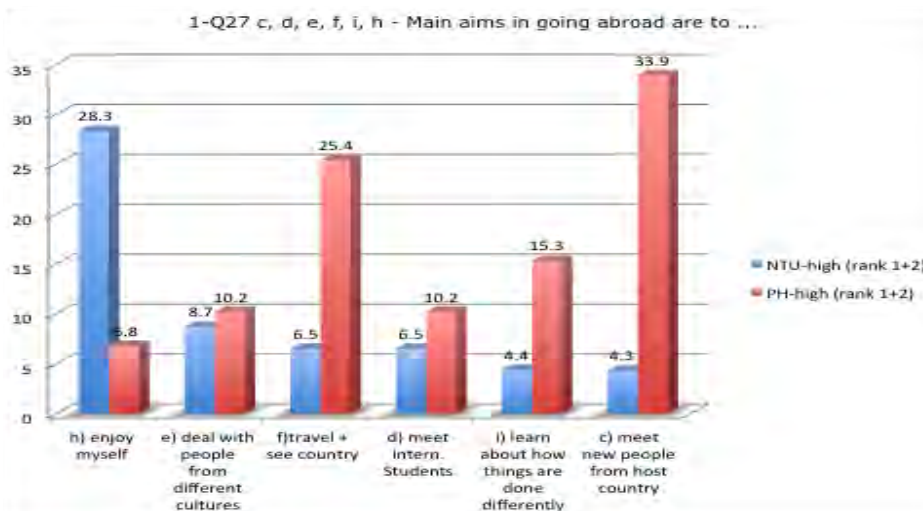


Figure 11. 1-Q27 c, d, e, f, i, h - ranking statements between 1 (high) and 9 (low); N=105; NTU: n=46; PH: n=59.

The same trend is reflected in the answers to open questions (figure 12), where learning more about the L2 culture, its people, the wish to make new friends, and getting to know life in the L2 country, all feature highly among the German cohort. *PH* students lead in these categories considerably, putting a much higher emphasis on the expectation of gaining a better cultural understanding of the L2 society than that expressed by the British participants in this study.

While these responses reflect the trend of the ranking questions, it is still surprising to find such a marked difference between the two cohorts with regard to their interest in the other culture and its people.

When grouping the answers to the ranking and the open questions, the following themes emerge as the most important expectations before going abroad (figure 13): For the British cohort, the highest priority with 80.5% is to improve the foreign language. This position is confirmed in their responses to the ranking question, albeit with the slightly lower score of 76.1%. For British students, a very common

¹¹ Rank 2 only, with 0 entry for rank 1, i.e. the highest importance.

and standard response to the value of the year abroad is the improvement of their L2 skills. Within these two types of questions British responses show consistency.

1-Q24-26 learn about L2 culture
(open questions)

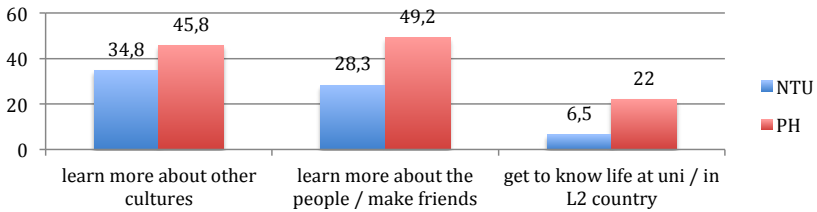


Figure 12. 1-Q-24-26 (multiple answers possible); N=105; NTU: n=46; PH: n=59.

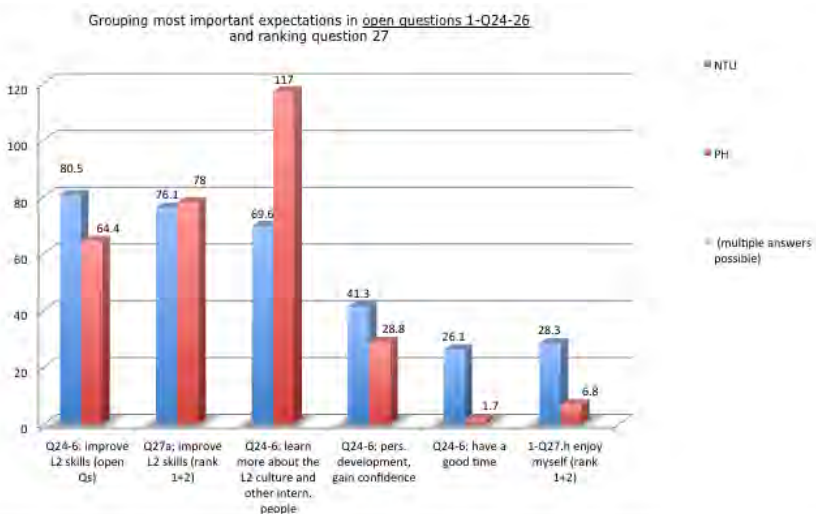


Figure 13. Most important expectations prior to going abroad (grouped and ranked answers. The percentage figure of the grouped answers can include multiple entries, i.e. the occurrences of the item in all three fields that asked for student expectations¹².); N=105; NTU: n=46; PH: n=59.

Thereafter, their next highest expectation expressed in the open questions constitutes the wish to learn more about the L2 culture and people of other nationalities (69.6%).

¹² 1-Q24-26 “In your own words, please name the three most important expectations you have for your year abroad” followed by three fields for student responses.

The German university students, however, place their highest expectation on the interpersonal and cultural dimension of the time abroad, far above the instrumental function of skill improvement. As their highest expectation in answer to the open questions, they name learning about the target culture and other people, i.e. the L2 communities as well as people of other nationalities. For them, the L2 skill improvement also features highly, with 64.4% in the open questions and nearly 14% more when presented with a list of prompts, but this is still far behind the cultural and interpersonal aspect.

For both groups, the third most important expectation (of this combined table presented in figure 13) relates to students' personal development, self-discovery, gaining self-confidence, autonomy, and independence. In position 4, British students expect to have a good time during their stay abroad. 26.1% explicitly name this expectation in response to the open questions and 28.3% confirm this when prompted in the following ranking question. In comparison, German students do not class having a good time as a very high expectation (in the open questions, this was only named by 1.7% and by 6.8% when prompted in the ranking question). The difference in expectations between the British and German cohorts regarding fun abroad is remarkable and will be revisited below.

7. RESULTS RESEARCH QUESTION 3: DID STUDENTS FEEL THAT THEIR EXPECTATIONS HAD MATERIALIZED AFTER THEIR RETURN?

The following results contrast the expectations of the cohorts before their stay abroad with the perceived gains after their return home. This is done on two levels, firstly within the country-specific groups, and secondly between the groups of the two countries. Section 5.1 above reports on the response rates and highlights that the respondents are not necessarily identical between the pre- and post stay abroad questionnaires (even though there is overlap). The results below do not make claims of changes in individual students, but compare the results between the groups of respondents.

7.1. EXPECTATIONS / GAINS IN RETROSPECTIVE VIEW¹³

After their stay abroad the participants considered if and how their previous expectations had materialized and named any additional gains. Several statements about potential expectations followed these open questions, in which students indicated how much they agreed with them, using a 5-point Likert scale.

¹³ In the post-questionnaire, n= 56 overall, i.e. NTU: n= 24 and PH: n= 32.

The statement NTU students agreed with most (figure 14), their biggest perceived gain, refers to feeling more independent and self-confident (70.8%), followed by having learned more about the culture they visited (66.7%). Position 3 of the perceived gains is shared by the statements of having got to know international students well, and having learned about how things are done differently in the host country (each 62.5%).

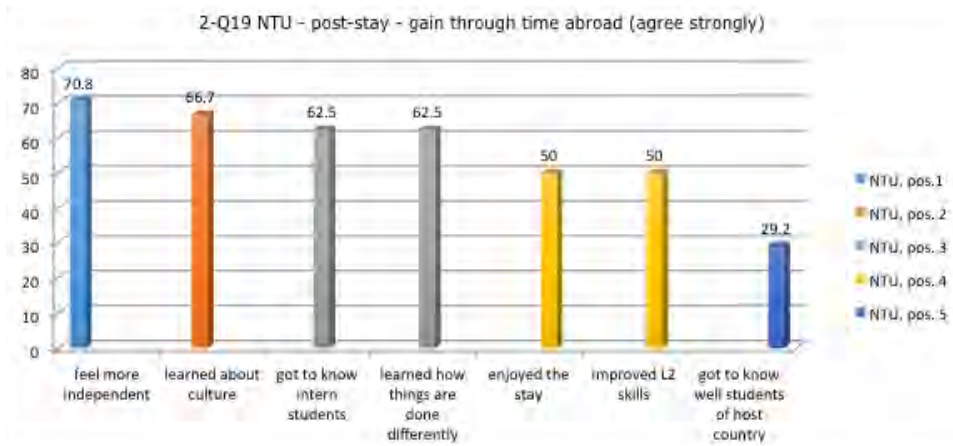


Figure 14. NTU - post-stay - main gains through stay abroad (n=24).

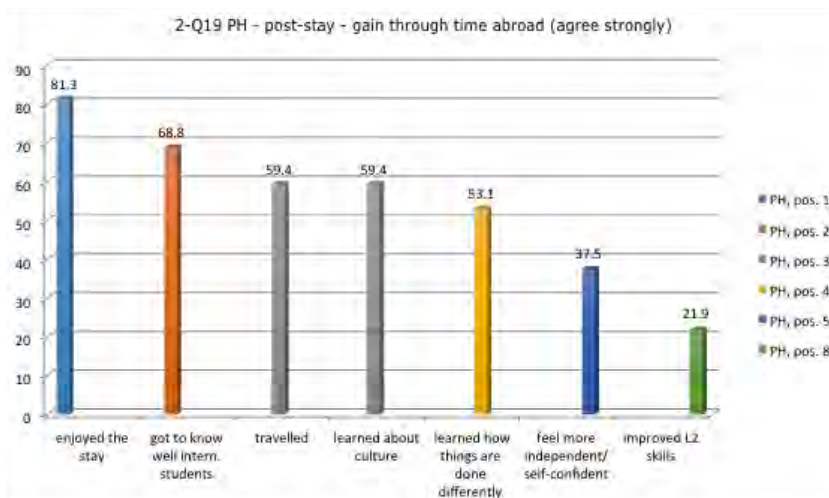


Figure 15. PH - post-stay - main gains through stay abroad (n=32).

Similarly surprising are the results for the German group (figure 15): Their results also show gains in areas that they had not necessarily expected. German university students agree strongly that they enjoyed the stay abroad (81.3%), they got to know international students well (68.8%), and they learned more about the host culture (59.4%). These students also feel strongly that they got an insight into how things are done differently in the host country (53.1%).

7.2. COMPARISON WITHIN COHORTS BETWEEN PRE- AND POST-STAY

While both cohorts clearly recognize the fulfillment of their expectations and view the experience positively, there is a noticeable shift within the two groups regarding the degree of fulfillment: as their four most important expectations prior to the time spent abroad, the British students named improving their L2 skills, enjoying themselves, fulfilling the course requirements, and enhancing their career prospects (figure 8).

After their return, the British students agreed strongly that they had made gains, but these are quite different (figure 14) from their previously named expectations (figure 8). In particular, the majority perceive themselves as having become more independent, having improved their understanding of the L2 culture, and having got to know international students. 50% each strongly agreed that they enjoyed the stay and improved their skills in the language they study. However, the perceived improvement in their foreign language skills is considerably lower than they had expected before their stay: Before the stay abroad, 76.1% stated that improving their L2 skills was their highest expectation. However, on return, only 50% agreed strongly that this expectation had been fulfilled. Also, rather surprisingly and perhaps worryingly, less than 30% of them confirm having got to know their fellow students in the host country well. Twice as many students report that they got to know international students well.

The German students' responses also reflect a shift between their initial expectations (figure 9) and the perceived gains on return (figure 15). This shift manifests itself in the order of priorities as well as the degree to which the expectations were fulfilled. For example, while their main aim for going abroad was the improvement in their foreign language skills (78%), only 21.9% agreed strongly that they actually improved these while abroad. After their return, the highest gain mentioned is the enjoyment of the stay (81.3% compared to 6.8% who named this as an expectation in the pre-questionnaire). In position 2 to 4 of main aims for going abroad (figure 9), *PH* students named meeting people from the host country, traveling and learning how things are done differently. While travelling is

represented among the top 5 positions of gains they agree with strongly, meeting people from the host country only appears in position 10 (12.5%). Meeting other internationals features in position 2, with 68.8%.

A further marked difference could be observed between the cohorts in their perceived gain in independence and self-confidence. 91.6% of NTU students and 78.1% of *PH* students agreed¹⁴ that they had gained independence and self-confidence (figure 16).

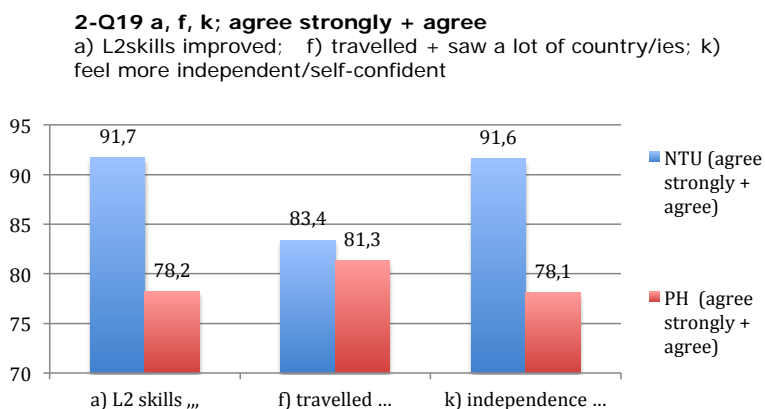


Figure 16. 2-Q19a, f, k (NTU: n=24; response rate: 96%, PH: n=32, response rate: 97%).

The difference between the two cohorts, rating the gain in confidence and independence either in position 1 (NTU) or 5 (*PH*)¹⁵ can probably be contributed to German students being a little older and already more mature and confident by the time they go abroad, as elaborated above. The additional gain in confidence through this short stay in another country, i.e. one semester for *PH* students, may not have had the same impact on them as the longer stay had on British students¹⁶. The latter group probably started from a lower level of confidence in the first place, as suggested by the indicators named in the student profiles above.

From the outset, prior to the stay abroad, travelling did not feature as a high expectation among the British group. Nobody named this as their highest priority, and only 6.5% as their second highest. It could therefore be argued to be a positive, but not pre-planned outcome that 83.4 % of this cohort stated that they travelled a lot in the host country.

¹⁴ Combined result of agree and agree strongly.

¹⁵ Figure 15 and 16, here: agreeing strongly.

¹⁶ British students stayed 2 semesters abroad, in either 1 or 2 countries.

German university students responded in a similar way, 81.3% agreed that they had travelled and seen a lot of the country/ies they visited (figure 16). This supersedes their expressed expectations prior to the stay abroad when 25.4% of them named this goal as their third most important one (figure 9).

The importance German students attribute to travelling is also reflected in their Erasmus reports written after their return. They talk about many visits to various cities and regions, which were in part organized by their host institution, and in part through their own initiatives.

For example, one report highlights that every weekend which was not taken up by family and friends visiting was used to get to know the host country and its people through trips to Stonehenge, Manchester, Liverpool, Oxford, Bath, York, London, Cardiff, Warwick Castle, the Peak District, as well as Dublin and other parts of Ireland.

The stay abroad appears to be a catalyst for engaging more with other cultures and has a very positive effect on getting to know other international students well. 62.5% (NTU) and 68.8% (PH) respectively agreed with this statement strongly (figure 17). This also has a positive effect on the perception of being better able to deal with people of other cultures (NTU: 58.3%; PH: 31.3%). However, this positive effect does not extend equally in terms of getting to know people from the host countries. After their stay abroad, only 12.5% of the German students (NTU: 29.2%) feel strongly that they know the people in the host country better than before. In other words, students abroad seem to mix better with other international students than with students of the L2 community. This would suggest that there may be room in both countries to improve contact and communication between the host communities and the incoming students.

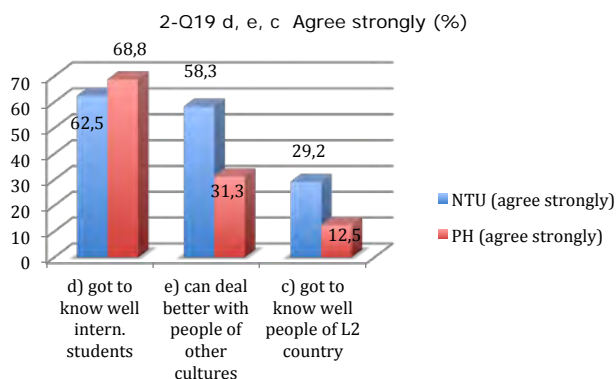


Figure 17. 2-Q19d, e, c; agree strongly (N=56 ; NTU: n=24; PH: n=32).

While students on the exchange programme do not always seem to get to know people in the host communities well, students feel that they gain a better understanding of the culture in general and the way things are done differently abroad.

8. DISCUSSION OF RESULTS

The study set out to gain a deeper understanding of foreign language students' expectations towards the stay abroad, a little studied area (British Academy 2012; van Maele *et al.* 2016). By contrasting the results of the cohorts, i.e. those based in the UK with those based in Germany, similarities and differences emerge, which help to shed some light on the observed reluctance to spend time abroad among UK students (British Academy 2012, 2013) compared with the much higher expectation of going abroad among German university students (*Institut für Hochschulforschung: Studie Internationale Mobilität* 2013).

The first research question focuses on the participants' profiles. The profiles of NTU students differ from those of the students based in Germany. NTU students are younger and appear less independent and confident prior to their stay abroad. Few of them have lived or worked away from home before starting university (figures 4 + 6), and many of them are the first members of their families to enter higher education (figure 5). On the other hand, several of the German *PH* students had spent extended time abroad earlier, which offered them an opportunity to mature. Zimmermann and Neyer's study (2013: 525) shows that irrespective of whether they are short- or long-term sojourns, "international mobility experiences [can be seen] as a life event that expedites personality maturation in young adulthood". It can therefore be expected that the older German students, of whom many have some prior experience of living abroad, will approach the study placement differently than the younger NTU students.

Possibly, the greater confidence and independence displayed by the German university students can be attributed to their age, to the fact that they had lived away from the parental household and had experience abroad before embarking on the university course. They seem to show resourcefulness in handling and overcoming problems they encounter and deal quite independently and with confidence with the challenges the sojourn brings, as also described in their Erasmus reports.

The second and third research questions address the students' expectations towards their time abroad. A striking disparity between initial expectations and the perceived gains after the return can be observed, as well as a distinctly different approach between the two cohorts. NTU students seem to have less of a clear

concept of their main expectations beyond improving the language, the latter representing a common response among sojourners (Coleman 2003; van Maele *et al.* 2016). They also seem to have less curiosity towards the L2 community and country (figure 8) compared to the German university students (figure 9). Nevertheless, after the stay abroad, NTU students agree strongly that they gain considerably in these areas (figure 14), even though they do not feature at all among their first four expectations. Only 50% agree strongly that they also enjoyed the stay. These findings may point towards the need to create more curiosity towards the L2 community and culture from the outset and to prepare NTU students more for the cultural differences they can expect. One way of doing so is the introduction of awareness-raising tools in the preparation material as suggested by Gutierrez Almarza *et al.* (2015) and other teaching materials focusing on intercultural learning (IEREST project; van Maele *et al.* 2016). Having positive expectations towards the L2 culture can have an impact on the outcome of the stay abroad and may lead to a lasting impact (Garbati and Rothschild 2016). For example, the *PH* students name as part of the four main aims for going abroad, to meet people from the host country, to travel and see the L2 country and to learn how things are done differently (figure 9). They also confirm a considerable gain in these areas after their return (figure 15). In their case, the initial expectations seem to match the gain they report after their return. It may be that this match has a positive influence on the students' perception of enjoyment of their stay abroad which is considerably higher than that of their British counterparts (*PH*: 81.3%; NTU: 50%).

The highest expectation of all students relates to the improvement of their L2 proficiency (figures 8+9), a reasonable expectation supported by year abroad research (Kinginger 2013). Both cohorts agree that their L2 skills have improved during their stay abroad (figure 7), however, the percentage of students agreeing strongly with this statement varies considerably between the two groups. Half of all NTU students perceive a strong improvement in their target language, but only just 22% of the *PH* students do. The perception of not having improved their L2 as much as previously expected could be influenced by at least 2 factors. Firstly, the exchange students appear to have been more in touch with other international students, and thereby exposed primarily to non-native speaker English. This fact can be perceived as having an impact on the learning opportunities of authentic L2, as commented recently by an Erasmus student at the end of the stay in Nottingham. They had a lot of exposure to English as spoken by other international students, with for example Italian, French, German accents, but could not distinguish between Welsh and Irish pronunciation when visiting Cardiff and Dublin. While they had a lot of contact to other international students, they did not mix much with NTU's home students or other native speakers of English.

This phenomenon has been described by research on social networks among students abroad. Coleman's concentric circles model (2013, 2015) describes sojourners as socializing with three distinct groups: their co-nationals (Coleman's inner circle), other outsiders (who often use English as lingua franca, Coleman's middle circle), and locals, i.e. speakers of the target language (Coleman's outer circle). If the middle and outer circles involve the same language for communication, i.e. in the context of the incoming *PH* students English, these students have more opportunity to practise their L2, albeit often among other L2 learners. The outgoing British students, however, would need more determination in order to move from the inner circle of their co-nationals and middle circle of other outsiders, in both cases speakers of English¹⁷ (their L1), to the outer circle of locals, who speak German and with whom they can practise their L2. It is therefore likely that outgoing British students have far less opportunities to practice their L2 if they remain in social networks of the inner and middle circle. Furthermore, British students face the additional difficulty that many Germans are quick to switch into English if they notice that their conversation partner is a non-native speaker of German. This can further reduce the British students' opportunities to practise their L2, German. Incoming students to Britain do not encounter the same problem among British native speakers.

Secondly, several German university students had spent extended time abroad in an English speaking country before they began their university studies. From the outset, they may therefore have had a higher level of proficiency and fluency in their L2, i.e. English, which had then been the primary language in their circle of outsiders and their circle of locals while they lived for example in the UK, Australia, Canada, the US, or Uganda. Once these students arrived in the UK for their placement, their proficiency levels in their L2 were probably already higher than those of their UK counterparts. This could explain the German students' perception of less improvement in their L2. Similarly, it could be argued that far more British students perceive L2 improvement facilitated by the stay abroad because of a lower level of confidence and proficiency from the outset, as indicated by the student profiles.

There are limitations to this paper. The return rates of the questionnaires limit the generalizability of results. For this article, a comparison of results at the level of individuals' responses before and after the stay abroad could not be undertaken since this would have reduced the data base considerably. The overlap of identical respondents in the pre- and post questionnaire was only 37.5% in the British cohort and 40.6% in the German cohort. Working with all valid responses

¹⁷ Events organized for international students at German universities mainly use English as lingua franca.

(instead of concentrating only on the number of respondents who answered both questionnaires) facilitated cautious interpretation of trends within the groups and across groups. These give valuable insights into students' expectations before their time abroad and perceptions as to how far those expectations actually materialized. An additional qualitative analysis of actual change within individuals' perceptions would exceed the framework of this article.

9. CONCLUSION

This study looked at profiles of exchange students from the UK and Germany, who spent their sojourns in each other's countries. The students' profiles, their expectations and the degree to which they felt these to have been met, showed some similarities and also marked differences. The benefits students perceive reflect some attributes of graduates for a globalized world, as for example independence, better understanding of other cultures, and learning how things are done differently in other countries. Nevertheless, the findings of this study also appear to suggest that the cohorts would benefit from specific preparation for their time spent abroad which incorporates their needs. Student needs seem to have common factors which can be identified by the students' background, e.g., age, type of university, length of education before embarking on a sojourn, prior extended stay abroad etc., indicating different levels of personal maturity, confidence, and independence. Follow-up qualitative studies may be able to shed more light on the potential impact of these factors on the readiness to spend time abroad, particularly among the British students. Furthermore, it would be useful if future research explored whether preparatory material for time abroad may need to be conceptualized differently for different countries, acknowledging the factors identified above. This study concentrated on one university per country, its findings would need to be tested against larger groups from more universities before clear policy recommendations on a country-specific level could be contemplated.

Secondly, the participants of the study report getting to know other international students more than people of the L2 communities. Relating this to Coleman's concentric circles model (2015) they have more contacts in the middle, rather than the outer circle. If future research verifies these findings, it would seem beneficial to incorporate more activities into the preparation for the time abroad which creates curiosity towards the L2 communities, and then to facilitate better integration of incoming students with the host student communities. More research into student integration into the L2 community using Coleman's concentric circles model (2015) seem to be a promising line of enquiry.

Thirdly, participants in this study name as their highest expectation improving their L2. In order to achieve this goal and to have as many opportunities as possible to practise their L2, British students need to make more efforts than their German counterparts, since the inner and middle circle of their social networks communicate in their L1.

Concluding, more research is needed to address the evolving themes and to follow up emerging questions, as e.g. how to raise more curiosity toward and ease with sojourns among British students in particular, and how to best support all students in order to maximize the opportunities offered by the time abroad.

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BORDERS AND COSMOPOLITANISM IN THE GLOBAL CITY: LONDON RIVER

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ABSTRACT. *This article explores the representation of borders and cosmopolitanism in the city of London in London River, a film about two parents looking for their children in global city after the 7th of July of 2005 terrorist attacks. As will be argued, different spaces in the city work simultaneously as dividing lines and as borderlands, emphasising the dual nature of borders theorized by border scholars such as Gloria Anzaldúa (1999), Mike Davis (2000) and Anthony Cooper and Christopher Rumford (2011). Elijah Anderson's (2011) concept of cosmopolitan canopy and Gerard Delanty's (2006) moments of openness will be used to analyse the articulation of cosmopolitanism in the different constructed spaces displayed in the film.*

Keywords: Film studies, *London River*, cosmopolitanism, borders, borderlands, global cities.

FRONTERAS Y COSMOPOLITISMO EN LA CIUDAD GLOBAL: *LONDON RIVER*

RESUMEN. *Este artículo explora la representación de las fronteras y el cosmopolitismo en la ciudad de Londres en London River, una película en la que una madre y un padre buscan a sus hijos alrededor de toda la metrópolis después de los atentados del 7 de julio de 2005. En London River, los diferentes espacios de la ciudad actúan simultáneamente como líneas divisorias, y a su vez, como borderlands, destacando la doble naturaleza de las fronteras teorizada por Gloria Anzaldúa (1999), Mike Davis (2000) y Anthony Cooper y Christopher Rumford (2011). Este trabajo utiliza el concepto de Cosmopolitan Canopy de Elijah Anderson y el de Moments of Openness de Gerard Delanty para analizar el tipo de cosmopolitismo que se articula en los diferentes espacios construidos en la película.*

Palabras clave: Estudios fílmicos, *London River*, cosmopolitismo, fronteras, borderlands, ciudades globales.

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1. INTRODUCTION

The increasing mobility of people, goods and information around the globe has resulted in an increasingly interconnected world with a high potential for cosmopolitan encounters. This is particularly true in the so-called global cities where people from all over the world meet and interact on a daily basis. No longer restricted to the geographical lines dividing two countries, borders play a key role in the contemporary scenario. Both dividing lines and borderlands, they have the potential to either curtail or promote cosmopolitan moments of self-transformation. The so-called “border films” structure their narratives around different types of borders, usually highlighting their paradoxical nature (Mendes and Sundholm 2015; Deleyto 2015, 2016)

This article looks at *London River* (Rachid Bouchareb 2009) as an example of a border film that can be inscribed within the category of “cultural exchange” narrative as theorized by Deborah Shaw (2013), Tom O’Regan (1999), and others. The film tells the story of two parents; Ousmane (Sotigui Kouyaté), a black Muslim from Mali and Elisabeth (Brenda Blethyn), a white protestant from the Channel Islands, looking for their children in the city of London after the 7th July terrorist attacks. Borders feature prominently in the film. The narrative crosses various geographical borders and was filmed in different locations: France, London, and

one of the Channel Islands (Guernsey). It was a French-British coproduction and it features a multinational cast and crew, including a French director of Algerian origin working in the city of London. This article looks at the film's representation of today's extremely complex borders, in society in general and particularly in global cities. As will be argued, the movie constructs different spaces of the city of London as both dividing lines and as borderlands, emphasising the dual nature of borders theorized by border scholars such as Gloria Anzaldúa (1999), Mike Davis (2000) and Anthony Cooper and Christopher Rumford (2011). Elijah Anderson's (2011) concept of "cosmopolitan canopy" and Gerard Delanty's (2006) "moments of openness" will be used to analyse the articulation of cosmopolitanism in the different constructed spaces displayed in the film.

2. COSMOPOLITANISM AND BORDERS

Critical theorization on the border has noticed its intrinsic paradoxical nature since the line that separates two countries or territories is also what they have in common. Gloria Anzaldúa's foundational text *Borderlands/La frontera* distinguishes between border and borderlands. While the term border emphasises the division between two contiguous territories, borderlands refers to the hybridity and fruitful encounters that are also consubstantial to any border. As she puts it, the borderlands "are physically present whenever two or more cultures edge on each other, where people of different races occupy the same territory, where under, lower, middle and upper classes touch, where the space between two individuals shrinks with intimacy, created by the emotional residue of an unnatural boundary" (1999: 25). Borders can be seen as both sites of separation and exclusion and of confluence and openness to the Other. They can act as sites of oppression and violence but also as "connective tissue" (Rumford 2008); they can be both enriching and destructive. Anthony Cooper and Chris Rumford argue that "the border is a prime site for connecting individuals to the world, bringing them into contact with Others and causing them to reassess their relations with the multiple communities to which they may or may not belong" (2011: 262). In this sense, borders are one of the privileged sites where cosmopolitan encounters take place (Rumford 2008).

Cosmopolitan theorists have developed a growing interest in borders over the last two decades. Cosmopolitanism is based, on the one hand, on the notion that all human beings are equally valuable, positing borders as a site of connection between individuals (Beck 2002a; Skrbis, Kendall and Woodward 2004; Rumford 2008). However, when diverse cultures get together, differences may be exacerbated and reinforced. The contact with the Other can result in an open disposition and a fruitful interaction, a type of self-transformation that Delanty

refers to as “the cosmopolitan moment.” (2006: 29). However, this encounter may also trigger an anti-cosmopolitan reaction of rejection and fear. Cosmopolitanism is a contested term that also includes several critiques from different scholars, such as Craig Calhoun (2003, 2008), David Miller (2002, 2007) and Eddy Kent and Terri Tomsy (2017). For instance, David Miller (2002) considers cosmopolitanism as an imperialist project in which existing cultural differences those are nullified or privatized. For his part, Calhoun talks about this project as unrealistic and utopian, and he claims that real people are necessarily situated in particular webs of belonging, with access to particular others but not to humanity in general (2003: 6). Celestino Deleyto argues that contemporary movies attempt to make sense of the world in a context of globalisation and its economic, social and cultural consequences, and as such they can be interpreted under a “cosmopolitan lens”(2016: 2). Borders are an intrinsic element of cosmopolitanism and, therefore, need to be looked at in order to analyse films from a cosmopolitan point of view.

Global cities have become one of the recurrent sites to explore cosmopolitan and border dynamics. As a consequence of the increasing flow of border-crossers towards them, global cities are traversed by borders. According to Saskia Sassen, global cities like London, are a consequence of the weakening of concept of the nation as a spatial unit due to the privatization and deregulation of territories as well as the strengthening of globalisation (2005: 27). Global cities emerged as a strategic site for the transnationalization of labour and the formation of translocal communities and identities (38). In the field of cinema, Mendes and Sundholm mention how transnational films embody “dimensions of border crossing, including its locales, its constraints and its affective aspects” (2015: 120), for his part, Celestino Deleyto imagines London as a border city, “a city crossed by borders and constantly reshaped by borderwork” (2015: 6). Borderwork is the process whereby borders are constantly transformed by the daily activity of ordinary people (Cooper and Rumford, 2011: 262-264). Charlotte Brunsdon (2007) argues that the city of London has suffered a transformation from imperial capital to global city and this is portrayed in the 21st century films. Global cities become not only microcosms of a global world, but actual borderlands, constantly crossed by fluctuating borders, exclusions and exchanges.

London can be considered one such borderland, one which includes the city's cultural diversity while at the same time witnessing the proliferation of various types of borders between its citizens, among them economic barriers. Doreen Massey, in her book *World City* (2007), explores these two parameters of the city of London. Massey describes the term global city as a place that is part of a larger system, with advanced producer services in a context which involves banking, accountancy, law and advertising (2007: 33-35). London is undoubtedly a

significant centre of coordination of the global economy, trade and financial flows, based on its neoliberal economy. Historically, the city reinvented itself as a world financial centre after a mid-twentieth century decline (32). First industrialization and then financial power meant an increase in the possibilities of work. Therefore, its resurgence is a product of deregulation and privatization/commercialization, along with internationalization. This has attracted migrants from all over the world, particularly but not only the old colonies of the British Empire, which in turn has produced a cultural diversity that contemporary discourses on the city exploit to provide a positive spin on its ruthless deregulatory financial activity (Massey 2007: 44). British governments implemented restrictive immigration policies throughout the 1970s and 1980s, so in the 1990s employers began to call for easing of restrictions on the use of foreign labour to meet Labour demand (Flynn, 2005 in Mcilwaine, 2008: 8). At the same time, migration increased partly as a result of the expansion of the EU but also because of the growth in refugees and asylum seekers (Rees and Boden, 2006 in Mcilwaine). Thus, the proportion of foreign-born residents in London rose dramatically during the 1990s, to account for approximately 29% of the city's total population by 2001 (Spence, 2005: 35 in Mcilwaine).

In the city of London more than 270 nationalities coexist and over 250 languages are spoken. The interface between the Anglo majority and other ethnicities in London is regulated by what Davis has called the "Third border" (2000: 59). The third border is the invisible line that deprived foreigners come across every day in their intercourse with other communities, a reminder that their lives are under constant scrutiny (71). This third border restricts the use of public space by poorer citizens, building boundaries inside the inner city between neighbourhoods with a different economic development and based on racial segregation. Simultaneously, the process of gentrification has built an exclusionary wall around the entire city of London. Neil Smith describes gentrification as a "global urban strategy" socially organised in the twenty first century, which portends a displacement of the working-class residents from urban centres (2002: 440). It is a practice through which whole urban neighbourhoods are appropriated by real estate and business concerns, property values skyrocket and, as a consequence, the low-income families that lived in those neighbourhoods are displaced.

London was at the height of its self-refashioning as a global city when the 7th July 2005 bombings took place. Global terrorism is one of the three axes of conflict that, for Ulrich Bech, are central to the "world risk society", a term he uses to describe a contemporary social order affect by manufactured and unexpected risks that are global in nature (2002: 41). The risk society, Beck argues, creates a generalized feeling of threat and, in the case of global terrorism, of fear of the

Other. The perception of terrorist threats replaces active trust with active mistrust, which undermines the trust in fellow citizens, foreigners and governments all over the world (Beck 2002b: 44). Consequently, racial issues and cultural disagreement between the different cultures are increased.

However, the perceived risk of global terrorism has also had the opposite effect, Beck claims, since it has marked the beginning of a new phase of globalisation, the globalisation of politics, the moulding of states into transnational cooperative networks (2002b: 46). Even in the state of mistrust produced by terrorist attacks, terrorism can be considered a form of cosmopolitanism because it not only separates societies: it also reunites them. “What can unite the world?” asks Beck. The answer suggests that unity to confront the threat is possible between different social groups: “alliances are forged across the opposing camps, regional conflicts are checked and so the cards of world politics are reshuffled” (2001: 1). Although, it is necessary to distinguish between the risks and the opportunities presented by these dangers, alliances between different cultures have been created to combat the threat and differences have been laid aside, at least in some respects.

A film like *London River* portrays London as both a city crossed by internal borders and, at the same time, a fruitful borderland where cosmopolitan encounters take place. It shows how the global terrorism and the fear of the Other can both separate and unite people. *London River* is not the only contemporary film to deal with these issues. Recent border films such *Amreeka* (Cherien Dabis 2009), *The Reluctant Fundamentalist* (Mira Nair 2012), *Crossing Over* (Wayne Kramer 2009) and *Ae Fond Kiss...* (Ken Loach 2004) present multiple social borders inside different global cities, like culture, religion and race. Most of these borders are based on prejudices towards the Other, on account of, again, borders permit a new human sensibility, but at the same time they restrict certain forms of expression. Movies set in the British capital *Breaking and Entering* (Anthony Minghella 2006), *It's a Free World...* (Ken Loach 2007) and *Eastern Promises* (David Cronenberg 2007), portray a city of London characterized by extreme wealth, unrestrained capitalist practices, and borderwork. Although away from geopolitical borders, this is, in Gloria Anzaldúa's terms, a borderland where people of different ethnic origins come together, interconnectedness being balanced by violence and intolerance (1999: 25). As a whole, these films contradict the view of the city as a harmonious multicultural place where various cultures coexist without any problem. They offer a sense of the global city as a borderland of encounters and exclusions, spaces of globalisation and mobile borders, where cosmopolitanism exhibits its complexity and contradictions. It is within this context of contemporary cinematic representations of the British capital as a bordering and cosmopolitan place that I would like to place my study of *London River*.

3. COSMOPOLITAN AND BORDER MOMENTS THROUGH URBAN CONSTRUCTED SPACES

In *London River*, the city is presented as a border place where the action happens in several important spaces. It is a geography of power that produces an unequal geographic democracy (Massey 2007: 119). This geography of inequality is produced by the gentrification of the city in different neighbourhoods that are classified by the nationalities and cultural origins of the citizens. In the movie, most spaces depict Muslim communities, separated by the existence of the third border. In this part of the analysis, the essay explores the main multicultural urban spaces of London used in the movie in which the encounters and disagreements of different cultures occur. It is necessary to remark how the *mise-en-scène* helps to display the global city of London as a place characterized by inner borders between different groups of society, but also by blossoming encounters. Besides, it articulates complex cross-border interactions, reflecting the evolution of the characters whereby they become more cosmopolitan and open-minded due to coexistence of different cultures and participation in moments of openness.

The movie conveys a realistic effect with the use of real London locations, such as Blackstock Road. This space is introduced with a handheld camera and a bumpy frame movement from inside the car in which Elisabeth is travelling from the ferry port to Jane's house. The shot offers a glimpse of the film's documentary style that will be sustained during the whole narrative. Once the taxi stops at Jane's address, we see a P.O.V shot of the neighbourhood from Elisabeth's eyes that suggests her disapproval of her new environment. Then the camera follows the direction of her eyes and shows the sign of the Halal shop, *Butcher El Baraka*, above which Jane's apartment is supposed to be. Elisabeth observes this with scepticism. At this point, the window of the Halal shop functions as a border. Elisabeth looks through the shop window and metaphorically a border is established, in Elisabeth's eyes, between the Anglo and the Islamic world. The framing makes her look weak, submissive and frightened. Then, the camera follows Elisabeth with a close-up, detailing her alienated state. This first representation of the street offers the viewer a clue about the possible position of Elisabeth, namely, her rejection of her foreign surroundings.

In a later scene, Blackstock Road is presented very differently. When the protagonists come out of the travel agency, thinking that their children are safe on a trip to France, the street is particularly highlighted, with natural light illuminating the road, which is further enhanced by the characters that are glowing with happiness. They sit on a doorstep, sharing an apple that Ousmane slices with his penknife. She cleans the first piece that Ousmane shares with her, but not the second one. It is the first moment in the film in which there is no physical border

between the characters. It is also the first time in which they do not need to hold onto their belongings that define who they are: a briefcase and a walking stick in the case of Ousmane, and a handbag in the case of Elisabeth. The apparently good news have made them feel liberated and safe in each other's presence; they have learnt to coexist with the culture and customs of the other. In this climax, Elisabeth even ventures to introduce some comments about Ousmane's appearance, specifically his long hair. The street becomes a space with the potential for multicultural encounters like this one.

A thorough analysis of the street enables us to see more examples of extensive intercultural exchange. For example, the representation of women from different cultures in a city like London is remarkable. In the following scene, Elisabeth observes the street at length, and she sees a group of women with different origins. The film gives an image of a relatively privileged position of women mostly in world cities like London. One of them, for example, is using technology, her mobile phone, while wearing a *burka*, which, to some, may represent something repressive and traditional. In contrast with this positive view of a multicultural space, the third border is again presented in this neighbourhood as a weapon to control the mobility of foreigners. In this image with multiple women from different origins, the film captures not just the diversity of the area but also the reality of this borderland led by a discriminatory border system that has the aim of maintaining and reinforcing the status quo of certain empowered citizens and the patriarchal system. The border is established here, the foreign population is predominant over the white British population.

This third-border, exclusionary and racist attitude is gradually counterpoised with the presence of instances of what Elijah Anderson has described as "cosmopolitan canopies", urban sites that offer a special environment conducive to interethnic dialogue and communication (xiv). An example of cosmopolitan canopy is seen in the movie when the two protagonists are sitting on a bench in "Finsbury Park" (one of the most important settings of the film, a public park located in Haringey), sharing the same space and thereby deemphasising the border that has separated them from the beginning of the movie. The narrative conscientiously tries to create this type of space, not only as environments where people from different cultures meet, but also as spaces where the protagonists search for each other's presence. In the film director's words "in France, Finsbury Park in North London is well-known as a place where a lot of Muslims live, and a lot of people from Algeria and Morocco, too" (Bouchareb in Gritten 2010). Finsbury Park has, therefore, the right connotations to be chosen for this setting. The scene begins with a close-up of Elisabeth's face used to emphasise a moment of tension that develops into a moment of freedom in this gratifying space. Then, a long shot frames the characters

sitting on a bench in the park (Figure 1). This technique is used to emphasise the arduous situation that the characters are living in the aftermath of the London outrage, both of whom are navigating the city without any clue of where their children could be. Then, close-ups of both of the characters emphasise the fruitful moment they manage to create and the “cosmopolitan canopy” into which the scene turns. It is a natural space where they feel comfortable as it is more similar to their usual environments. The movie constructs this park as a “heterotopic place” (Foucault 1971), considered as a space for otherness that only lasts a few moments, in which the protagonists open up to each other, share their concerns about their children, and start to know each other deeply. In this moment, they realise that they are not very different from one another, and despite their obvious differences, their ways of life share numerous similarities.



Figure 1. Finsbury Park and the cosmopolitan canopy.

If we turn our attention once again to the first time that Elisabeth arrives at Blackstock Road, there is another important space involved, which is conceptually and geographically counterpointed with urban and domestic spaces: the entrance to the flat and the gate. The entrance functions as a cosmopolitan space where sexual and ethnical differences are challenged at some point. In the first scene, Elisabeth is framed standing in the entrance; it is as if she were trapped or entering a cage. The fences on the right and at the back of the frame, together with the high walls, form an oppressive framing. It portrays her feelings of panic and unease. Suddenly, she moves backwards as the Muslim shopkeeper approaches her, until

she is unable to move any further because of the wall—she is totally trapped. Then, the owner says that he is the landlord of Jane's house, and, with amiability, offers to give Elizabeth a key to the flat. At this point, Elisabeth becomes more comfortable with his presence, yet, she is wracked by doubt.

Later, the same setting seems to be transformed, transmitting very different feelings —security, freedom and borderlessness. The final scene of Ousmane and Elisabeth together aims at moving the audience. The figure of Ousmane hugging Elisabeth, protecting her and consoling her, helps us to see how devastated both of them are, but also how they have finally transgressed the borders between each other. Importantly, at this point, no fences are shown in the frame, just the two protagonists. In this shot, it is possible to appreciate how Ousmane is enveloping Elisabeth, meaning that he has already transmitted his sense of otherness to her. Ousmane's height exceeds the level of the walls that previously separated them and made Elisabeth feel trapped. His otherness and tolerance has been transmitted to Elisabeth through a feeling of protection and respect.

Central to the transnational sensibility of the movie, there are other locations which foreground the presence of Muslims, for instance, the mosques. Mosques in real life are often identified from a Christian perspective as places of inscrutable "otherness". Nowadays, there is a well-known conflict over the Islamisation of the public space in Britain, which often reveals the major fears about the erosion of the "British way of life" in an age of global migration and ethnic pluralism (McLoughlin 2005: 1046). There is certain rejection from the part of the western world towards Muslim religious symbols and places of gathering. They represent one of the main borders in today's society between different cultures. *London River*, however, portrays mosques as places where fruitful encounters and flourishing cosmopolitanism take place. There are two mosques shown in the movie: the Central Mosque of London, and Finsbury Park Mosque, where Jane and Ali take Arabic classes. The first place where Ousmane receives help is the London Central Mosque, at the hands of the Imam (Sami Bouajila). Later, he receives help from the teacher of the Arabic class in the Finsbury Park mosque and also meets with Elisabeth there. Furthermore, it is here that the Imam tries to bring the two parents together, explaining to Elisabeth that their children know each other, and making gestures to encourage her to reconsider her position towards Ousmane. Barta and Powrie comment on how Ousmane finds a "network of solidarity" (2015) in this space. To this, I would add the idea of a network of cultural and religious solidarity, where despite not knowing each other, the Muslim community tries to help their brother Ousmane.

The last remarkable space that reappears several times throughout the narrative and is consciously constructed as a border place is the bridge that crosses Haringey train station. This railway station is located off Wightman Road

in the borough of Haringey, in North London. It is presented as one of the most important physical borders during the entire film. The train station separates both protagonists according to the part of the city that they are initially associated with: where Ousmane is staying (Shelton Hotel) and where Elisabeth is staying in her daughter's flat. The bridge is a figurative border with a double functionality; it is the means whereby Ousmane and Elisabeth are reunited and separated depending on the moment that they cross it.

In the opening scenes, the bridge is presented as a threatening place, starting with a long shot and ending with a close-up of Elisabeth. In this frame her tension is exacerbated when she sees the photocopied “missing” signs attached to the walls of the bridge. The thunderous sound of the railway makes it a conscientiously terrifying moment. In this moment she realises the magnitude of the terrorist attack, and also how common it is for someone to go missing in this global city. The presence of people of all sexes, colours and origins suggests that the bridge is a sort of no-man's land and that all people, regardless of their social status, are equal in a situation of terror. It is a space in between two different worlds, which are, in this case, the world of Ousmane and her world. After moments of openness like the ones we have previously analysed, this border is forgotten as an exclusionary weapon and is transformed into a space of unity. The initial separation of spaces reinforces their differences. Once the two parents realise that they are not so different, they are reunited through the bridge. The borders that separate them are transcended when they start living together, just as their children did. After deciding to live together



Figure 2. Ousmane crossing the bridge to live with Elisabeth in Jane's flat.

we see Ousmane crossing the bridge. The demographical border between them disappears, showing the character of Ousmane walking over the bridge with his suitcase in his hand, past the xeroxed missing posters (Figure 2). This important framing highlights Ousmane's figure as he crosses the bridge, and portrays the disappearance of his and Elisabeth's differences.

4. DOMESTIC SPACES AS A MICROCOSM OF THE GLOBAL CITY

After analysing the different urban spaces discovered in London by the protagonists, this section explores domestic spaces, namely, the flat where Jane and Ali live together. The flat, the setting for numerous scenes in *London River*, is a representation of the concept of "borderlands", in which one can observe the cooperation, collaboration and adaptation between two different cultures. The different cultures are represented by the white British Protestant, Elisabeth, and the Black African Muslim, Ousmane, and before them, their children who coexisted in this same space. The presence of this cinematic space leads us to realise that Ousmane and Elisabeth are a reflection of a multitude of global forces of which they are unaware. Their situation reflects the current state of the world. At first, Elisabeth rejects Ousmane. She often manifests racist attitudes. However, this situation progressively changes. The film demonstrates that globalisation is far from resolving the differences between cultures. In fact, it suggests that cultural borders can be transgressed easily although the *mise-en-scene* shows contradictions. The closing minutes of the movie try to highlight the fact that we have already achieved a situation of worldwide equality, with the blossoming moments that Elisabeth and Ousmane live together. The truth is that real citizens, including the protagonists, are not even close. Consequently, *London River* uses the flat to express an opinion: this is a state in which inequality persists and is even reinforced by white majority countries towards other races, despite the discourses of multiculturalism accredited to London.

The flat acts as a place of gathering between different religions and cultures and as a microcosm of the global world, in this case, Islam and Christianity. The physical changes in it provide an accurate view of the evolution of the characters in the movie. Lighting is used in *London River* to shape the way in which Jane's flat changes its appearance reflecting the moods of the protagonists. At first Jane's absence makes Elisabeth feel anxious and she is also disturbed by her daughter's Muslim neighbours. The initial shadows signal all the things that Jane is hiding from her mum, such as her relationship with a Muslim man. Elisabeth realises that she no longer knows her daughter. At first, blue and purple colours are highlighted. In the final moment in this flat, there are lighter colours combined with intensified lighting, showing that both characters are in a cosmopolitan space

where they have learnt to coexist. Elisabeth has been transformed by the moments of openness, in many cases produced by the bombing.

Props situate the protagonists within their new environment and introduce the unseen characters, Ali and Jane. An African musical instrument that Elisabeth finds inside the flat will become a remarkable element of union between the four. In the opening minutes Elisabeth holds the instrument in her hands with a surprised expression on her face. When the police come to the flat, Ousmane comments on the fact that the instrument used to belong to him, and later he says it was a present for Ali. This musical instrument is called a *Kora*, and it is a traditional West African stringed instrument. It is played in Mali, where Ousmane was born. The *Kora* is an important prop because it is a very specific item from Ousmane and Ali's culture. It makes the parents realise that their children are living together. A copy of a book in Arabic additionally denotes Jane's interest in and openness towards African and Arabic culture.

Other important objects are found inside the flat as well as photographs of the young couple in the city, more specifically, in a bar, sitting on the grass, and walking along a street. These images provide a way for their parents to start to know their unknown children. The pictures denote their children's appreciable adaptation to the metropolis. The flat seems to be their own cosmopolitan space, where they interact and coexist in a seemingly egalitarian manner. When Elisabeth enters the bathroom, she sees men's bathroom accessories. The framing displays Elisabeth's discomfort. She is not likely to see the truth: her daughter has had a relationship with a man and is living in a multicultural neighbourhood with him, without giving her any information. Elisabeth's face can only be seen reflected in the mirror. The curtain obstructs our view of her face. Functioning as a border and suggesting her mistrust of her daughter.

The film builds a representation of the global world around this space. It projects its ideology onto a small location where both cultures coexist, with the hope of a happy ending. Thus the flat works as a powerful visual and spatial metaphor of today's extremely complex borders. It is the place where obstacles of religion, race, living conditions and family borders between the protagonists are finally dissolved. The limitations encountered at the beginning are blurred and the protagonists manage to adapt to each other. To contradict this view, it is possible to observe exclusionary borders inside the same living space. The main borders are seen when Ousmane and Elisabeth are together in the flat and they are related to their different cultural backgrounds, which will be explained in the following paragraphs through the analysis of different scenes. The flat is a *borderscape*, a concept which Deleyto characterizes as "social space defined by its borderliness and by a border ideology" (2016: 10).

A noteworthy scene inside this space is when the police arrive to take DNA samples (Figure 3). They illuminate the truth, namely, that it is definitely possible that their children were living together in the flat and were in a relationship. Ousmane and Elisabeth open their eyes. The police give light to the flat, in a metaphorical and literal way. As we can observe in the framing, the intensified lighting contrasts with the dark presentation of the space offered previously. The wooden table separates both protagonists, and the wardrobe divides the framing in two parts, with the Muslim inspector on the side of Ousmane, and the English on the side of Elisabeth. This framing divides both groups of society into two clearly differentiated groups by culture, race and possibly, religion. This is a moment of tension reinforced by the African items found by the police inside the flat. The African instrument described above turns out to be a present from Ousmane to his son, and, importantly, is the proof that Elisabeth needed. There is also the book written in Arabic which Elisabeth discovers at that same moment. The Union Jack beside the world map also offers a vision of openness through the character of Jane. However, in this case, instead, it is representative of what the world is like for Elisabeth, comparing the large size of the flag with that of the world map. At this point in time, the police are used to open her mind and make her comprehend that the global city of London is a place of interaction between cultures, but also through the *mise-en-scène*, the film portrays how borders have been established towards the Muslim community, thereby segregating them.



Figure 3. The flat as a “borderscape” when the police arrive to take DNA samples.

A crucial moment in the flat, which contrasts with the scene with the police, occurs when the protagonists come to live together and have dinner in the apartment. Elisabeth, apparently free of her prejudices, opens up to Ousmane and explains her anguish about how her husband died in the war and how she has brought up Jane by herself. Her fear about her daughter's disappearance can be seen in her face. The movie gives the impression that the borders between the characters have now disappeared. Their relationship is presented as a fruitful encounter. The *mise-en-scène* presents a good example of this on the right-hand-side wall, which shows the world map without any British flag. This portrays their intention to become citizens of the world beyond narrow nationalisms. The wooden table once positioned the protagonists opposite each other. Now they sit at the table side by side during dinner. The parents simulate their children's way of life. This is the turning point: from this moment onwards, the two remain together until they eventually receive the fatal news. On the other hand, after eating, Elisabeth lights a cigarette and again a physical border is placed between them, the hob. Once again, borders are being reinforced by their cultural differences. A woman smoking in front of a man is an uncommon sight for Ousmane. These apparently unimportant differences will continue to divide them until the end of the movie; it is hard for them to understand each other. Cosmopolitanism also transmits this view and includes borders in its discourse—borders that are impossible to eradicate. Persons cannot be equal in all aspects of our lives because every human being is different and unique. Not all individuals think in the same way or have the same qualities. There will always be components of a culture that the other one will not understand.

London River produces meaning through this differentiation of people through specific moments inside Jane's flat. Elisabeth is described by Barta and Powrie as an active representative of the "host society" (2015). Elisabeth is the one who seems to be the owner of the flat, and charity may be seen as the reason why she accepts Ousmane as a guest, because he cannot afford to stay at the hotel Shelton. Their shared occupancy signals an advance in Elisabeth prejudices after the cosmopolitan moment in Finsbury Park where she opens her mind to the other. She is likely to tolerate the presence of Ousmane, but at night, he sleeps in a separate bed and space, in the living room on the sofa. Elisabeth sleeps in the bed. Again the *mise-en-scène* separates the two protagonists. Only through this element can we see that the position of Elisabeth is privileged with respect to Ousmane's position. Besides, Ousmane's affirmation that he will take Ali back to Africa as soon as he finds him, makes Elisabeth smile. Both parents, in spite of trying to plan what might be seen as a life together, continue trying to keep their children apart. They cannot come to terms with their transnational relationship.

The final moments of the film seem to eradicate any chance for future coexistence between the two protagonists. The link between them is broken along with the knowledge of the deaths of their children. Ultimately, although it seems that their lives have undergone a real change, they still return to their separate homes. These scenes contrast with the final scene of the pair inside the flat, when a farewell song is sung in Malian by Ousmane. It creates an emotional moment that seems to bring a close to their relationship with their feelings of devastation. However, their relationship is also offered an opportunity with the meaning of the song that points out the uncertainty of the future: “Will I die in a city or a forest?” The truth about the protagonists is known: they have many similarities, but they are also truly different. It is a moment of entire openness in which they feel the same desperation and uncertainty about what will happen to them in the future.

5. CONCLUSION

New Borders have been constructed through transnational encounters between the local and the global today in certain spaces, “borderlands”. These new borders are often related to race, religion and language. These characteristics of a culture are the ones that mark the difference between what a group of human beings consider “Us” and what they consider the “Other” or “Them”. The drama of difference is challenged in *London River* with the portrayal of two very different characters learning to coexist in the same spaces and enjoy each other’s presence. The devastating attacks have been the link between them, but also their means of separation due to their children’s deaths.

Muslim communities are enduring all over the world the devastating consequences of terrorism as well as racist attitudes in cities like London and others. Borders are established with the Other, which in this case is identified with the Muslim culture and the character of Ousmane. These borders are present in global cities throughout the “third border” and “gentrification”, excluding foreigners from certain areas. This is shown in the movie in the use of spaces with a Muslim majority, like Blackstock Road, Haringey borough and Finsbury Park. Framing indoors and outdoors work together with lighting and props to underline barriers and designate borders.

The complexity of the borders portrayed in the movie is also a problem seen in today’s society. *London River* is an accurate representation of the complex social networks occurring in large cities all over the world. In the movie, this is especially reflected in the most intricately developed space, which is Jane and Ali’s flat, where the fruitful and, in some cases, fraught relationship between their parents

is played out. Multiple processes of globalisation are presented inside the flat, the crossing of cultures and moments of openness. Ultimately, this is the essence of global human interaction, sets of complex relationships separated and reunited by different situations and conditions.

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**PSYCHOPEDAGOGICAL FACTORS THAT AFFECT L2 LISTENING
ACQUISITION IN DIVERSE SPANISH BILINGUAL AND NON-BILINGUAL
INSTRUCTIONAL SETTINGS: MULTIPLE INTELLIGENCES INFLUENCE**

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ABSTRACT. *Research on the mind, the brain and education has shed light on the process of learning a foreign language in bilingual education. The present study attempts to investigate the relationship between L2 listening skills and multiple intelligences in bilingual and non-bilingual contexts. The research was conducted on fourth year primary school students. It involved two schools in the province of Cordoba (Andalusia, Spain) and one school in the Community of Madrid, that had implemented different educative programmes for the acquisition of listening skills: Advanced Methods Corporation (AMCO) which is a bilingual education program that integrates multiple intelligence strategies into the curriculum, Content and Language integrated learning (CLIL) and the traditional method of teaching English a foreign language (TEFL). The results of this eclectic study indicate that a bilingual education program that includes multiple intelligence strategies benefits students' listening proficiency by promoting motivation in the learning process.*

Keywords: AMCO, CLIL, L2 listening skills, multiple intelligence strategies, motivation.

FACTORES PSICOPEDAGÓGICOS QUE AFECTAN A LA ADQUISICIÓN DE LA COMPRENSIÓN ORAL DE LA L2 EN DIVERSOS CONTEXTOS ESPAÑOLES BILINGÜES Y NO BILINGÜES: INFLUENCIA DE LAS INTELIGENCIAS MÚLTIPLES

RESUMEN. *La investigación sobre la mente, el cerebro y la educación ha arrojado luz sobre el proceso de aprendizaje de un idioma extranjero en la educación bilingüe. El presente estudio intenta investigar la relación entre la habilidad auditiva L2 y las inteligencias múltiples en contextos bilingües y no bilingües. La investigación se realizó en el cuarto año de educación primaria. Involucró a dos escuelas en la provincia de Córdoba (Andalucía, España) y una escuela en la Comunidad de Madrid que implementaron diferentes programas educativos para la adquisición de habilidades auditivas: Advanced Methods Corporation (AMCO), que es un programa de educación bilingüe que integra las estrategias de inteligencias múltiples en el currículo, el aprendizaje integrado de contenido y lenguaje (AICLE) y el método tradicional de la enseñanza del inglés como lengua extranjera. Los resultados de esta investigación ecléctica indican que un programa de educación bilingüe que integra inteligencias múltiples beneficia la competencia auditiva de los estudiantes, promoviendo la motivación en el proceso de aprendizaje.*

Palabras clave: AMCO, CLIL, competencia auditiva de la L2, estrategias de inteligencia múltiple, motivación.

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1. INTRODUCTION

Learning an L2 in bilingual settings involves understanding a speaker's accent or pronunciation, grammar, vocabulary of linguistic and non-linguistic subjects and meaning. Listening is considered to have a central role in language learning, Carter and Nunan (2001) define listening as a complex process through which we understand the spoken language. Similarly, Harris and Hewitt (2005) agree that oral comprehension is a complex process if all the mechanisms involved are taken into account. It implies several mental and cognitive processes in which the listener makes a connection between what he hears and what he already knows (Vandergrift 1999). Educational neuroscience "has a strong bias towards learning as a brain function, with the implicit assumption that if learning can be well understood, then good teaching will follow" (Geake 2009: 9). According to Baum *et al.* (2005), Fogarty and Stoehr (2008), and Viens and Kallenbach (2004) the "Theory of Multiple Intelligences" provides valuable insights that have influenced language teachers because of its implications for classroom development. Gardner (1983) proposes a

multidimensional view of intelligence and states that intelligent behaviour does not arise from a single unitary quality of the mind, rather he defines intelligence as the ability to solve problems or create products. This conception of the term intelligence encompasses capabilities that until now were not covered in traditional methods based on the academic testing and measurement of IQ (intelligence quotient).

Research studies have identified the positive effects of multiple intelligences on different aspects of second language learning (Amiriani 2010; Botelho 2003; Diravidamani and Sundarsingh 2010; Hafez 2010; Naseri and Nejad 2014; Yi-an 2010; Zarei and Mohseni, 2012). Concerning listening skills specifically, there is a significant relationship between total multiple intelligence scores and the listening self-efficacy of the learners (Golchi 2012; Ghapanchi, Serraj and Noordin 2013).

The aim of this study is to analyse the influence of multiple intelligences in L2 listening acquisition in different education programmes being implemented in Spain at the present time. This research was conducted in bilingual and non-bilingual settings corresponding to A.2. level of Common European Framework of Reference for Languages (CEFR). Different methodological approaches for the acquisition of L2 listening skills that integrate multiple intelligences into classroom instruction have been analysed: TEFL (Teaching language as a foreign language), CLIL (Content and Language Integrated Learning) and AMCO (Advanced Method Corporation), a bilingual program that integrates MI (Multiple Intelligence) strategies into its bilingual curriculum.

2. THE PROCESS OF DEVELOPING LISTENING COMPREHENSION SKILLS IN THE L2

Learners of a L2 in bilingual settings adhere to a listening model in which they use higher level information to not only identify sounds and words but also to try to decipher meaning in context. Ur (1994) states that there are obstacles that greatly hamper oral comprehension in a foreign language, such as identifying sounds other than their mother tongue, understanding the intonation and accentuating the neutralization of sounds and interferences to focus on the message, grasping the intentionality of the speaker, as well as the understanding of vocabulary and structures. As noted by Rost (1990) listening is not strictly based on the passive reception and exact decoding of messages uttered by a speaker on the part of the listener. In this process, receptive orientation takes place in which the receiver must understand what the sender actually says, the constructive orientation in which the meaning is constructed and represented, the collaborative orientation in which the meaning is negotiated with the issuer and the transformative orientation in which meaning is created through participation, imagination and empathy (Rost 2002).

In this sense, the comprehension of oral texts from the cognitive point of view can be understood as a social phenomenon (Carrier 1999). In bilingual education, this is developed interactively between the participants and the environment that surrounds them: “The meaning of a word or phrase is clarified by its use in a specific sentence or social situation. The only real way to understand a speaker’s message or intention is to guess the meaning - something we all do routinely in our native language” (Rubin and Thompson 1982: 75).

Thus, the sociocultural vision of language becomes important in the process of listening in the classroom. In light of this assumption, Thorne (2000) supports the finding that a double process that links the social and psychological dimension of the interactive process can be identified, that is to say that bottom-up processing is initiated due to an external source. According to Nunan (1997: 1) this consists of “process of decoding the sounds that one hears in a linear fashion, from the smallest meaningful units (phonemes) to complete texts” and top-down processing in which the listener actively uses their prior knowledge of the context to attribute meaning to language input. Additionally, Peterson (1991) states that when we listen, bottom-up and top-down processes interact and this interaction leads to understanding. With regard to the levels of interaction, Lynch (1997: 385) distinguishes between different levels in the listening processes: a cognitive interaction between knowledge sources, context and lexical knowledge, a behavioural interaction and a social interaction when we engage in conversations.

Taking these considerations into account, the listening process differs depending on the methodological approach used in educational settings. According to Liubinienè (2009: 90) “listening in a CLIL environment is different from listening in a content lesson conducted in the mother tongue and from listening comprehension tasks in language lessons”. A CLIL teacher is constantly providing the students with language scaffolding. However, there are several factors that can hinder comprehension in the foreign language such as speech rate, language structure and lexis complexity, phonological features, deficit of visuals, background noise and interruption of concentration or hearing.

3. NEUROSCIENCE AND EDUCATION: MULTIPLE INTELLIGENCES INFLUENCE ON L2 LISTENING ACQUISITION

3.1. *THE THEORY OF MULTIPLE INTELLIGENCES AND ITS IMPACT ON EDUCATION*

Recent advances in neuroscience have improved our understanding of the process of learning (Wolfe 2010). The results of studies carried out on the brain attained by the likes of Caine and Caine (1997), Jensen (2004) and Zaidel (1975) have had a significant impact on education. Relevant studies on hemispheric

specialisation show that both hemispheres involve reasoning, thinking and complex mental functioning (Beauport and Díaz 1994; Sperry 1974; Ortiz 1985).

When focusing of the psychological implications of these findings, Gardner (1983) sets forth that intelligence is not only based on categorising cognitive aspects and proposes the theory of multiple intelligences. The theory is based on the idea that every individual owns a set of intelligences located in different regions of our brain. He proposes a new conceptualisation of intelligence and defines it as the ability to solve problems and create products. He identifies the following types of intelligences: verbal-linguistic, logical-mathematical, musical, bodily kinaesthetic, visual-spatial, intrapersonal, interpersonal, natural and spiritual.

According to Gardner (2011), each intelligence does not exist in isolation from the others. All tasks, roles and products of our society require a combination of intelligences, even when one or more is more significant. In relation to this phenomenon, Gardner (1983) develops an intelligent school model based on learning as a consequence of the act of thinking and as a form of deep understanding in which knowledge can be put into practice.

3.2. THE INFLUENCE OF MI IN L2 LISTENING ACQUISITION

In an attempt to determine the relationship between MI and listening skills in particular, various studies have been carried out in recent decades. The findings indicate that there is a positive correlation between MI and listening achievements. The research conducted by Naeini and Pandian (2010), and Davoudi and Chavosh (2016) explores the way in which multiple intelligences and listening self-efficacy scores are linked. The findings from both studies indicate a positive correlation. Naeini (2015) examined the potential effects of MI based activities, such as learning styles, on students' listening proficiency. The findings revealed that the integration of MIT (multiple intelligence theory) contributes significantly to improving the EFL learner's listening comprehension skills. Thus, the influence of MI is more significant if teachers integrate all MI strategies into the curriculum instead of just the most developed ones.

In the listening process, O'Malley *et al.* (1989) identified three main types of strategies to facilitate comprehension: metacognitive strategies, cognitive strategies and socio-affective strategies.

The Multiple Intelligence Theory is an excellent tool for developing metacognitive strategies that regulate the learning of the second language. The application of MI strategies enables teachers to build different frames for working on processes such as generating ideas, checking, self-monitoring, transferring,

selective attention, evaluating, planning, note-taking, revising and drafting. According to Armstrong (2009: 78), logical intelligence can be stimulated using diagrams and mind map classifications and categorisations. Spatial intelligence may also help listeners to organize incoming information spatially. In the processing stages from sound perception to syntactic parsing and semantic analysis, linguistic intelligence is required. Furthermore intonation, tone sensitivity and stress may be improved with musical intelligence.

Concerning cognitive strategies, specific instruction in listening comprehension performance related to inferencing, visualising, problem solving, predicting and summarization is applied. Visual-spatial intelligence is a strategy that may help students to transform what they are listening to into images and to place these images on what is known as an “inner blackboard”, which will then be very useful for generating ideas and for planning (Armstrong 2009: 80). Regarding problem solving, different tactics can be applied at different phases such as the heuristic approach. Armstrong (2009: 78) argues that searching for analogies during problem solving, separating several parts of the problem and proposing possible solutions are all examples of heuristic principles.

Finally, socio-affective strategies are the techniques that listeners use to engage with others, to verify understanding and to diminish anxiety. The cognitive strategies establish a level of empathy between the teacher and the students and include feedback, self-control and clarification (Liubinienė 2009: 90). The result is that the listening processes develop a strong psychological and social dimension in which emotional intelligence (Goleman 1995) in the classroom becomes especially relevant. Interpersonal intelligence is also important for future learning and social relations (Gardner 1998). Diaz-Barriga (2002) finds that learning is more effective when there is empathy among students, due to the fact that it improves the relationships. It is important to build an environment of cooperation among equals according to Johnson and Johnson (1994). They proposed the division of a cooperative activity into five phases: class organisation, presentation tasks, planning of activities, role of the teacher and finally evaluation. Another important intelligence that enhances the socio-affective dimension is intrapersonal intelligence, according to Bogod (1998), as it provides an insight into the subconscious and allows us to identify our thoughts and emotions reflecting on our personality, to become aware of our inner feelings, and to understand the role that we have with respect to other human beings.

4. APPROACHES FOR THE ACQUISITION OF L2 LISTENING ACQUISITION

This study analyses different approaches for L2 acquisition.

4.1. TEFL

This approach is based on a traditional methodology which is mainly focused on the transmission of knowledge through the linguistic and the logical-mathematical intelligences, without taking into account the different intelligence level or capacities of students. It is mainly focused on the grammatical rules of the target language, guided by formal criteria which require the memorisation of rules and vocabulary. The teaching of the foreign language using this methodology is uni-directional, hence there is little or no interaction among students. The traditional school is based on the development of knowledge, forgetting that information can be learned through different channels and how children should learn in school (Gardner 2011).

4.2. CLIL

CLIL has become an “umbrella term that covers a wide variety of education programmes and initiatives based on the transmission of academic content by using a foreign language in the classroom (Méndez and Pavón 2012: 573)”. CLIL is a “dual-focused educational approach” in which there is an “integration” whereby academic knowledge is transmitted in a foreign language. There is no fusion when learning the content of non-linguistic and linguistic subjects (Coyle, Hood and Marsh 2010: 1). The learning process is more meaningful and less stressful than with traditional methods, because of the greater exposure to L2 (Heras and Lasagabaster 2015). With this methodology, MI strategies are effective but students have less exposure during lessons than with the AMCO method, due to the fact that they are used randomly and are not integrated into the language curriculum.

4.3. AMCO

AMCO is an American bilingual program headquartered in San Diego (CA, USA) which was implemented in Spain in 2007/2008 (AMCO International Educational Services Co.). This program integrates L2 learning and contents in order to enrich perspectives in both subject matters and motivate students at the same time (Martorell *et al.* 2012). One of its most innovative characteristics is that it is based on Gardner’s assumption that all human beings possess each type of intelligence and that they are educable. This is an innovative American methodology that includes MI strategies in all academic areas of the curriculum.

5. RESEARCH DESIGN

5.1. OBJECTIVES AND RESEARCH QUESTIONS

The general objective of the present study is to investigate the relationship between multiple intelligences and the development of listening skills. A comparative analysis has been made of different educational strategies in which the integration of MI in the curriculum differ: The AMCO bilingual education model, CLIL and the teaching of the L2 following the EFL methodology. This research was conducted in three educational centres in which the aforementioned methodologies are implemented in the fourth year of primary education.

In order to analyse the effectiveness of the integration of multiple intelligences strategies we have designed the following research questions:

1. Does the integration of multiple intelligences strategies in the curriculum lead to the improvement of learners' proficiency in listening comprehension?
2. What is the repercussion of the different methodologies analysed on the acquisition of listening skills?
3. Does the integration of multiple intelligences in a bilingual programme promote motivation in the listening learning process?

5.2. SETTINGS AND PARTICIPANTS

This study aimed to analyse the influence of MI through three different models of learning L2 listening skills in the foreign language. Given that we carried out the study in bilingual and non-bilingual settings, the groups were naturally formed according to the centre's criteria. The sample comprises of 71 students that have Spanish as their L1 and that are in the process of learning English equivalent to A2 level in the Common European Framework Reference for Languages of the Council of Europe (CEFR).

This study was carried out in the fourth year of primary education. The centres were selected in accordance with the implementation of the three approaches analysed in this study.

The first school involved in this study is the Salesian School, in Montilla (Córdoba), which implemented the traditional method of foreign language teaching. The second school involved in the study is the "Colon School" in Córdoba (Andalusia), in which CLIL is implemented. The third school is the "Ramiro de Maeztu School" in Madrid, which is a pioneer school in the implementation of the AMCO.

5.3. DATA GATHERING PROCEDURE

In this eclectic study, we applied two paradigms: quantitative and qualitative. Data gathering took place during the second quarter of the year in several phases. The first phase consisted of the collection of test data to measure the level of listening acquisition. There were two sessions per group, in which special attention was paid to the different methods used in listening instruction. The variable entitled “listening skill” refers to:

- The ability to recognize basic vocabulary and understand short, frequently used phrases related to oneself and to the family, when speaking clearly, slowly, with visual support, even if the text is not understood in its entirety.
- The ability to understand the pronunciation and spelling of words in simple sentences and short texts.
- The ability to understand the global meaning of oral texts related to the students' closest environment.
- The ability to understand key words and basic expressions, related to classroom activities or the school context.

In the second phase, data collection took place to measure the level of student motivation. The Emotional Intelligence Scale helps us to discover the potential for self-realization and high emotional capacity. This scale was designed by Rubén Darío and Jenni Elizabeth and was adapted by the Research Group on High Capacities and Multiple Intelligences of the University of Murcia. It is a self-assessment test using a Likert scale, consisting of twelve items for each of the components, with several potential responses. The variable entitled “motivation” refers to the ability to be in continuous pursuit of the achievement of objectives, facing problems and finding solutions. The language of the questions was simple, so that it could be answered according to the characteristics of each child. It consisted of 12 items. Each question could be answered by choosing the possibility of “never”, “sometimes” and “almost always”, evaluated between 0, 1 and 2 respectively. The assessment of the scores in each area was: 0-6, very low 7-12, normal-low 13-18, normal 19-24, high.

Finally, in the third phase of the study, we proceeded to collect qualitative data through observation in which the instruments used were diaries, reports, and field notes.

6. RESULTS AND DISCUSSION

Quantitative data collected in the educational centres was analysed by specialists at Cordoba University's Department of Statistics. Furthermore, the results were interpreted within the qualitative framework of the researchers' observations.

Figure 1 shows the listening results in the Salesian school where the traditional methodology was used. As shown in figure 1, the ratings obtained were favourable considering that 38.9 of students obtained SB (excellent), 16,7 NT (very good), 11.1% BI (good), 27,8% 5,6 SU (pass) IN (fail). These results indicate that students who are exposed to the traditional method of instruction have more difficulty in developing L2 listening skills. Students demonstrated inaccuracies when recognizing basic vocabulary and understanding short phrases.

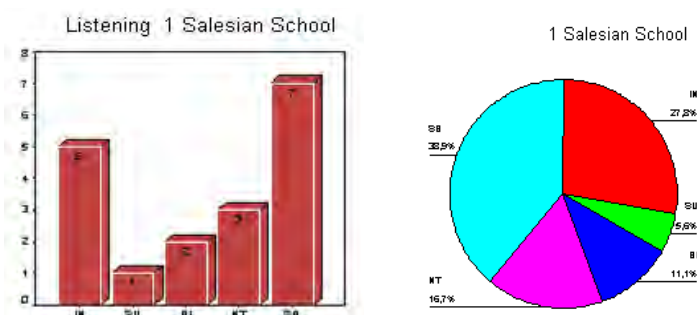


Figure 1. Variable Listening Skills in the Salesian School.

Figure 2 concerns the results of the listening test obtained by students in the CEIP Colon, where the CLIL methodology is used. The findings indicate that 66,7% obtained SB (excellent), 18,5% NT (very good), 3.7% BI (good), 7.4%, 11.1% IN (fail). The results from the CLIL group reveal that the scores are not homogeneous. This data shows that more than 50% of students obtained a high score in listening skills.

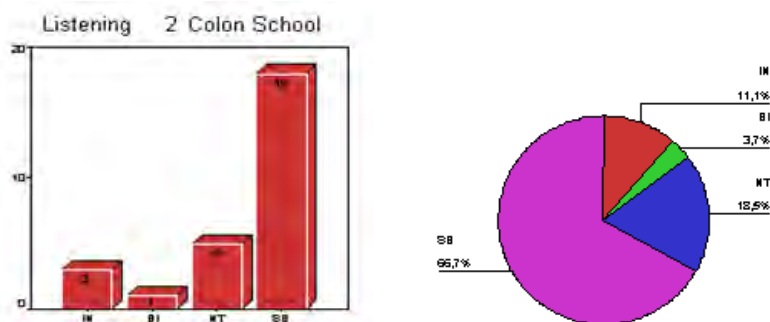


Figure 2. Variable Listening Skills in the Colon School.

Figure 3 shows the listening test results in an independent study of the Ramiro de Maeztu centre where the AMCO methodology was used. 92,3% of the students obtained SB and 7,7 was the omitted value. The findings obtained are homogeneous and reflect the excellence of the students' listening acquisition.

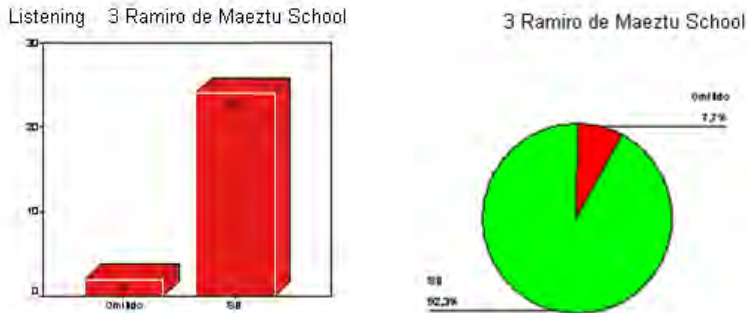


Figure 3. Variable Listening Skills in the Ramiro de Maeztu School.

Figure 4 illustrates the global study of the centres and Table 1 offers a descriptive analysis of the listening test that was carried out in the selected centres. These serve to demonstrate that participants that followed a bilingual programme in which MI strategies are integrated into the language curriculum, obtained proficiency level in listening comprehension. The results are high and homogeneous. Students following MI strategies, successfully demonstrated the ability to recognize basic vocabulary and

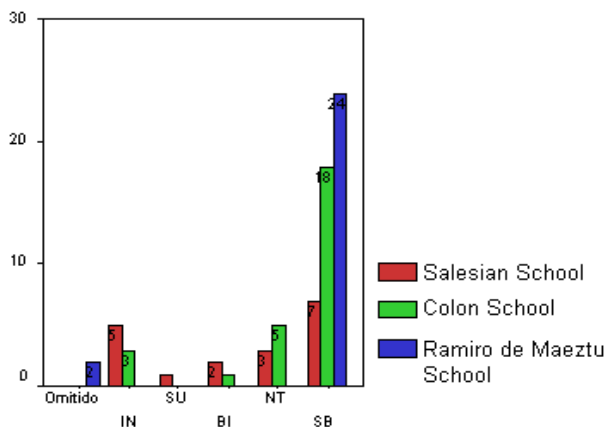


Figure 4. Global study of the centres.

understand short, frequently used phrases, as well as the ability to pronounce and spell words in simple sentences and short texts. Regarding the results of the Colon School, in which participants were exposed to the CLIL methodology, the results are not heterogeneous and they are lower than those of students exposed to the AMCO methodology. Finally, regarding the results in the Salesian School, in which participants are taught using traditional methods, students obtained a lower score. These findings suggest that the inclusion of MI strategies in the curriculum has a significant effect on the acquisition of their L2 listening skills.

Table 1. Descriptive Analysis of the Listening Test in the Selected Centres.

SCHOOLS			Statistics	Error type	
LISTENING SKILL	Salesian School	Average		7,0667	0,59288
		Interval for the average 95%	Lower Limit	5,8158	
			Upper Limit	8,3175	
		Median		7,25	
		Typical Deviation		2,51536	
		Minimum		2	
		Maximum		10	
		Rank		8	
	Interquartile		5		
	Colon School	Average		8,5926	0,41002
		Interval for the average 95%	Lower Limit	7,7498	
			Upper Limit	9,4354	
		Median		9,5	
		Typical Deviation		2,13053	
		Minimum		2	
		Maximum		10	
		Rank		8	
	Interquartile		1,5		
	Ramiro de Maeztu School	Average		9,8958	0,04234
		Interval for the average 95%	Lower Limit	9,8082	
			Upper Limit	9,9834	
		Median		10	
		Typical Deviation		0,20743	
		Minimum		9,5	
Maximum		10			
Rank		0,5			
Interquartile		0			

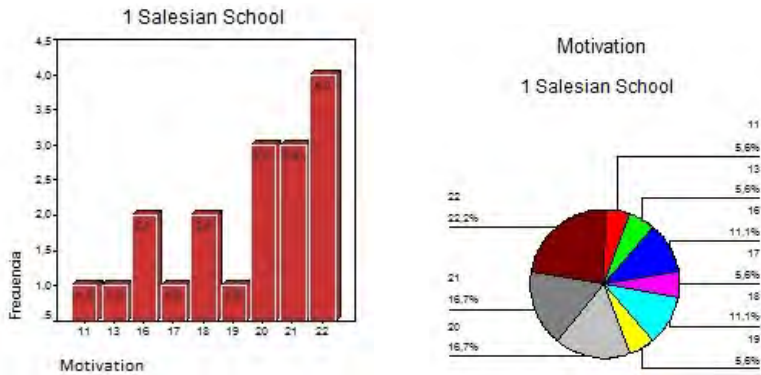


Figure 5. Variable Motivation in the Salesian School.

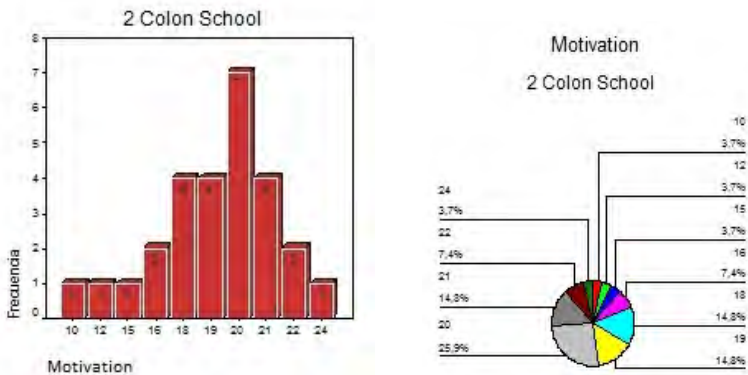


Figure 6. Variable Motivation in the Colon School.

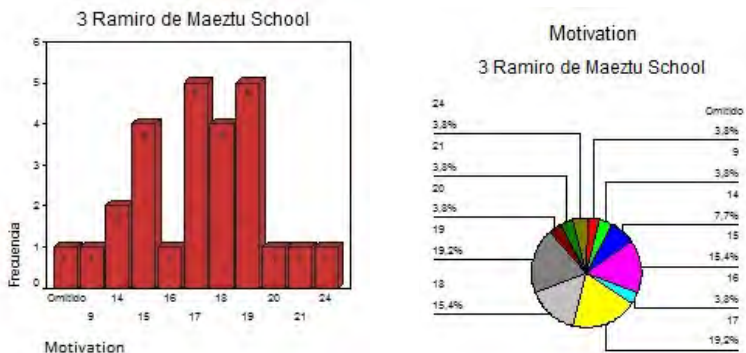


Figure 7. Variable Motivation in the Ramiro de Maeztu School.

Table 2. Descriptive Analysis of Motivation in the Selected Centres.

SCHOOLS			Statistics	Error type	
Motivation	Salesian Shool	Average		18,83	0,76
		Interval for the average 95%	Lower Limit	17,24	
			Upper Limit	20,43	
		Median		20	
		Typical Deviation		3,204	
		Minimum		11	
		Maximum		22	
		Rank		11	
	Interquartile		4,5		
	Colon School	Average		18,85	0,58
		Interval for the average 95%	Lower Limit	17,67	
			Upper Limit	20,04	
		Median		20	
		Typical Deviation		2,996	
		Minimum		10	
		Maximum		24	
		Rank		14	
	Interquartile		3		
	Ramiro de Maeztu School	Media		17,2	0,57
		Interval for the average 95%	Lower Limit	16,02	
			Upper Limit	18,38	
		Median		17	
		Typical Deviation		2,858	
		Minimum		9	
Maximum		24			
Rank		15			
Interquartile		4			

The results of the “motivation” variable indicate that the students exposed to the CLIL methodology in the CEIP Colón, obtained an average of 18.85. This was followed by the Salesian centre, where English is taught as a foreign language with an average score of 18, 83. Finally, students from the CEIP Ramiro de Maeztu, in which the AMCO methodology is taught, obtained 17.2. The overall assessment used in the three centres identified a range of scores from 13-18, which implies that this is normal in the three centres.

On the basis of the data collection, some significant findings emerge. The first research question attempted to explore if the integration of multiple intelligences

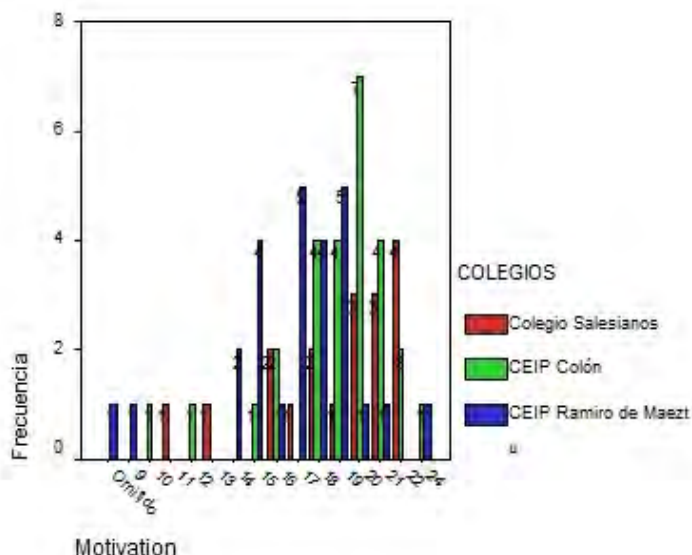


Figure 8. Global study of the centres.

strategies into the curriculum lead to the improvement of learners' proficiency in listening comprehension. The results indicate that there is a positive correlation between MI strategies and listening scores. The integration of MI strategies into the language curriculum in a structured way, allows the teacher to design instruction in an effective manner in order to aid the acquisition of listening skills. Furthermore, students make connections with other areas when MI strategies are used systematically in language lessons. This is a very important factor in bilingual education, in which the learning of linguistic and non-linguistic subjects is promoted at the same time. MI strategies promote a facilitating environment for listening activities, providing a meaningful learning and social context that enables the students to understand the second language and improves their cognitive development.

Regarding the second research question, in which we investigate the repercussions of the different methodologies on the acquisition of listening skills, significant differences were identified. In this study, we analysed the development of listening skills using two bilingual methodologies, AMCO and CLIL, as well as the TEFL, in order to study the effect of multiple intelligence strategies. According to Pavón (2007: 56), in bilingual education teaching is based on the integration of content and language learning and the teaching programmes are built on a common basic structure such as, "basic information, title of the unit, cross-cutting themes,

aims, objectives, content and sequencing of the unit, design and sequencing of activities, evaluation, materials and bibliography". The evaluation of the acquisition of listening skills under the bilingual programme AMCO, that integrates MI into the curriculum, is proof that there is a higher level of listening acquisition than with other methodologies in which MI strategies are used in the curriculum, although not in an integrated or systematic manner. The results of the listening scores of students exposed to the teaching of English as a foreign language are below average compared to students subjected to the aforementioned methodologies. One of the most striking differences is that the AMCO and CLIL bilingual programmes have a psycho-pedagogical dimension that improves students' listening level compared to teaching English using a traditional methodology. TEFL encompasses a series of concepts concerning the transmission of knowledge using the L1 and the translation to the L2. Another important difference of this model compared with AMCO and CLIL, is that objectives and content are not integrated. Regarding the application of MI in this methodology, instruction is mainly based on logical and mathematical intelligences without consideration of the differences among students, some of whom had great difficulty with their listening skills. Recent research highlights the importance of the integration of MI instruction into different school subjects (Geimer *et al.* 2000; Kuzniewski *et al.* 1998). A methodology in which MI strategies are applied in instruction, provides the students with a variety of strategies and activities that engage the student's natural talents. In this sense, Arnold and Fonseca (2004) agree that MI has strong implications for teaching and learning. The findings from the observation phase of the listening instruction show that the application of MI strategies in the classroom enables students to think and act flexibly in various contexts. The AMCO and CLIL methodological strategies focus on learning through cooperative tasks, in this sense personal intelligences reinforce the process of listening and speaking. Both programmes recognise the importance of the use of MI strategies, in spite of the fact that they are organised in a different way.

Finally, the third research question asked whether the integration of multiple intelligences into a bilingual programme promotes motivation in the listening learning process. Motivation is one dimension of emotional intelligence (Goleman 1998) that enables students to develop without being affected by a negative mental state. The findings demonstrate that the students' level of motivation in the different centres is at a normal level, meaning that there is no significant correlation.

7. CONCLUSIONS

The present study has aimed to investigate the potential effectiveness of the application of multiple intelligences strategies in different methodologies and

the students' achievements in listening skills through a comparative methodological analysis. Data collection was reinforced by the observation phase of the different L2 learning settings. The results bring several issues regarding the relationship between MI strategies and listening achievements to light. On the basis of the results obtained, we found that there is a remarkable difference in the score of the listening tests depending on the methodology used. We estimate that a programme that integrates MI strategies into the curriculum, has great repercussions on the process of listening comprehension, favouring both cognitive and emotional dimensions. It is important to note the relevance of the interpersonal and intrapersonal intelligences in the process of listening achievements. In this sense, Carpena (2010) supports the assumption that all aspects of the primary stage must be programmed, for example by using techniques to help students to manage their emotions. The integration of MI into the curriculum provides students with a variety of ways to develop their listening skills. The results of the third research question show that students demonstrate the right attitude and motivation towards listening acquisition in the L2 in all the centres in which the different approaches were applied. According to Dörnyei (2005), motivation is acquired from successful engagement with language learning, this improves creativity and activates the thinking process of the students. As a positive consequence of this process, student comprehension and problem-solving are improved. Recent research into foreign languages has shifted towards more learner-centred methods that take learners' characteristics and differences into greater consideration (Elgün and Doğan 2016: 1688). The findings show a certain need for a change in the traditional methods characterized by the excessive emphasis placed on the rational element and on a unidirectional and non-participatory methodology.

In the light of the results obtained, we suggest that using MI in the curriculum leads to higher efficacy and to a higher level of listening skill achievement in primary education. With regards to possible lines of future research, an eclectic approach could be used to investigate the contribution of psycho-pedagogical factors that affect the acquisition of listening and other skills.

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**“WHAT WILL YOUR VERSE BE?": IDENTITY AND MASCULINITY IN
DEAD POETS SOCIETY**

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ABSTRACT. *Peter Weir's popular classic Dead Poets Society (1989) has been considered a movie dealing with masculinity, especially with the evolution of a group of teenage boys from boyhood to manhood, along with their quest for their identities. Both the masculine traits and the pursuit of the characters' voices are represented in the four sites analysed by Pat Kirkham and Janet Thumin in You Tarzan (1993). These four sites – the body, action, the external world and the internal world – are applied in this paper to Dead Poets Society, paying especial attention to the portrayal of masculinity and identity in the three main protagonists of the movie.*

Keywords: *Dead Poets Society, masculinity, identity, Kirkham and Thumin, film, Robin Williams.*

“¿CUÁL SERÁ TU VERSO?”: IDENTIDAD Y MASCULINIDAD EN *EL CLUB DE LOS POETAS MUERTOS*

RESUMEN. *El clásico popular El Club de los poetas muertos, dirigido por Peter Weir (1989), ha sido considerado una película sobre masculinidad, en particular sobre el paso de un grupo de adolescentes de la infancia a la edad adulta, y su búsqueda de identidades. Tanto los rasgos masculinos como esa búsqueda de las voces de los protagonistas están representados en los cuatro rasgos analizados por Pat Kirkham y Janet Thumin en You Tarzan (1993). Estos cuatro rasgos – el cuerpo, la acción, el mundo exterior y el mundo interior – se aplican en este artículo a El Club de los poetas muertos, prestando especial atención a la representación de la masculinidad y la identidad de los tres protagonistas principales de la película.*

Palabras clave: *El Club de los poetas muertos, masculinidad, identidad, Kirkham y Thumin, cine, Robin Williams.*

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1. INTRODUCTION

There has always been a taste in American cinema for movies dealing with manly desires and concerns and with the complex concept of masculinity. This is the case of such patriotic war movies such as Steven Spielberg's *Saving Private Ryan* (1998) or *War Horse* (2011)¹ or of sport movies like Boaz Yakin's *Remember the Titans* (2000), which bring to the fore the importance of male bonding. In these films, female figures have little to no role at all, since the centre of the stage is reserved for manly figures that the audience (mostly men) are willing to identify with.

Although not dealing with such traditionally masculine topics as war or sports, *Dead Poets Society* (Peter Weir, 1989) could also be included in this category, given that it is concerned with male bonding within a group of young men who are engaged in a quest for identity. Regardless of some of its harshest reviews,² the movie was well-received by critics and audiences alike and, twenty-eight years later, it is still a popular classic. One of the reasons for this is undoubtedly the

¹ For a case study of the application of the four sites which are analysed in this paper to Steven Spielberg's *War Horse*, see Díaz-Cuesta (2014).

² Especially remarkable in this respect is Roger Ebert's 1989 review, in which he claimed that he was so moved at the end of the movie that "[he] wanted to throw up". <<http://www.rogerebert.com/reviews/dead-poets-society-1989>>.

fact that, as Mike Hammond understands it, the central concern of the movie has to do “with masculinity and in particular with rites of passage, male bonding and the relationships of older authority figures to adolescent males. The film sets out to show how boys become men” (1993: 55). Indeed, the main focus of the movie is on the quest for identity of the main male protagonists and on the search for their own voice, their ‘barbaric yawp’.

As a means to explore that pursuit, in this paper I will analyse the movie from the perspective of the four sites studied by Pat Kirkham and Janet Thumin in *You Tarzan* (1993): the body, action, the external world, and the internal world. These four sites represent complementary areas where “various traits of masculinity are signaled” (Kirkham and Thumin 1993: 11). Starting from the most obvious male representation, the body, and dealing with its related site, action, through to the external world, the internal world will be eventually reached, where the ultimate goal of the three main characters – Mr. Keating (Robin Williams), Neil Perry (Robert Sean Leonard) and Todd Anderson (Ethan Hawke) – is made more evident.

2. THE BODY

Kirkham and Thumin discuss the body in terms of its display, referring “to the visual representation of the male, [...] to the spectacle of the male body” (1993: 11). In *Dead Poets Society*, there is no explicit emphasis on naked, sexualized male bodies. In fact, the physical aspect of characters is never a key issue in the attraction they exert on others. Thus, the character that mostly attracts the audience’s attention is John Keating (performed by Robin Williams), in spite of his not being the main protagonist of the movie.³ Although the first shots of the movie are meant for the students rather than for Keating, when he makes his silent first appearance in the fourth minute of the film, all gazes are turned towards him. This centrality of Keating within the movie is further highlighted by the fact that the first name that appears in the list of credits is that of Robin Williams, followed by the ensemble of actors playing the students. In this regard, Hammond argues that “John Keating, through Robin William’s performance, is offered as object of desire and identification” (1993: 61). This idea is especially present in Keating’s lectures, where his position of power is made clear both when he stands on top of his desk, forcing the students – and, therefore, the audience – to look up to him, to

³ In his 1989 review for *The New York Times*, Vincent Canby argues that one of the problems of the movie is precisely that the character of John Keating does not play a more significant role: “although John Keating is the most vivid, most complex character in it, he is not around long enough”. <<http://www.nytimes.com/movie/review?res=950DE0DE1F31F931A35755C0A96F948260&mcubz=1>>.

observe him from an inferior position, and when he bends down and instigates them to huddle around him, remaining once again in a position of admiration.

Kirkham and Thumin “also refer to the actor’s presence, his star persona, as an important element of this material construction” (1993: 11). It is worth mentioning here the casting choice of Robin Williams for the portrayal of John Keating. Williams was first and foremost a comedian – he spent much of his career doing stand-up comedy –, although the variety of genres and characters he explored is outstanding. Since *Good Morning, Vietnam* in 1987, he started to star in drama movies, including *Good Will Hunting* (1997), which granted him his Academy Award for Best Supporting Actor.⁴ Critics in general praised his performance as Professor Keating in *Dead Poets Society* (he received an Academy Award nomination for it), although William’s ‘star persona’ was ever-present. Roger Ebert claimed along these lines that “Williams does a good job of playing an intelligent, quick-witted, well-read young man. But then there are scenes in which his stage persona punctures the character – as when he does impressions of Marlon Brando and John Wayne doing Shakespeare”^{5,6}

Laura Mulvey also refers to this idea in her essay “Visual Pleasure and Narrative Cinema”, in which she analyses the male figure starring in a film as someone the spectator can identify with:

As the spectator identifies with the main male protagonist, he projects his look onto that of his like, his screen surrogate, so that the power of the male protagonist as he controls events coincides with the active power of the erotic look, both giving a satisfying sense of omnipotence. A male movie star’s glamorous characteristics are thus not those of the erotic object of the gaze, but those of the more perfect, more complete, more powerful ideal ego conceived in the original moment of recognition in front of the mirror. (1989: 20)

Williams’ attractiveness in the movie does not come from his physically ‘glamorous characteristics’ but rather from his touching, inspiring qualities as he

⁴ In fact, the part of the psychologist that Williams portrays in *Good Will Hunting* bears much resemblance with the character of John Keating in their roles as paternal and mentor figures for the protagonists.

⁵ <<http://www.rogerebert.com/reviews/dead-poets-society-1989>>.

⁶ It is worth mentioning here that the movie was adapted for the stage in 2016, starring Jason Sudeikis as Professor Keating. Sudeikis also has a career composed mainly of comedies, including his role in *Saturday Night Live* as actor and writer from 2003 to 2013. Once again, Mr. Keating was played by a comedian. In his review for *The Guardian*, Alexis Soloski qualifies Sudeikis’s Keating as “playful, serious-minded and immensely sympathetic”, which could also be applied to Williams’ performance in the movie. Perhaps the sympathy Soloski is alluding to comes from the choice of a well-known comedian to play this dramatic role, leaving him out of his comfort zone. <<https://www.theguardian.com/stage/2016/nov/17/dead-poets-society-review-jason-sudeikis>>.

portrays Keating. The spectator identifies not with Williams' persona as physically good-looking (as it may be the case with other actors in other movies) but with Keating himself, with Williams' stage persona as a comedian playing the role of the lovable English teacher, with the inspiration everyone would ultimately want to encourage in their self-reflection in the mirror. In his review for the *Daily News*, Hank Gallo claimed that “[t]here is a warmth [Williams] projects that seems so real that you, like boys, would gladly follow him anywhere.” This is precisely Williams' (and the movie's) achievement – the fact that the audience is encouraged by Keating's philosophy and willing to put it into practice.

Whereas Robin Williams was a well-known actor by the time *Dead Poets Society* was released, the actors playing the protagonists of the movie were not. Ethan Hawke, playing Todd Anderson, had only featured in two films before 1989, although the acclamation of critic and public alike granted him his subsequent world-wide success.⁷ The same could be said of Robert Sean Leonard (Neil Perry), who had a couple of years of experience in theatre but was not a recognizable face yet.⁸ However, despite Hawke's and Leonard's almost anonymity, critics praised them for their performance in the movie: “As for the boys, they are all wonderful. [...] Ethan Hawke and Robert Sean Leonard are particular standout.” (Gallo)

Continuing with the analysis of the body in the movie, there are two other male characters that deserve special attention. According to Kirkham and Thumin, the representation of the body may reflect two contradictory issues, namely vulnerability and dominance (1993: 12). In the case of *Dead Poets Society*, this contradiction in the representation of the body is personified in two different characters, Neil Perry and Charles Danton, respectively. Neil's body is presented as a site of vulnerability; in fact, the most vulnerable moment of the whole film is found when Neil is considering suicide after his father's ultimatum and final decision regarding Neil's future. Pure Romanticism is found in Neil's reaction, starting with his taking off his clothes and facing the world as the Romantic figure he is: confronting the dark, snowy and foggy night half naked, with Puck's crown of thorns. This is his way of showing himself to the world, of revealing his truest self, his chance to take the reins of his own life for the first time and to be in control of his choices, even though the only way out he can find is suicide.

The other aspect related to the body Kirkham and Thumin refer to is virility, or dominance. In *Dead Poets Society*, this is represented in the character of Charles

⁷ Hawke has starred in more than two movies a year since then, among which the *Before* trilogy (Richard Linklater 1995, 2004, 2013) should be pointed out.

⁸ After *Dead Poets Society*, Leonard's most famous role came with *Dr. House*, the TV show where he played Dr. James Wilson during the eight seasons of the drama.

Danton, especially when he draws a red lightning bolt in his chest as a symbol of masculinity: “It’s an Indian warrior symbol for virility. Makes me feel potent. Like I can drive girls crazy”. I personally understand Charles Danton (a.k.a. Nuwanda) as the most ‘physical’ of the characters, the one playing violently and the one, along with Knox, overtly interested in sexuality. As a matter of fact, sexuality seems to have its importance in the movie as well. Mr. Keating claims that language was invented “to woo women”, and that is apparently Charlie’s prime aim in using poetry, as shown in the fact that he takes girls to their secret cave and recites classical poetry to them as if he were the poet, with one intention only.⁹

3. ACTION

The body and action are two sites that are closely linked, since action is also related to the physical. As Kirkham and Thumin put it, these displays of the physical include “violence, competition, aggression, skill, and endurance, in which these attributes are depicted in terms of the male body in action” (1993: 12). In *Dead Poets Society*, all these manifestations can be found, one way or another.

As suggested in the previous section, Charles Danton is one of the most violent characters in the movie, as appreciated in one of the scenes after Neil’s suicide, when he attacks Cameron for his betrayal. Cameron has denounced Mr. Keating to the headmaster as responsible for Neil’s death, and therefore he is considered a traitor to their group, having betrayed the sense of loyalty to that family (after all, they are a society of their own). Several characters have to grab Charles so that he does not turn against Cameron, although he ends up assaulting him anyway. Thus, this is one of those scenes in which the division between romantics and realists, which will be analyzed in the section related to the external world, can be appreciated.

Action, according to Kirkham and Thumin, also relates to competition and endurance. As will be taken up again when dealing with the external world, every character seems to be competing against reality one way or another. In terms of masculinity, Knox could also be understood as competing against Chet to win Chris’ attention. Here, another aspect of paramount relevance to masculinities is present, the competition between two men to earn the love of the woman.¹⁰ Chet’s reaction when Knox kisses a sleeping Chris is a violent one, for he immediately

⁹ Knox also applies the philosophy of the *carpe diem* to sexuality, understanding Keating’s urging to seize the day as his encouragement to get the girl, whatever it takes.

¹⁰ The motif of the love triangle is quite present in romantic comedies, for instance *Bridget Jones’s Diary* (Sharon Maguire, 2001) or *Shakespeare in Love* (John Madden, 1998) among others, and also in some action movies such as *The Dark Knight* (Christopher Nolan, 2008) or *Pearl Harbor* (Michael Bay, 2001).

turns to Knox and starts attacking him, defending thus his virility and manhood, reflected in the possession of the woman. The original script by Tom Schulman, however, depicts a much more aggressive and sensual scene in which Knox is a witness of Chris and Chet kissing fiercely when "Knox's hand reaches out and begins to ever so lightly stroke the nape of Chris' neck down toward her breast. [...] Knox moves his hand up and down her, sensuously."¹¹ Hence, the role of the woman is subdued and reduced to the cause of conflict between two men, to the object or prize these two male characters are fighting for.

In the end, not only Knox, who gets the girl, but also the rest of the characters win their personal wars – understanding Neil as a winner in the sense that he gets control of his life, even though that control inevitably implies his own death. In fact, Kirkham and Thumin explain the character of Neil as someone "who is torn between two sets of values, both expressed as demands. But when this young man comes to act independently it is not the act of the successful man but that which his society judges a failure, namely suicide" (1993: 16). Even if the audience views Neil's suicide as a sign of an unhappy ending, it represents Neil finding his true voice and his identity as a romantic. Besides, his decision triggers another reaction, an awakening in Todd, as will be explored in the last section.

Finally, this site was also understood by Kirkham and Thumin as representing skill. The three main characters of the movie present their talent in different ways, but all of them are at some point objects of the gaze of an audience, whether a class or a crowded theatre, which also relates to the body. It has already been discussed the way in which Mr. Keating's conveying of his passion, namely literature and its power, turns him into the bullseye of admiration. Todd also manifests a certain literary talent, portrayed in the poem he composes for Keating's class and which will be analysed in the last section of this paper. In the case of Neil, his passion and talent are clearly represented in his acting, which drives his life and consequently results in his death. These three characters present an artistic talent that the realists are unable to comprehend, therefore broadening the gap between romantics and realists that will be crucial for the denouement of the film.

Notwithstanding, I believe the most important scene regarding action has to do with taking action, with taking a step forward (also literally) against conformism, against injustice, against reality even. This scene is, of course, the most famous scene of the whole film, the "O Captain My Captain" scene.¹² The homonymous

¹¹ Nonetheless, the script was modified until the version we find in the movie, and in fact the character of Knox would have been understood completely different if this version of the scene had remained. <<http://readwatchwrite.com/wp-content/uploads/2015/08/Dead-Poets-Society.pdf>>.

¹² In an article following Williams' death, Jessica Goodman argues that this scene of the movie inspired a generation, honoring Williams both "as a fictional teacher and a metaphorical one to the young actors

poem by Walt Whitman is dedicated to the assassination of Abraham Lincoln in 1865, who is identified in the poem with the captain of the ship (i.e. the US). From the beginning of the movie, Keating has instigated his students to identify him with the captain of the ship, adding to the admiration we were alluding to in terms of the body. In this scene, the students finally take action, preferring to stay by their captain's side, rather than accepting that they are actually standing on a sinking ship. The battle between romantics and realists is made completely clear in this final scene, in terms as well of the position of the characters – some standing on their desks, face up, versus those who remain seated, unable to look up. Furthermore, we see Mr. Keating from a high-angle shot, from the perspective of the students, of the Romantics, in an idealized position that does not correspond to the realist view of Mr. Nolan or the rest of the class, whose heads facing down mark the rejection of Keating's figure. Thus, the audience is linked to the Romantics in the perspective that has prevailed throughout the whole movie.

4. THE EXTERNAL WORLD

Kirkham and Thumin understand the external world as the representation of “the public interaction of male characters with each other and with the conventions and institutions against which they operate” (1993: 12). Thus, I have divided this section in three sub-sections, corresponding, respectively, to the students' relationship with Mr. Keating, with each other, and with authority.

The students' relationship with Mr. Keating is probably the most important relationship of all. Kirkham and Thumin argue that Keating proposes “a ‘decent’ (though by no means radical) masculinity as an alternative to [...] the cold and ruthless élitism of the upper middle class in its maintenance of social hierarchies” (1993: 21). What Keating is praising in the film is not only critical thinking but also the breakdown of an establishment that is no longer working. In this sense, Keating is setting the students free from the strings that restrain them. He shows them to the world of poetry, of literature, of living.¹³ Hence, the students look up to their teacher as their leader and role model. After all, they follow Keating's figure as the founder of the Dead Poets Society, Neil turns to him when he needs help to confront reality (his father)¹⁴ and even Charles/Nuwanda acts fearlessly

in the movie”. In fact, the vast majority of images used when Williams died came from *Dead Poets Society* and this scene in particular, showing its power both within the movie and outside of it.

¹³ As I will discuss in the next section, he is the one who takes the blind out of their eyes and shows them the necessity to look for their own selves.

¹⁴ Kirkham and Thumin also discuss in this regard that “Freudian notions of absent father and ‘ideal’ substitute father are self-consciously invoked in the case of *Dead Poets Society*” (1993: 21). Along these lines, José Díaz-Cuesta (2010) studied the importance of the paternal figure and its connection to

believing that Keating is going to be pleased. In a way, they are imitating him, they want to be like him – as Nolan warns Keating, “boys [that] age are very impressionable”, and they probably see in Mr. Keating the best role model to follow, for the rest of authorial figures are full of rules and impediments, whereas Mr. Keating allows them to be free. Keating’s peculiar position sets him always in between authority and rebellion, “between the elderly tutors and the boys, since he is both teacher and [former] student” (Hammond 1993: 57), allowing thus the special relationship he maintains with the students, their closeness to him, and their admiration towards his figure.¹⁵

Hence, the students even worship him, linking here the metaphor of the Captain of the ship to a possible understanding of Keating as a God figure. In this regard, Baker and See view Mr. Keating as a Christ-like figure or martyr, in the sense that he gives up teaching (his ultimate passion) for the benefit of his students, to “promote his ‘religion’”. As will be seen, Keating is not the only martyr in the movie, though.

Another important bond is that of the students with themselves, as members of a community, the society in the title of the movie. They act as a group in most cases: they all support Neil in his struggle against his father for the pursuit of his dream, they all accept Todd’s shyness and decision to attend the meetings as a listener but not a reader, and they all turn against Cameron when he betrays Mr. Keating. In fact, the sense of group can also be appreciated when they all sign the document against Mr. Keating, albeit against their own will. However, I believe Neil’s suicide ends up dividing them instead of making them stronger, for it opens the gap between the pure romantics that blame Mr. Perry (Charlie, Knox, Todd) and those who prefer to remain realists and blame Mr. Keating (Cameron).

As a matter of fact, the students’ relationship with authority, especially with Mr. Perry and Mr. Nolan, is that of rebellion. Here is where that distinction between Romanticism and Realism as two opposed views of life can be more clearly found. The students, led by Mr. Keating, are the romantics, those inspired by nineteenth-century poetry, who want to “suck all the marrow of life” (Thoreau), those who

masculinity in a corpus of movies directed by Steven Spielberg, including *Indiana Jones and the Last Crusade* (1989), *Hook* (1991), also starring Robin Williams, or *Jurassic Park* (1993), among others. These films, as it is the case in *Dead Poets Society*, emphasize the close relationship between fatherhood and masculinity, especially the absent father and the paternal figure that must take his place (Diaz-Cuesta 328-9).

¹⁵ It is precisely this admiration that leads Kevin J. H. Dettmar to point out that at the end of the movie the students have not found their true voice, but rather they have adopted Keating’s: “Even when the students reprise this desktop posture at the film’s close, in a gesture of schoolboy disobedience (or perhaps obedience to Keating), we realize that while the boys are marching to the beat of a different drum, it’s Keating’s drum. Or they’re dancing to his pipes.” <<https://www.theatlantic.com/education/archive/2014/02/-em-dead-poets-society-em-is-a-terrible-defense-of-the-humanities/283853/>>.

“may contribute a verse” (Whitman). The realists, on the other hand, are more pragmatic and represented by Mr. Perry and Mr. Nolan. Their view of life is more practical and less figurative. One of the many examples of this distinction is a conversation between Mr. Keating and Mr. Nolan regarding their teaching methods. Keating is trying to teach his students to think for themselves, instead of falling into group-thinking. Mr. Nolan, on the other hand, goes for the practical option and considers that they have to prepare the students for college instead of for life, following the school’s mottoes of tradition and discipline. Consequently, Mr. Nolan applies Dr. J. Evans Pritchard’s mathematical formula to comprehend poetry and calculate the greatness of a particular poem, whereas Mr. Keating instructs his students to rip out the whole preface, instigating critical thinking.

Moreover, this battle between Romantics and Realists is also seen in the competition of some characters against reality, especially Neil’s. His struggle is reflected in the quarrel with his father, in his personal battle to be the hero of his own life. This is a fight between dreams and reality, between his daydreams of becoming an actor and his father’s down-to-earth plans for his son to become a doctor. Besides, Todd also fights against reality, against his family’s expectations of him. Unlike Neil, he is insecure about his own self and he will try to find his identity throughout the movie, as will be discussed in the next section.

5. THE INTERNAL WORLD

Everything I have been mentioning regarding the preceding three sites has been anticipating the idea of identity, the characters’ identities both as members of a group and as individuals. I consider the internal world, therefore, as the most important site represented in the movie, understanding it as a story about the characters’ quest for identity. In this quest for their own selves, Mr. Keating plays the role of the ‘spiritual guide’, of the leader whom they follow blindly. His guiding method is mainly poetry, understood as “what we stay alive for”; in other words, what we essentially are and what distinguishes us from other living beings. Keating, following Walt Whitman (who watches over the class), instigates them to find their “barbaric yawp”, their own voice. Keating’s mission is to implement critical thinking in their minds, to help them find their own path. This is made clear in the walking scene in the courtyard, when he tries to teach them to swim upstream, to go for individuality and against conformism. This implies looking at the world from a different perspective, from different angles, instead of remaining in our chosen paths, with the blinkers on.

The characters’ quest for identity, nonetheless, inevitably implies their evolution from boyhood to manhood, and therefore they are also seeking their masculinity

in the process. Kirkham and Thumin also discuss the “anxiety about gender identity” in terms of the internal world (1993: 23), the necessity of men to prove “themselves not only by taking risks but also by taking more risks than anyone else and thus being more ‘manly’, in a perverse and destructive extension of the competitive ideal. These are men who cannot say no to a challenge, cannot walk away from a dare” (1993: 23). Thus, we could argue that the students, through their rebellion against authority, are trying to prove their virility and masculinity, their fearless uprising represented in the resumption of the Dead Poets Society. Their bravery is ultimately proved with the final scene of the movie, when they face Mr. Nolan and defend Mr. Keating. Notwithstanding, one could argue this defense comes rather late, taking into account they all have signed a declaration holding Keating responsible for Neil’s death. The other side of the coin shows Mr. Keating precisely not taking arms against injustice but rather accepting his fate silently, allowing thus this two-fold approach to the close relationship between competition and masculinity.

As it was suggested in the first section, the real protagonist of the film is not Mr. Keating, but Neil and/or Todd. Neil Perry is the romantic figure by excellence – he is moved by passion, fights against his destiny, what has been imposed upon him, and ends up committing suicide. Needless to say, his passion is acting. He lies to his parents and Mr. Nolan in order to chase his dream, which would enable him to become someone different, away from the reality he is stuck in. In this case, Neil is not a marginal figure, as a proper Romantic would, but had he succeeded in his pursuit, he would have been left out of his family, who did not approve of his desires.

The difference between Neil and Todd is that the former remains a Romantic, in the sense that he was a Romantic from the beginning of the movie, although he had not started acting like one just yet. Todd, on the other hand, is the only dynamic character of the whole movie (Baker and See). At the beginning of the story he has to live up to his family’s expectations, reaching the model of his brother, but he ends up rejecting his family’s views and therefore evolving once that he finds his truest self. This is done through poetry, especially through the poem he composes for Keating’s class. His verse is the only instance of his real identity that the audience gets, mainly his fears and passions:

I close my eyes and this image floats beside me / The sweaty-toothed madman
with a stare that pounds my brains / His hands reach out and choke me And all
the time he’s mumbling / Truth, like a blanket that always leaves your feet cold.
You push it, stretch it, it will never be enough / Kick it, beat it, it will never cover
any of us. From the moment we enter crying, to the moment we leave dying, / it
will just cover your face / as you wail and cry and scream.

Baker and See suggest that the poem is about Todd's struggle between passion and realism (Romanticism versus Realism once again). These authors identify the blanket with passion, but I personally understand the "sweaty-toothed madman" choking the poet as a representation of reality, of the expectations that are built upon him. It does not matter what he does, it will never be enough – and this could be applied to Neil as well.

Thus, this is the beginning of Todd's evolution, which ends up being completely clear at the end of the movie, when he is able to express his own mind standing by Keating against Nolan. This way, Neil's suicide ends up being the trigger of Todd's awakening, in other words, "[Neil's] sacrifice allows Todd to find his 'voice'; his barbaric yawp is 'Neil' (Hammond 1993: 63). Neil is acting thus as another Christ-like figure, and thus Puck's crown of thorns turns into a powerful symbol of his sacrifice, of the martyr he has become to the benefit of the rest of his community.

Although the movie does not explore this issue in more depth, one could argue that there are some hints at a homosexual relationship between Neil and Todd (clearly the most affected character by Neil's death), given the latter's admiration and respect towards the former. Along the same train of thought, Hammond also suggests that "Neil's relationship with Todd results, through Neil's death, in Todd's successful entrance into manhood" (1993: 61). In fact, he is the first character with some kind of regret for the situation, the first one to defend their teacher. By the end of the movie, he has finally got involved and spoken up, in contrast with his shyness and his not wanting to read in public at the beginning of the movie. Besides, he is also the only character to openly claim that it was Mr. Perry who killed Neil, for he does not believe his best friend capable of leaving them alone. Therefore, Todd personifies an evolution from insecurity to identity – he thought himself to be merely expectations from his family, but ends up having his own voice.

6. CONCLUSION

Dead Poets Society is a movie primarily about the characters' evolution from boyhood to manhood, implying their finding their truest selves along the way. Hammond argues that "the film itself disguises the fundamental issue of masculinity through its emphasis on poetry and great (male) literary figures, whilst also dealing with the cathartic and uplifting experience of self-realization" (54). In a way, the role of poetry is merely an excuse for Mr. Keating to show his students the main purpose of life, the necessity to find their own voice rather than singing the songs from others. Along the same lines, Ebert claims that

“Keating is more of a plot device than a human being”,¹⁶ alluding to his little development and role as a guide, as establishing the balance between Realism and Romanticism.

The development of the characters and Mr. Keating's role in it are portrayed in different ways in the four sites explored by Kirkham and Thumin, as analysed in this paper. Indeed, the body, action, the internal world, and the external world all have to do with finding the characters' truest personality. Mr. Keating's most valuable gift to his students is that he frees them from oppression and expectation, allowing them to express their own voice. Todd Anderson is the only character who undergoes a change at the end of the movie, the one who really finds who he is and who he wants to become. Although the movie ends in a pessimistic tone (all the characters are wretched), we can still find some hope, for some of the characters will not come to die discovering they have not lived.

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**LEADERSHIP AND CULTURAL FRAMES
IN WOLE SOYINKA'S *THE STRONG BREED***

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INFLECTIONAL VARIATION IN THE OLD ENGLISH PARTICIPLE. A CORPUS-BASED ANALYSIS

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ABSTRACT. *This article deals with the coexistence of verbal and adjectival inflection in the Old English past participle. Its aim is to assess the degree of variation in the inflection of the participle so as to determine whether or not the change starts in the Old English period. The analysis is based on two corpora, the York Corpus of Old English and the Dictionary of Old English Corpus. With these corpora the following variants of the inflection of the participle are analysed: genre (prose and verse), tense (present and past), morphological class (weak vs. strong) and case (nominative, accusative, genitive, dative and instrumental). The main conclusion of the article is that the quantitative evidence from the corpora indicates that the degree of variation presented by the participle in Old English shows that diachronic change is underway. Overall, the past participle and poetic texts clearly reflect the loss of inflection, while the adjectival inflection of the participle co-occurs with its adjectival function.*

Keywords: Corpus analysis, Old English, inflection, participle.

VARIACIÓN DE LA FLEXIÓN DEL PARTICIPIO EN INGLÉS ANTIGUO. UN ANÁLISIS DE CORPUS

RESUMEN. *Este artículo trata de la coexistencia de la flexión verbal y adjetival del participio pasado en inglés antiguo. Su objetivo es evaluar el grado de variación existente en la flexión del participio para determinar si el cambio empieza o no durante el período del inglés antiguo. El análisis está basado en dos corpora: el York Corpus of Old English y el Dictionary of Old English Corpus. Con estos corpora, se han analizado las siguientes variables en la flexión del participio: género (prosa y verso), tiempo (presente y pasado), clase morfológica (fuerte y débil) y caso (nominativo, acusativo, genitivo, dativo e instrumental). La conclusión principal de este artículo es que la evidencia cuantitativa de los corpora indica que el grado de variación del participio en inglés antiguo muestra que el cambio diacrónico está teniendo lugar. En general, el participio pasado y los textos de poesía reflejan claramente la pérdida de la flexión, mientras que la flexión adjetival del participio se corresponde con su función adjetival.*

Palabras clave: Análisis de corpus, inglés antiguo, flexión, participio.

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1. AIMS AND SCOPE

As Lass (1992: 144) remarks, Present-Day English verbs have four non-finite forms, of which the present participle and the gerund “are formally identical but functionally distinct”: the infinitive (*write*), past participle (*written*), present participle (*writing*) and gerund (*writing*). The corresponding forms in Old English are the uninflected infinitive (*writan*), past participle (*gewritten*), present participle (*writende*) and verbal noun (*writing*). To these, the inflected infinitive (*to writanne*) must be added, in such a way that in Old English the infinitive and the participle can be inflected or not. Throughout linguistic evolution, the adjectival part of the inflection of the participle disappeared as a consequence of the generalised loss of inflectional endings, whereas the verbal part was kept. Put in other words, nominal inflections were drastically simplified whereas the inflectional morphology of verbs remained more distinctive and the inflectional morphology of adjectives was even more simplified than the one of nouns, which has kept explicit inflections for the genitive and the plural. Against this background, the disappearance of the adjectival inflection of the participle and the pervivence of its verbal inflection were to a certain extent predictable. Moreover, the adjectival inflection was attached after the verbal inflection, which made the adjectival ending more prone to simplification.

Apart from these relatively well-known facts (Traugott 1992; Denison 1993), the evolution of the inflection of the Old English past participle poses many questions, of which the present research focuses on the loss of adjectival inflection. The aim of this article is to determine how widespread the inflection of the Old English participles is, and whether the present and the past participle of Old English show the same degree of variation as to inflection. The relevance of this work lies in the fact that, as Mitchell (1985: 409) puts it, “there is no work which gives a complete treatment of the Old English participles”. In general, the non-finite verbal forms of Old English have been studied in connection with Present-Day English and the *-ing* forms. Its study has mainly been geared to syntax and related to the development of the periphrastic tenses and the passive construction. Most works are concerned with the individual uses of the participle throughout time, as well as with the different uses and functions conveyed by the participle (Toyota 2008) and whether they are properly Germanic or derived from Latin influence (Kilpiö 1989; Timoofeva 2010). Recent studies in the evolution of the participle in English deal with the changes in copular and passive verb constructions in Old and Middle English, like Petré (2014); or with the development of morphology, thus Wojtyś (2016), which focuses on prefixal inflection. These works are reviewed in the next section.

An article filling the gap just described may contribute to the research programme in the linguistic analysis of Old English carried out by García García (2012, 2013), González Torres (2010a, 2010b, 2011), Martín Arista (2012a, 2012b, 2013, 2014, 2017, 2018), Mateo Mendaza (2013, 2014, 2015a, 2015b, 2016), Novo Urraca (2015, 2016a, 2016b), Torre Alonso (2011a, 2011b) and Veá Escarza (2012, 2013, 2014, 2016a, 2016b).

With the aims and scope presented above, the remainder of this article is organised as follows. Section 2 reviews previous research and stresses the lack of a corpus-based approach to the question of the variation in the inflection of the participle. Section 3 presents the method of analysis of this research, while section 4 discusses the results. To conclude, section 5 summarises the main conclusions of the work.

2. REVIEW OF PREVIOUS RESEARCH

It is generally accepted in historical linguistics (thus, for instance, Milroy 1992: 1; Pintzuk 2003: 509) that variation on the synchronic axis indicates linguistic change in progress on the diachronic axis. On the basis of this principle, the scope of this article is restricted to the Old English period. A full account of the loss of the adjectival inflection of the English participle would require to include data from

Middle English, the period in which the simplification of inflections takes place. In Lass's (1992: 145) words, "the Middle English developments include loss of the infinitive ending, so that the infinitive comes to be the same as the bare stem; merger of the original *-ende* present participle with the *-ing* noun; and loss of *ge-* prefix. All of these are virtually complete by about 1500 [...] as in most major changes there was a long period of complex variation". Given this evolution, focusing on the Old English period offers a new perspective on the question of the development of the participle because this historical stage of the English language is often characterised as displaying full inflection. In this respect, the degree of variation shown in Old English by the adjectival inflection of the present and the past participle is not matched by the declension of the adjective, which remains stable throughout the period. Therefore, while it is worth the while to look at the variation of the participle in Old English, the outcome of the evolution as attested by Present-Day English demonstrates that variation has resulted in a morphological change that can be described as the partial *deflexion* (Norde 2001; Allen 2003) of the participle involving the loss of adjectival morphology.

In general, the variation between the uninflected and the inflected participle can be illustrated with instances like those in (1).

- (1) (from Wedel 1978: 395-396)
- a. Uninflected present participle
Apol. (2, 8)
Þa gyrnde hyre maenig maere man micle maerða beodende.
Then, many a famous man desired her, offering many wonderful things.
 - b. Inflected present participle
Apol. (10, 16)
Swa hwilc man swa me Apollonium lifigendne to gebringð...
Whoever brings Apollonius to me alive...
 - c. Uninflected past participle
Apol. (8, 4-5)
...se waes Thaliarcus gebaten.
...who was called Thaliarcus.
 - d. Inflected past participle
Apol. (18,6)
Gemiltsa me, þu ealda man, sy þæt þu sy; gemiltsa me nacodum, forlidenum, naes na of earmlicum birdum geborenum.
Have pity on me, old man, whoever you may be; have pity on me, naked, shipwrecked, and not born from poor origins.

As can be seen in (1), the participle receives both verbal and adjectival inflection in instances like *lifigendne* 'living' and *geborenum* 'born', so that the participle agrees in case, number and gender with the noun in apposition (*Apollonium lifigendne* 'Apollonius alive') or with the antecedent (*man micle*

maerða beodende ‘men who offered many wonderful things’). On the other hand, the participle presents verbal inflection only in instances like *beodende* ‘offering’ and *gebaten* ‘was called’.

Some authors attribute the increase of the uses of participles during the Old English period to the Latin influence (Callaway 1901; Wedel 1978; Mitchell 1985; Ogura 2009). Callaway (1901) focuses on the appositive participle, which he defines as “the participle that is equivalent to an adjectival clause as well as that which is equal to an adverbial clause. The uses of the appositive participle correspond closely to those of the subordinate adverbial clause” (1901: 149). A similar line is taken by Mitchell (1985), who deals with the functions of the participle and draws a distinction between its adjectival and verbal uses, which he attributes to syntactic behaviour. Visser (1966) is concerned with the different uses and functions of the participle throughout time (Old English, Middle English and Modern English). According to this author, “in Old English the past participle appears with flexional endings; these gradually disappear in Middle English, so that subsequently the zero form is the normal one” (Visser 1966: 1280). Traugott (1992: 190) concurs in this respect and remarks that “the number of inflected constructions became less frequent during the Old English period”. Lass (1992) takes issue with the evolution of the morphology of the participle and its relation with its contemporary form, thus focusing on the changes which took place in the Middle English period. Fischer (1992) analyses the development of the periphrastic constructions and remarks that by the Late Old English and Early Middle English period, the inflectional endings of some forms, including the present participle, began to be confused, which also led to syntactic confusion. In this respect, Ogura (2009) deals with the endings *-ende* and *-enne* of the present participle and the inflected infinitive respectively. She holds that, due to their phonemic resemblance, these endings became interchangeable as variant forms in late Old English (11th century). Wojtyś (2009) dates the loss of the past participle suffixes *-n* and *-d* in the 13th century and remarks that “the suffixal marking in Old English need to be regarded as regular” (2009: 48).

Two recent works on the evolution of the passive and the participle call for a more detailed review. Petré (2014) undertakes a study in the changes in the distribution of the intransitive verbs found in copular and passive constructions in Old English and Middle English. Petré (2014: 2) shows that, in Old English, this distribution depends on two different systems. The first is the Old English bounded system, which organises narrative sequences. The bounded system is named after bounded clauses, used in such a way that they express an event and include the logical endpoint or goal that is inherent to the internal aspect of the verb (Petré 2010). In the bound system, *weorðan* ‘to become’ expresses

change of state whereas *bēon* 'to be' does not. The second system is the double paradigm *is-bið*, which distinguishes the future from the present, on the one hand, and the generic from the specific, on the other. This system comprises the verbs *bēon* and *wesan* 'to be', which merge in Old English and Middle English. For Petré (2014: 3), by the time of Old English *wesan* "had already lost most of its distinctive semantic properties (...) and had been reduced to a suppletive verb providing the past tense forms for IS-BIÐ". The forms *is-bið* were in complementary distribution in Old English. While *is* appears in specific statements, *bið* can be found in the expression of generic statements and future situations. This distinction is lost from late Old English onward (Petré 2014: 4). With respect to the participle, Petré (2014: 5), differentiates the passive participial construction, as in *He was kidnapped*, including the adjectival function of the participle (process property) and the verbal function (passive event); from the perfect participial construction, as in *She was come*. This distinction applies exclusively to past participles, present participles constituting instances of Petré's (2014) adjectival copular constructions. These aspects are taken into account in the functional part of the analysis carried out in this article.

Wojtyś (2016) concentrates on the inflection of the past participle and takes issue with the diachronic and dialectal conditioning of the loss of the prefixation of the past participle and the relation between prefixation and suffixation. It must be borne in mind in this respect that this author refers to the verbal part of the suffixal inflectional morphology of the past participle. The texts examined by Wojtyś (2016) indicate that the occurrence of the prefixally unmarked past participle is not higher in Northumbrian than in other dialects, while this author attributes the beginning of the process of loss of the prefixal marking of the past participle in Old English to the Mercian dialect. With respect to suffixal marking, Wojtyś (2016) claims that suffixal marking is very regular in Old English, with the exception of poetical texts, which contain a higher number of forms without a suffix. According to Wojtyś (2016: 197), the loss of marking "reaches its peak in the fourteenth century, when one third of the past participles lack suffixes". Regarding other factors, the prefixless past participles are recurrently found in passive constructions already in Old English, whereas in Middle English the participle as modifier can also lack prefixal marking. This distinction between the participle in passives and the participle as modifier is also considered in the functional analysis presented in Section 4.

Overall, there is agreement on the loss of the inflection and the dating of the change, while there is coincidence in some of the explanations for the change. Ultimately, the verb undergoes the same loss of the inflectional endings as the adjective. The works reviewed in this section also point to a decrease in

the inflection of the participle in Old English, although this aspect is not quantified, neither is it related to form (tense, case and type of declension) or function (modifier in noun phrases and lexical verb in participial constructions). The remainder of this article addresses these questions.

3. METHOD

As has been said above, the aim of this article is to assess the degree of variation in the inflection of the participle so as to determine whether or not the change starts in the Old English period. This aim entails the analysis of formal and functional aspects of the participle.

A corpus-based study in the inflectional morphology of the participle is likely to draw conclusions on the variation within and across the tense (present, past) as well as the case (nominative, accusative, genitive, dative) of the Old English participle. The *Dictionary of Old English Corpus* (Healey *et al.* 2004; henceforth DOEC), which comprises around three million words and about three thousand texts and represents the most authoritative corpus in the field of Anglo-Saxon studies, has been searched for the present and past participles of strong verbs, in all the inflections. The strong classes have been chosen because they constitute a representative subset of the verbal category (about one fourth of verbs) consisting of approximately one thousand and five hundred verbs that can be broken down by class as follows: strong I (263), strong II (226), strong III (338), strong IV (93), strong V (150), strong VI (156), and strong VII (272). Strong verbs have also been selected because their inflectional paradigm is more transparent than the one of weak verbs, which make use of the same dental suffix for the preterite and the past participle and, above all, do not exhibit ablaut, as in *scīman-scīn-scīnon-(ge)scīnen* 'to shine'. As regards the inflections, the analysis is restricted to the canonical inflectional endings of the present and past participle as well as the weak and the strong declension of the adjective, as described in Campbell (1987) and Hogg and Fulk (2011).

This said, the method of this undertaking consists of four steps.¹ First of all, the list of strong-verb lemmas has been retrieved from the lexical database of Old English *Nerthus* (Martín Arista *et al.* 2016; consulted in May 2017). Secondly, the DOEC has been searched for all the inflections of the present and past participles of strong verbs. The following verbal endings have been considered: *-end* (pres. part.), *-en* (past part.). Regarding the adjectival part of the inflection of the

¹ The following categories are abbreviated in this article as follows: present participle (pres. part.), past participle (past part.), nominative (nom.), accusative (acc.), genitive (gen.), dative (dat.), instrumental (instr.), strong declension (str.), weak declension (wk.).

participle, the following adjectival case endings have been taken into account: *-a* (nom. sg. wk.), *-ne* (acc. sg. str.), *-u* (nom. sg. str.), *-es* (gen. sg. str.), *-ra* (gen. pl. wk.; gen. pl. str.; comp.), *-um* (dat. pl. wk.; dat. sg. pl. str.), *-an* (acc., gen., dat., instr. sg. wk.; nom., acc., pl. wk.), *-re* (gen., dat. sg. str.), *-e* (nom., acc., sg. wk.; nom. sg. str.; nom., acc. pl. str.). As for the adjectival gradation of the participle, these endings have been included into the analysis: *-ra*, *-er*, *-r*, *ra-a/-an/-ra/-um/-e*, *er-a/-an/-ra/-um/-e*, *r-a/-an/-ra/-um/-e* (comparative); *-ost*, *-est*, *-ost-a/-an/-ra/-um/-e*, *-est-a/-an/-ra/-um/-e* (superlative). With these endings, it turns out that certain inflections are distinctive, thus *-end-a*, *-end-an*, *-en-a*, *-en-an* (weak declension) and *-end-ne*, *-end-es*, *-end-u*, *-end-re*, *-en-ne*, *-en-es*, *-en-u*, *-en-re* (strong declension); whereas others are ambiguous between the strong and the weak declension (*-end-ra*, *-end-um*, *-end-e*, *-en-ra*, *-en-um*, *-en-e*). This aspect has been taken into account in the analysis.

The analysis is based on type, rather than token. For instance, the set of types corresponding to the verb *cuman* 'to come' includes the inflectional forms *cumen*, *cumena*, *cumenan*, *cumendan*, *cumende*, *cumendne*, *cumendra*, *cumendre*, *cumendum*, *cumene*, *cumenne*, *cumenum*. The other forms in the paradigm are not attested in the corpus, at least in the canonical forms corresponding to the endings listed above.

Once the data have been gathered, the third step of the analysis consists of a quantification of the present and past participles with the endings under analysis, based on inflectional ending as well as declension and case. Finally, the morphology aspects are considered from the angle of functional aspects. The functional analysis between the verbal and the adjectival function of the participle is carried out with the data gathered from the York Corpus of Old English (YCOE) or, to be more precise, *The York-Toronto-Helsinki Parsed Corpus of Old English Prose* and *The York-Helsinki Parsed Corpus of Old English Poetry*.²

The rate of explicit adjectival inflection of the participle is checked against its function as a noun modifier, thus a constituent of a noun phrase, or a verbal form inside a verb phrase. For instance, in (2a) the past participle *genemnod* 'named' belongs, along with the copulative verb, in the verb phrase *wæs genemnod* 'was called'. On the other hand, there is no explicit copula either with *geboren* 'born' in (2a) or *cumene* 'come' in (2b).

² I would like to thank Susan Pintzuk (University of York) for her kind support and guidance with the searches necessary to obtain the results presented in this article. Any errors or misconceptions remain exclusively mine.

- (2) a. [ApT 024100 (48.12)]
Ic fram cildbade wæs Apollonius genemnod, on Tirum geboren.
 I was called Apollonius from my childhood, born in Tirum.
- b. [Beo 051300 (1817)]
Beowulf maþelode, bearn Ecgþeowes: Nu we sæliþend secgan wyllað,
feorran cumene, þæt we fundiaþ Higelac secan.
 Beowulf, the son of Ecgthow, spoke: ‘Now we seafarers, come from far
 away, will say that we are eager to seek Higelac’.

In these cases, the YCOE parsing is based on a coordinate construction in which the second copula is omitted, and, therefore, ambiguity is resolved by considering them participles with a verbal function. Otherwise, the relevant function is the adjectival one.³ The results are given in the next section.

4. RESULTS OF THE ANALYSIS

A total of 4,783 participles have been found in the DOEC, of which 2,208 are inflectional forms (types) of the present participle and the others (2,575) are past participles. Beginning with the present participle, 1,496 out of 2,208 are inflected, that is to say, 67.75%. This figure can be broken down as shown in Table 1 (positive grade) and Table 4 (comparative and superlative grade). In the weak declension, the ending *end-an* clearly stands out because it corresponds to most cases in the inflectional paradigm. In the strong declension, the endings for the accusative, genitive and dative (*-ne*, *-es* and *-re*, respectively) outnumber the nominative-accusative neuter ending *-u*. The ending *-e*, ambiguous between the nominative, the accusative and the instrumental, is the most frequently inflected. In the comparative, the inflected for both grade and case ending is far more frequent than the participle inflected for just grade (71 vs. 118 instances). The figure of participles in the superlative grade is negligible. This is presented in Table 2.

Table 1. The inflection of the present participle. Positive grade.

Weak declension	Number of instances
-end-a	29
-end-an	108
Total	137

³ The text short names and numbers have been taken from Mitchell *et al.* (1975, 1979).

Strong declension	
-end-ne	34
-end-es	54
-end-u	9
-end-re	46
Total	143

Ambiguous strong / weak	Number of instances
-end-ra	71
-end-um	172
-end-e	712
Total	955

Table 2. The inflection of the present participle. Comparative and superlative grade.

Comparatives	Number of instances
-end-ra	71
-end-er	0
-end-r	0
-end-ra-a/an/ra/um/e	0
-end-er-a/an/ra/um/e	0
-end-r-a/an/ra/um/e	118 (-a: 71; -an: 1; -e: 46)
Total	118

Superlatives	Number of instances
-end-ost	0
-end-est	1
-end-ost-a/an/ra/um/e	0
-end-est-a/an/ra/um/e	0
Total	1

Turning to the past participle, 1,238 out of 2,575 are inflected. This corresponds to 48.11% of the past participles found in the corpus. In the weak declension, there is no significant difference between the ending *-a* and *-an* (73 vs. 88 instances respectively). In the strong declension, the accusative ending outnumbers the

occurrences of the other cases (nearly three quarters of the inflected weak past participles are in the accusative case). This is shown in Table 3. As is the case with the present participle, the ambiguous *-e* ending of the present participle is the most frequent among the inflected participles, although the *-um* ending, ambiguous between the dative singular and plural, is also worth considering, given its 123 occurrences. As tabulated in Table 4, the comparative endings *en-r-a/an/ra/um/e* are the most frequent with the inflected past participle.

Table 3. The inflection of the past participle. Positive grade.

Weak declension	Number of instances
-en-a	73
-en-an	88
Total	161
Strong declension	
-en-ne	294
-en-es	36
-en-u	17
-en-re	53
Total	400
Ambiguous strong / weak	
-en-ra	32
-en-um	123
-en-e	400
Total	555

Table 4. The inflection of the past participle. Comparative and superlative grade.

Comparatives	Number of instances
-en-ra	32
-en +er	0
-en +r	0

-en-ra-a/an/ra/um/e	0
-en-er-a/an/ra/um/e	0
-en-r-a/an/ra/um/e	89 (-a: 32; -e: 53; -an: 4)
Total	121

Superlatives	Number of instances
-en-ost	0
-en-est	0
-en-ost-a/an/ra/um/e	0
-en-est-a/an/ra/um/e	1 (-e)
Total	1

Overall, the present participle reaches 34.75% of the uninflected forms (712 out of 1,337), while the past participle amounts to 65.25% (1,337 out of 2,049). Considering the inflected forms, the present participle shows 1,496 (out of a total of 2,208), that is to say, 54.71% of all the instances, whereas the past participle evinces a total of 1,238 instances, 45.28%. By tense, the inflected instances reach 67.75% of present participles (1,496 out of 2,208), and 48.11% of past participles (1,238 out of 2,575). By case, ambiguous endings are, as a general rule, far more frequent, thus the endings *-e* (nom., acc., sg. wk.; nom. sg. str.; nom., acc. pl. str.), *-um* (dat. pl. wk.; dat. sg. pl. str.) and *-an* (acc., gen., dat., instr. sg. wk.; nom., acc., pl. wk.). Nevertheless, the accusative ending *-ne* also stands out as very frequent.

As has been remarked in the description of the research method, after the analysis of form, an analysis of function would be carried out with data retrieved from the YCOE. Considering the prose and the poetry segments of the YCOE together, a total of 6,175 present participles and 21,882 past participles have been found, 26,426 in prose and 1,231 in poetry. This makes a total of 27,657 participles. Of these, 23,589 function as a verb and the remaining 4,068 perform the adjectival function of modifier. Four variables have been taken into account: text type (prose vs. poetry), tense (present vs. past participle), morphological marking (inflected vs. uninflected as adjective) and function (noun modifier vs. non-finite form following a copulative verb). The noun modifier function in the fourth variable may partly coincide with Petr 's (2014: 5) adjectival copular constructions, on the condition that they take a participle; while the non-finite form following a copulative verb wholly coincides with Petr 's (2014: 5), passive participial construction, as in *He was kidnapped*, and the perfect participial construction, like *She was come*.

Nearly all participles in adjectival function, both present and past, are case-marked, whereas slightly over one third of past participles with verbal function are explicitly inflected as adjectives. In verbal constructions, the present participle is inflected in prose texts in about two thirds of the instances, while in poetry nearly one half of the present participles in verbal constructions show explicit adjectival inflection. Also in verbal constructions, the past participle is inflected for case in approximately one third of the prose instances, whereas the verbal constructions in poetry with the past participle show an inflected verbal form in nearly one half of the cases. In adjectival constructions, approximately ninety-five percent of the instances are inflected.

As a general assessment, the adjectival inflection coincides with the adjectival function. Only 38.3% of participles in verbal function are marked for adjectival inflection, as compared with 95.1% of adjectivally marked participles performing the adjectival function. An interesting contrast arises, though, between the present and the past participle in this respect. Focusing on the verbal function, the number of marked present participles practically doubles the unmarked ones; in contradistinction, the number of marked past participles is less than one half of unmarked past participles. In other words, the results of the analysis of the data of the DOEC and the YCOE coincide as regards the point of departure of the process of deflexion, which can be found in the past participle.

Overall, the prose data are more consistent than the poetry data as to the results of the variables that have been considered. This is probably due to the amount of participles from each text type and does not blur the general tendency. These results are tabulated in Table 5.

Table 5. The function of the participle. Verbal and adjectival function in prose and verse.

	verbal function		adjectival function		total
	marked	unmarked	marked	unmarked	
prose					
present part.	2,609	1,524	1,422	40	5,595
past part.	5,935	12,486	2,353	57	20,831
poetry					
present part.	73	8	28	71	180
past part.	426	528	66	31	1,051
total	9,043	14,546	3,869	199	27,657

5. SUMMARY AND CONCLUSIONS

This article has addressed two questions, namely how widespread the inflection of the Old English participles is and whether or not the present and the past participle show the same degree of variation in their inflection. The data indicate that the loss of the inflection of the participle is well underway in Old English. Consequently, it can be held that the long period of complex variation identified by Lass (1992: 145) starts in Old English, at least from a morphological point of view. The analysis of the participles of strong verbs as rendered by the DOEC allows us to draw the conclusion that the inflection of the participle is far from regular and generalized. As is predictable in a situation of change, there is morphological variation in the inflection in the participle. The evidence suggests that the process of deflexion must have begun in the past participle, which evinces around one half of uninflected forms. Concerning the relation between grammatical case and inflection rates, some case endings seem to be disappearing faster than others. Of the inflectional morphemes that are distinctive of case (disregarding number, gender and declension) *-ne* (acc.; 328 instances) and *-um* (dat.; 295 instances) show the highest frequencies; whereas *-u* (nom.; 26 instances) and *-es* (gen.; 90 instances) show the lowest. As for the relation between inflection and the function of the participle, the analysis of the data gathered from the YCOE has shown that nearly all participles in adjectival function are case-marked, whereas approximately one third only of past participles performing the verbal function are explicitly inflected as adjectives. Adjectival inflection of the participle, therefore, co-occurs with its adjectival function, although it must be remarked that the number of marked present participles functioning as verbs is around the double of unmarked ones. This is consistent with the past participle representing the point of departure of the process of deflexion.

To conclude, it is a pending task for future research to enlarge the data of analysis in order to include non canonical inflectional endings and spelling variants. It will also be necessary to disambiguate the instances of ambiguity of case, inflection and gradation by considering the syntagmatic context, provided that it is distinctive; and, finally, to deal with the question of variation from the textual point of view, so as to determine whether variation in the inflection of the participles in Old English can, at least partially, be attributed to different texts or authors.

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**ANALYSING DIGITAL COMMUNICATION: DISCURSIVE FEATURES,
RHETORICAL STRUCTURE AND THE USE OF ENGLISH AS A LINGUA
FRANCA IN TRAVEL BLOG POSTS**

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ABSTRACT. *The digital world is currently offering new modes of communication that allow multiple opportunities for a more immediate and dialogical interaction. Within it, the blog shows up as a very resourceful and sophisticated genre where different sub-genres converge and where speakers from distinct linguacultural backgrounds can communicate through English, which is used as a lingua franca (ELF). Thus, to start comprehending the rationale of the blog, an analysis of the sub-genre of posts and, more specifically, those hosted in travel blogs, is provided in this paper. The linguistic and discursive prominent features encapsulated in travel blog posts will be explored through a data-driven approach, and their rhetorical structure will be identified via a functional analysis. This will allow to understand better how the ELF blogosphere makes use of such a digital sub-genre and what the readership may expect when communicating digitally through it.*

Keywords: Blogs, travel posts, digital communication, ELF, digital genres.

ANÁLISIS DE LA COMUNICACIÓN DIGITAL: CARACTERÍSTICAS DISCURSIVAS, ESTRUCTURA RETÓRICA Y USO DEL INGLÉS COMO LENGUA FRANCA EN POSTS DE BLOGS DE VIAJES

RESUMEN. *Actualmente, el mundo digital ofrece nuevos modos de comunicación que proporcionan múltiples oportunidades para una interacción más inmediata y dialógica. Dentro de este, el blog se presenta como un género muy provechoso y sofisticado donde convergen sub-géneros diferentes, y hablantes de distinta procedencia lingüocultural se comunican haciendo uso del inglés como lengua franca (ILF). Para empezar a comprender el sentido del blog, este artículo ofrece un análisis del subgénero del post, y más concretamente, de los posts alojados en blogs de viajes. Se analizarán las características lingüísticas y discursivas relevantes encontradas en posts de blogs de viajes mediante un análisis derivado de los datos, así como su estructura retórica mediante un análisis funcional. Todo ello permitirá entender mejor cómo la blogosfera que usa el ILF emplea este sub-género digital y qué pueden esperar los lectores cuando se comuniquen digitalmente a través de este medio.*

Palabras clave: Blogs, posts de viajes, comunicación digital, ILF, géneros digitales.

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1. INTRODUCTION

In our everyday life, we are increasingly attached to technology and its new advances that seem to make our communication more comfortable and successful. Therefore, a deep understanding of the new realities and new ways of interaction is needed, so that we can adapt to those changes in our private and professional spheres, and make an effective use of the possibilities technology is offering. Thanks to the web, new paths for interaction and communication have been opened among people that may not know each other personally, causing the haziness of the barriers of time and space in computer-mediated discourse (Herring 2012b). Users may not share the physical, cultural or linguistic background, but share personal interests or concerns that drive them to communicate digitally.

In this changing space of communication, some distinguishing features such as *immediacy* and *dialogicity* emerge. In fact, the bidirectional and instantaneous nature of today's interactions differ to a great extent from traditional written communication, many times considered old-fashioned or dysfunctional in our new reality. Printed genres offer rather fixed and foreseeable discursive practices which require more time, present limitations of space, and emphasize other features such as the accuracy of the message.

That is why *digital genres* are taking over in everyday communication, and have set more dialogic ways of interacting in the web. The Internet has triggered a broader spectrum as regards writing or discursive practices, since the distinctions between the spoken and the written modes are also blurred in digital communication (Mauranen 2016). Thus, paper-based genres are giving way to digital genres in a great deal of contexts, attracting more and more scholarly attention due to their advantages.

The web engages the users in a digital environment frequently dominated by *orality* and *multimodality*. These new modes of communication are reshaping the spoken and written registers and reflect specific lexico-grammatical, discursive and pragmatic features. In other words, the combination of different codes such as audio, video or pictures has been brought to the fore and is essential in digital genres (Richardson 2009), including those hosted in travel blogs. This alternation between modes and modalities in the ways of communication fosters research to comprehend the new functions and possibilities of digital genres.

Closely related to the spread of digital genres is the use of English as a vehicular language enabling digital communication. As Mauranen (2016: 22) indicates, “[d]igitalisation has also made us aware of the increasingly non-local nature of communities, which is a common characteristic of ELF use”. The international status that English has gained *as a lingua franca (ELF)* (e.g. Jenkins 2007; Seidlhofer 2011; Mauranen 2012) has been enhanced by the Internet, in the sense that most information is available in English and users can have access to more data thanks to it. Virtual communication using this language also offers the possibility of embracing *a far wider audience* than before, raising the impact and the effect of the communicative exchanges.

Moreover, the boundaries between native and non-native English speakers are increasingly fuzzy and the notion of nativeness is losing ground in favour of plurilithic and evolving cultural contexts (Jenkins 2015). Members of the same discourse community may come from radically different origins and backgrounds, and different discourse communities can easily interact. This is both triggered by digital communication and ELF. In this mode of international, digital interaction, ELF users should not be reckoned as deficit communicators at all, just as the native speaker tends not to be an idealised model anymore (Widdowson 2012).

Considering all the features framed above, this paper aims to analyze the travel blog used in an international context by different English speakers, as an instance of those digital genres modifying global interaction nowadays. Travel blog posts will be interculturally explored comparing sets of texts authored by Anglophone and non-Anglophone speakers, to identify distinguishing textual and discursive

features of ELF. A rhetorical move structure of this particular genre will be also offered bearing in mind its digital nature. More specifically, this research seeks to provide an answer to the following research questions:

1. What is the main communicative purpose of travel blogs posts?
2. Which are their prominent discursive features?
3. Do travel blog posts by Anglophone and non-Anglophone speakers present any rhetorical or discursive features that distinguish them?
4. How can we describe their rhetorical structure?

2. THEORETICAL FRAMEWORK

In this section, the concept of textual genre and the evolution in its conception through time and scholars' standpoints will be first explored. Discourse communities, and specifically virtual ones, also need to be conceptualised as the agents that employ and enact the digital genre of this study. Finally, explanations about the nature of the travel blog and its posts will enlighten the direction of the analysis.

2.1. *THE NOTION OF GENRE*

As our way of communicating differs depending on whom we communicate with and what we do it for, we make use of different types of genres according to their features and our goals to ensure effective interactions. Swales defined a genre as “a class of communicative events, the members of which share some set of communicative purposes” (1990: 58). Bhatia emphasized the aim of interaction as the more decisive element to identify a genre. Thus, he conceived a genre as “a recognizable communicative event characterized by a set of communicative purpose(s) identified and mutually understood by the members of the professional or academic community in which it regularly occurs” (1993: 13).

Nonetheless, the concept of genre has deeply evolved from those definitional explanations offered above, partially influenced by the coming into being of emergent digital genres. Swales (2004) and Bhatia (2004) moved onto a much more metaphorical nuance of the term to capture the current realities and possibilities concerning communication. Genres are now considered to be dynamic entities characterised by their flexibility requiring a (re)discovery of their generic features, which may have been taken for granted.

Accordingly, the notion of genre has greatly developed from being fairly stable and regular, and now entails that genres drift noticeably through space and time. Pérez-Llantada (2013) identifies two factors inevitably integrated in

many domains, namely genres and media, questioning the concept of genre stability. To this respect, dynamicity and flexibility are strong features of the digital spectrum of genres, set off both by the arrival of new communicative modes on the Internet and the collaboration of international English users. To regain that stability, these emerging digital genres need to guarantee that their functionality efficiently suits the demands of the discourse community employing them (Pérez-Llantada 2016).

2.2. VIRTUAL DISCOURSE COMMUNITIES

The rationale of a genre is comprehended by a discourse community, consisting of a social group of language users sharing certain social conventions and norms and similar attitudes, beliefs or values (Kramsch 1998). They can recognize a genre by its structure and its function, its style and its layout, its possible impact and its generic constraints. The common ground they share is precisely reflected in the ways members of the same discourse community use the language to communicate, interact and meet their social needs. The purpose of a genre will lead to the generic form of the texts a discourse community makes use of and will allow to analyze the practices they engage in, identifying who they are addressing to, pinpointing prominent (non)linguistic features, and distinguishing them from other practices, texts and genres (Scollon, Scollon and Jones 1995: 9).

This is especially relevant in relation to digital genres, recognised by discourse communities that gather digital users together, consequently creating *online or virtual communities* (Herring 2004, 2008; Androutsopolous 2006). Despite coming from diverse contexts, these social groups on the net build personal relationships as they share personal or common interests online. Herring (2004: 355) has identified six sets of relevant criteria specific for a virtual community to work:

1. active, self-sustained participation; a core of regular participants;
2. shared history, purpose, culture, norms, and values;
3. solidarity, support, reciprocity;
4. criticism, conflict, means of conflict resolution;
5. self-awareness of group as an entity distinct from other groups;
6. emergence of roles, hierarchy, governance, rituals.

To identify the formations that will become virtual communities, different elements should be looked at, such as the users' active and frequent participation in the digital genre playing different roles, or strategies and ways to address other speakers, whatever the motives in the communicative act (Angouri 2016). This can occur both in a positive way through empathy, appraisal and encouragement, and in a negative way through complaint, criticism and divergence. Thus, certain

generic awareness and an open-friendly attitude can help produce information cooperatively, even constructing cross-linguistic virtual communities (Luzón 2016).

Herring (2008) suggests that network participants should feel part of a bigger group, growing emotional attachments to other members. They also realise that outer participants, whom she denominates *lurkers*, feel this subjective sense of community. On his part, Androutsopoulos (2006) adds as defining criteria the demographics of the members, the proof of social norms among them, and the technological features of the online environment they operate in. This last aspect is highly relevant, as the notions of what really constitutes a virtual community, and the environment where it works, are in constant transformation.

In the case of the travel blog, which is the object of this paper and constitutes an instance of a digital genre fostering interaction and collaboration within and among discourse communities, the virtual community is bounded to the discourse system of English speakers in intercultural global encounters.

2.3. DIGITAL GENRES: THE BLOG

Blogs are generic instances used by members of the virtual discourse community of the blogosphere, who exchange contents and ideas in them. They constitute a collaborative space for offering the possibility of writing a piece of discourse and also sharing it with others that may find it of interest or relevance (Richardson 2009, Luzón 2016). Blogs also stand out above other instances of genres as they allow many sorts of contents, working as a *tabula rasa* with no constraints of length. In fact, they are only restricted by both the author and the readership's criteria and judgment –and, of course, by a proper Internet connection and a device to do so. The limits of blog layout are clearly determined, first and most importantly, by the digital platform which hosts the blog and, secondly, by the author, who is able to make choices regarding the style, gadgets, sections and contents of their entries and posts (Richardson 2009).

In any case, there are some fundamental features to maintain the site of the blog and provide the virtual community with the generic content and form that they typically expect. Having an online (travel) blog means that certain periodicity should be assured. The contents of the blog are updated and improved in short periods of time, for the blog not to become obsolete. This can be carried out either with the creation of a new post or the publication of comments by the blogosphere or the author him/herself, being normally listed in reverse chronological order (Boyd 2006). Furthermore, digital genres like the blog are characterised by their malleability, which permits the digital communicative practices to be shaped and

modified to a great extent (Luzón 2016). Not only does this refer to the easiness of incorporating, editing and deleting information both when writing the blog and after it, but also to the fact that in just one site several digital genres can be combined and hosted.

The recognition of the generic features and of the audience of travel blogs is essential for digital users to employ such a genre. Similarly, its generic relationships need to be unravelled to comprehend its connections within the web. Regarding blogs, on the one hand, it is possible to find genre colonies (Bhatia 2004: 57), in which genres are “viewed at different levels of generalization, making it possible to posit principled relationships”. The blog at the general level would encompass types of blogs focusing on different topics or domains (food blogs, fashion blogs, travel blogs, etc). On the other hand, it is possible to encounter genre chains (Swales 2004: 18) where the sub-genres are sequentially dependent and there is some “chronological ordering, especially when one genre is a necessary antecedent for another”. In the blog this is enacted in the different sub-genres of the post, the comment, and even the response to comments.

In addition, non-linearity constitutes another key to understand digital genres like the blog (or a FAQ page or a forum). When searching for information and browsing in a (travel) blog, the users decide the direction to follow to achieve their communicative goal. Therefore, a navigating mode is preferably applied when entering a blog, complementing the reading mode users are more used to (Askehave and Nielsen 2005). This possibility, which does not exist in printed genres, allows the writer and the reader to gain transparency and accessibility when transmitting and receiving the message, respectively.

2.4. THE TRAVEL BLOG

The (travel) blog greatly enlightens the innovative and ever-changing ways of digital communication, so its analysis appears to be useful to understand a part of this current panorama. Within travel blogs, the sub-genre of the travel post can be identified, aiming to provide the audience with a description of the place and the experiences that a person lived, so that others can make the most of their experiences or can enjoy themselves by reading on topics they are fond of. Travel posts may concentrate on an external event concerning a place, a special sight, a festivity or ceremony, but they may also expose the blogger's personal life through anecdotes or emotions experienced in the trips. Both sources tend to be interspersed in posts often mixing external issues with private individual details, so overall any blogger's online identity mixes both professional and personal or social characteristics (Luzón 2013). In any case, the purpose of the

travel blog is normally to provide the readership with trustworthy information and data, as well as feelings and opinions, on a particular destination (Lee and Gretzel 2014).

Moreover, identifying a consistent rhetorical structure may assist in building the prototypical skeleton of a (travel) blog, to further comprehend the rationale of this digital genre. Exploring travel blogs, and their role in the continuous shift of the communicative and social assumptions of our everyday computer-mediated interactions, will lead to the identification of specific lexico-grammatical and rhetorical characteristics. In turn, the analysis of these features may lead to gain a deeper insight into the nature and purpose of the travel blog, as well as into the practices of the blogosphere, including both Anglophone and non-Anglophone users coexisting in this digital genre via English.

3. METHOD

To give an answer to the research questions posed, a representative corpus was compiled to highlight the most important generic and discursive features of travel blogs (concerning structure, lexis, grammar, orthotypography or pragmatics), and to better understand the sub-genre of the blog post. Six travel blogs were chosen online from a representative sample of international bloggers belonging to different linguacultural backgrounds. Three entries from those blogs were selected to carry out a qualitative discourse and rhetorical analysis, resulting in a small-scale corpus of 18 entries (30,410 words) (see Table 1 below). Each entry, as a unit of analysis, is made up of the bloggers' post, the readers' comments within the range of one year, and the author's reply to them, to obtain a more complete panorama of the genre, despite focusing on the travel blog post in particular.

In order to select the travel blogs striking an analytical and more objective balance, Kachru's circles were considered to be effective (Crystal 2003; Bolton and Kachru 2006). Thus, in the sample not only blogs by English native speakers –inner circle– were represented, but also by non-native speakers using ELF and belonging to the outer and the expanding circles. The former comprises speakers in whose countries English is not the mother tongue but has been institutionalized and is the dominant language of interaction between different ethnic or language groups. The latter refers to the speakers who study English as a foreign language (Bolton and Kachru 2006). As can be seen in Table 1, two bloggers belong to the inner circle (England and US), another two come from the outer circle (India and Nigeria), and the expanding circle includes the remaining two authors (Slovak Republic and Belgium).

A data-driven approach was followed for the analysis of the corpus, retrieving the quantitative data by manually reading the posts. The corpus itself was “the sole source of hypotheses about language” (McEnery and Hardie 2012: 6), leading to identify and classify the prominent features in the posts into a taxonomy of linguistic or discursive characteristics (see Table 2 in Section 4). To devise it, different frameworks have been used to gain a more holistic insight of the potentialities and tendencies in travel blog posts. These include traditional grammatical theories, (Quirk, Greenbaum, Leech and Svartvik 1985; Biber, Johansson, Leech, Conrad and Finegan 1999), speech act theory (Searle 1985) and Hyland’s approach to metadiscourse, understood as “the linguistic expressions which refer to the evolving text and to the writer and imagined readers of that text” (2005: ix).

Table 1. Description of the corpus considering the number of blogs, the word length and the blogger’s origin.

Circles of English	Blog name	Origin	N° of posts	N° of words
INNER CIRCLE	Helen in Wonderlust	England	3	8,762
	Nomadic Matt	United States	3	4,498
OUTER CIRCLE	The Shooting Star	India	3	2,976
	Zee Goes	Nigeria	3	3,363
EXPANDING CIRCLE	Girl Astray	Slovak Republic	3	3,487
	Lili’s Travel Plans	Belgium	3	7,324
			18	30,410

This metadiscourse perspective will be enlightening in the analysis of discursive and pragmatic aspects like (i) self-mentions, “a key way in which writers are able to promote a competent scholarly identity and gain approval for their research claims” (2005: 57), (ii) directives as an engagement marker to “instruct the reader to perform an action or to see things in a way determined by the writer” (2005: 154), and (iii) attitude markers, “used to express the writer’s attitude to the propositional material he or she presents” (2005: 32).

Overall, travel posts by speakers from different linguacultural backgrounds were thought to provide real-life different cultural contexts in which ELF is used to communicate digitally. Thus, the corpus is representative insofar as it can capture the tendencies that travel bloggers and readers’ practices follow as part of the same global virtual community. To respond to research question 3, the taxonomy was applied to unveil these potential differences among bloggers from different linguacultural backgrounds (Section 4.1).

4. ANALYSIS AND DISCUSSION OF THE GENRE

In this section, salient features regarding lexis, grammar, orthography and pragmatics arising from the corpus will be looked into, and examples of them will be offered. Special attention will be paid to the discrepancies in use among native and non-native English speakers. Afterwards, a rhetorical qualitative analysis will be offered, to explore the structure of travel blog posts and match it, if possible, with the linguistic and discursive findings.

4.1. LINGUISTIC AND DISCURSIVE FEATURES IN THE TRAVEL BLOG POST

The analysis of the presented corpus will concentrate on those lexicogrammatical and discursive features of travel posts that make up the taxonomy (see Table 2 below), as they stand out because of their function and frequency. Differences in the uses and tendencies between Anglophone and non-Anglophone speakers, in relation to Kachru's distinction between inner, outer and expanding circles, will be provided.

Table 2. Taxonomy devised following a data-driven approach and including the most prominent linguistic and discursive features in the corpus of travel blogs compiled.

LINGUISTIC AND DISCURSIVE LEVELS OF ANALYSIS	SPECIFIC FEATURES	
Lexico-grammatical	Personal <i>I</i>	
	Inclusive <i>we</i>	
	Attitude markers	
	Acronyms	
	Vague language	
	Interjections	
	Exclamations	
Syntactic	Unfinished sentences	
	Question tags	
	C-units	Copula/Auxiliary deletion
		Subject omission
Non-clausal units		
Semiotic	Onomatopoeias	
Orthotypographic	Non-standard capitalization	
	Lack of capitalization	
	Abbreviations	

Pragmatic (speech acts)	Engaging	Directive <i>you</i>
		Questions
		Commands
	Thanking	
	Criticizing	
	Praising	
	Stressing/Adding emphasis	
	Recommending	

Table 3 presents general results as regards the use or lack of use of these features in all texts analysed.

Table 3. Overall occurrences of the discursive features in the travel posts according to the users' linguacultural background.

SPECIFIC FEATURES		POSTS	INNER CIRCLE	OUTER CIRCLE	EXPANDING CIRCLE
Self-mentions	Exclusive <i>we</i>	16/18	5/6	5/6	6/6
	Personal <i>I</i>	18/18	6/6	6/6	6/6
Attitude markers		18/18	6/6	6/6	6/6
Acronyms		11/18	6/6	4/6	1/6
Vague language		14/18	3/6	5/6	6/6
Interjections		15/18	6/6	4/6	5/6
Exclamations		17/18	6/6	6/6	5/6
Unfinished sentences		13/18	4/6	4/6	5/6
Question tags		5/18	0/6	2/6	3/6
C-units	Copula/Auxiliary deletion	16/18	6/6	5/6	5/6
	Subject omission	11/18	4/6	3/6	4/6
	Non-clausal units	16/18	6/6	5/6	5/6
Onomatopoeias		8/18	4/6	2/6	2/6
Non-standard capitalization		8/18	1/6	5/6	2/6
Lack of capitalization		5/18	2/6	3/6	0/6
Abbreviations		16/18	6/6	6/6	4/6
Engaging	Directive <i>You</i>	18/18	6/6	6/6	6/6
	Questions	15/18	3/6	6/6	6/6
	Commands	18/18	6/6	6/6	6/6

Thanking	5/18	2/6	2/6	1/6
Criticising	13/18	6/6	3/6	4/6
Praising	14/18	5/6	5/6	4/6
Stressing/Adding emphasis	14/18	4/6	4/6	6/6
Recommending	16/18	6/6	5/6	5/6

Concerning lexico-grammatical features, personal references are included in all texts compiled and therefore constitute an essential feature of travel blog posts. These include self-mentions (Hyland 2005) through personal pronouns, object pronouns, possessive adjectives and possessive pronouns. A distinction has been made between personal *I* expressions (present in all posts) where writers only make reference to themselves, or exclusive *we* expressions (in 16 out of 18 posts and in 14 out of 15 comments), which refer to the people accompanying the writers in their trips, leaving the audience out. Attitude markers also appear everywhere in posts, due to the evaluative nature of blogs, to highlight positive and negative aspects of the trip and place(s) visited (e.g. I was *definitely* thrown off by the title; I still find it *sorely* lacking).

Acronyms introduce the first difference in use depending on the blogger, as they are more frequently used by inner circle authors than the outer and expanding ones. Common examples comprise acronyms about countries (*USA*, *UK*, *URSS*), related to economics or politics such as *VAT*, *FCO* or *EU*, those concerning travelling and trips, like *GPS*, *b&b* or *YHA*, and others conveying informality and orality such as *ASAP*, *wtf*, *OMG* or *aka*. Probably, using this type of linguistic feature entails a deep knowledge of the language and cultural or social practices. Hence, understanding acronyms may be useful to follow important details and practical information of travel posts by native English authors, and non-native bloggers might struggle to decode them.

By contrast, vague language is mostly predominant in the expanding circle travel blog posts (6 out of 6), as non-native English speakers may not find sometimes accurate words because of the lack of full command of the language, and replace them in this way. These expressions convey a looser meaning or hedge their utterances (e.g. probably you and *a bunch of* others...get all that praise; I spent *a good chunk of* my time perched on the stones). As posts are characterized by a casual style, vague expressions are commonly employed when writers are not sure of something, prefer not explaining further, or do not want to be mistaken or assertive (e.g. they probably need import all fruits, vegetables *and other stuff*).

Interjections, a “peripheral to the language system itself” (Quirk *et al.* 1985: 853) are also spread in posts (15 out of 18) and transmit a touch of orality

and closeness with the audience. They very much overlap with exclamations, which are also prominent, to enthusiastically emphasize parts of the writer's trips (e.g. *Wow!; It's such a great itinerary!; Parking was free!*). Additionally, discourse markers indicating contrast (especially conjunctions: *while, however, even though*) and temporal markers (*then, when, while*) are the most frequent ones by native and non-native speakers alike. They introduce effects of surprise, excitement or opposition in the case of contrastive markers, and interweave sequencing and chronological references during the narration in the case of temporal markers. In all, both types of discourse markers help each other in making the reader feel equally informed and thrilled.

As regards syntactic aspects, Herring (2012a) pinpoints that computer-mediated discourse often involves deviation from strict syntax rules and can result in telegraphic or fragmented messages. In line with her argument, it has been found that unfinished sentences constitute a fairly recurrent aspect in travel blogs, making the discourse more informal and less *perfect*. They could be the counterpart of pauses and hesitations in spoken discourse, and they should not be confused with suspense-triggering sentences as in "ignore the headache *because...well*, you know what I want to say". Posts showing a higher frequency of these features belong to the expanding circle, since such bloggers may need more time to think, elaborate, and organize their ideas. This is probably influenced by the immediacy of current communication, as presented above, so the bloggers note down the first idea coming to their minds, since they are aware that unfinished sentences are not considered as mistakes, but as signs of informality and orality.

The distribution of question tags is also significant among the different circles, even if the amount of posts presenting this feature is not very high. Whereas native English speakers make no use of them, both the outer circle bloggers (2 posts) and the expanding circle ones (3 posts) find them a useful linguistic resources to engage the reader and ensure that the channel of communication is still open –as question tags seldom look for a real specific answer. Non-native speakers of English may want to look for both the agreement with their audience and their approval; hence they include this informal feature to make the reader feel empathy when going through the blogger's post of a trip.

In addition, all sorts of C-units (Biber *et al.* 1999), syntactic units being independent, can be reckoned to predominate in travel blogs, regardless of the blogger's linguacultural background (e.g. *Helen in Wonderlust, Zee Goes, Girl Astray*). Subject omission may simultaneously convey a certain degree of grammatical inaccuracy and a large level of informality and flexibility. This is reinforced if deletion of the main verb of the clause occurs, be it the copula *be* (both in active or passive voice –e.g. *Enjoying Turkey?; Followed by more food*

and more food) or the auxiliary verbs to build up questions and perfect tenses (e.g. *do*, *have* –e.g. *Need* a side kick?; Never *heard* about the spitting). To this respect, ELF speakers are fairly conscious of how language and grammar are different depending on registers and genres, in this case regarding the (non) mandatory presence of the subject in (in)formal discourse (see Table 3). Finally, sentences presenting no clause structure (no main verb, but just one single phrase or even one word) have been labelled in the taxonomy as non-clausal units. They are also associated with spoken discourse, where brief, concise phrases, though full of meaning, are frequently used. In travel posts, their use is mostly exploited to introduce headings or titles to the sections of a post (*Travel blogger fail!*; *All for a laugh...*; *Yummy food!*).

Onomatopoeias are the only significant semiotic feature found in the corpus selected (e.g. *boom*; *bababa*; *cough...cough*; *gulp*; *Argh*). They are not equally frequent among bloggers' travel posts, their use being more significant in the case of those by inner circle bloggers. As with acronyms, a higher use of linguistic and pragmatic resources made by native bloggers may be the reason. Consequently, it is necessary to know the cultural and social practices assigned to the language to recognize and produce the linguistic counterparts of those sounds in the discourse communities of each language. In any case, onomatopoeias are a fruitful resource to give the discourse a more oral and expressive touch that may attract the audience's attention.

Moreover, "e-communication often manifests spelling practices that suggest loosened orthographic norms" (Herring 2012a: 3). Traces of such loosening can be observed throughout the corpus, although these features do not greatly differ according to the bloggers' background. Non-standard capitalization plays a relatively prominent role in travel posts (8 out of 18) –e.g. its *Amazing* scene; Lovely *Article*– possibly due to carelessness of the writer when actually drafting the message or a potential attempt to emphasize a particular piece of discourse. In this case, it would overlap with the pragmatic function of adding emphasis and stressing.

Apart from that, lack of capitalization is not frequent, indicating that authors probably revise their output and care about the accuracy of their messages, despite the immediacy and informality of these texts. The groups of words that typically require capitalization in English but lack it in the examples from the corpus involve toponyms (e.g. *balkans*, *sabara*), demonyms (e.g. *soviet*, *portuguese*) or anthroponyms (e.g. *matt*, *bassan*). Strikingly, there are no cases of posts by the expanding circle speakers showing lack of capitalization, what may demonstrate an even higher concern about the revision of their text, since English is not their L1.

Abbreviations constitute another regular feature in travel posts, and differences are fostered by the writers' background. As in the case of acronyms

or onomatopoeias, to produce abbreviations a great command of the language structures and possibilities has to be acquired, and this may be more demanding for non-native English speakers. Indeed, the inner circle and the outer circle cases (6 out of 6 in both) outnumber the expanding circle ones (4 out of 6). However, unlike acronyms and onomatopoeias, it tends to be easier to decode the full words from abbreviations and their subsequent meanings (e.g. *fave, pics, veggies, comfy*), so they can be an effective resource for ELF users to convey the informality that the virtual community using travel blogs usually shows and expects.

Moving on to pragmatic features and the appearance of certain speech acts, directives (Hyland 2005) feature to a great extent in travel posts. They can adopt the form of the personal reference *you* (18 out of 18), so as to directly address the audience, engage it in its reading and establish a bridge for communication between the sub-genres of the post and the comment (e.g. *You'll have to see it for yourself; I like how you mentioned that you didn't realize*). Likewise, commands, typically displayed by imperative forms, are yet another form of directives recurrently used to address readers in travel blog genres (18 out of 18, too), despite having other purposes, too, as will be pointed out.

Furthermore, there are certain speech acts whose occurrence differs to a great extent in travel posts, namely asking or requesting, thanking, praising and criticising. Whereas it is logical that questions show up in posts to call the reader's attention (15 out of 18), it is remarkable that instances of thanking are rather scarce (5 out of 18), since travellers may want to mention and publicly appreciate what other people have done for them. Besides, praising and criticising may be understood as opposite speech acts demonstrating the speaker's stance towards someone or something involved in the blog post (for instance, cultural aspects about food, religion or social practices). Hence, these functions are usually accompanied by evaluative expressions, either positive or negative, reinforcing the attitude transmitted (e.g. *“Personally, receiving so many favors from strangers was (and is) an extremely humbling, yet at the same time inspiring, experience”*, as compared to *“There are always too few waiters, the tables are piled too close to each other and I don't enjoy the vibe in general”*). Consequently, these four pragmatic functions are very relevant for the writing of a textual genre like the travel blog post.

The high presence of praising instances in travel posts (14/18) may be brought about by a positive pragmatic and intercultural attitude that recognizes the role of different people, linguaculturally speaking, in the development of a trip. Apart from that, criticising was identified as a speech act that may contribute to the dialogicity featuring travel blogs. Numbers are not excessively high in posts (13/18), but this speech act is also fruitful when contrasts and downsides of a travelling experience are highlighted.

Stressing parts of the text is also a recurring feature in travel blogs, for the audience to convey different emotions, attitudes or even *intonations*. This emphasis can be transmitted via orthotypographic changes (italics, in bold, repeated question and exclamation marks, underlining or even crossing words), or lexico-grammatical ones (use of the emphatic *do* or repetition of lexis, as in “*Love love love this post*”). Finally, recommending is also very common in travel posts (16/18), because bloggers normally want to share their knowledge and experience for the readers to make the most of their trips (e.g. *Let’s not forget* their share in our story; *I would recommend* the annual Frankfurt Book Fair).

4.2. RHETORICAL STRUCTURE OF THE TRAVEL BLOG POST

The post in a travel blog needs to follow a *frame* which, although flexible, structures the text from the beginning and leads the way to the aim the writer pursues. Different sections or stages specifically respond to particular communicative intentions of a travel post. It is perhaps difficult to come up with a very steady and systematic structure in this dynamic genre, but there may be a leading thread underlining the contents and functions expressed through the words used. Bhatia (1993: 87) argues that “the ultimate criterion for assigning discourse values to various moves is functional rather than formal”. Then, the objective is not to come up with a detailed rigid move classification or to follow quantitative analyses proving statistical relevance.

The virtual discourse community of the blogosphere expect some linguistic and discursive features to be used in order to fulfil those communicative purposes, so community members can identify and follow the different moves of the rhetorical structure of the post and their corresponding functions and realizations. Thus, it seems clear that both authors and readers stick to quite an implicitly conventionalised structure. By carrying out a qualitative analysis of the rhetorical structure of travel blog posts in the compiled corpus, insights can be gained into the stages, sections or moves composing such a structure, getting to identify what the reader may generally expect and encounter in each of them. Furthermore, this analysis would also draw connections with the linguistic and discursive analysis presented above, understanding how authors convey the purposes of their posts through specific features.

Table 4 below shows the relations and connections between moves, purposes and linguistic features. The rhetorical structure functions as a frame to express the communicative intents enacted by different linguistic, discursive and pragmatic realizations in the text.

Table 4. Prototypical structure of travel blog posts in terms of moves, communicative purpose and discursive realizations.

MOVE	COMMUNICATIVE PURPOSE	REALIZATIONS
Situational move	To introduce and frame the post spatio-temporally by giving broad information and contents from the experience.	Self-expression (<i>I</i> and <i>We</i>) Attitude markers Directives
Descriptive move	To provide detailed data about the place and the experience, including appealing layouts, anecdotes and hypertexts.	Exclamations Interjections Onomatopoeias Non-standard capitalization
Closure move	To finish the post by recapitulating what the author liked or disliked or by making a summary of the trip.	Thanking Praising Criticising Recommending
Invitation move	To engage the readership to finish the post and share their ideas and thoughts in the comments section.	Directives Subject/Auxiliary omission Interjections Exclamations

First, the travel blogger sets the scenario of the post in the situational move, consisting of the presentation and contextualization of the place and potentially the time the author is going to talk about. The area where the journey takes place is typically emphasized here and the author begins by providing spatio-temporal parameters and stating his/her opinion about the experience. There is typically a combination of what Hyland (2005) refers to as self-mentions (first person *I* and exclusive *we*) with attitude markers and some directives to the readership, to engage them from the starting point and persuade them to keep on reading the post in depth, as can be seen in the following examples.

Example 1 (LTNN2)¹

Dear old Trinidad... You're like *everything that's authentic about Cuba gathered together in one single place*. I rarely *visit the same place twice*, but [...] I want to come back. I **NEED** to come back. But at the same time I'm scared. *Afraid to find you've changed. I sure know I have...*²

¹ The code to label the travel blog posts, and used hereafter in the paper, is as follows: the first two letters correspond to the name of the blog, and the two subsequent ones to whether it is written by a native (NS) or a non-native speaker (NN). The final number refers to the specific post within the 3 posts retrieved from each blog. For the overall information and links of the blogs, see Appendix.

² The italics in this example and onwards correspond to my added emphasis to identify linguistics realizations connected with the particular move structure.

Example 2 (HWNS3)

If you had asked me a year ago about the countries in the world I wanted to visit, I doubt *Ukraine* would have made it into the top 100. *Ukraine just wasn't on my travel radar*. In fact I'd never even considered it. Until... I was invited to my brother-in-law's wedding that is.

Hence, this first section is primarily content-oriented, used to establish the ground of the post. From this point on, it is likely for the author to use multiple options allowed by the layout of the text to hint at the different sections and moves of their production, “titles, sub-titles, headings and subheadings [being] commonly deployed to keep track of the composition structure [of the texts]” (Martin 1992: 443).

Afterwards, it is typical to find a descriptive move, insofar as the author deals with a great variety of expository subjects, including cultural customs and practices, which were relevant in such a trip. As explained above, the description of sights and landmarks is normally interspersed with the narration of anecdotes, and classified into distinct titles and headings (see Example 3). In addition, the author tends to add hypertextual references and links within the main text to address the reader to more information about a particular topic (see Example 4), or even to highlight or advertise another post of potential interest to the reader written in the same blog. All in all, this section calls readers' attention to the parts of the text the author desires to underline –through the use of features such as exclamations, interjections, onomatopoeias, as well as striking spelling patterns or semiotic symbols like emoticons. Opportunities are also provided for the potential gaps readers may want to fill or explore further.

Example 3 (ZGNN1)

Panchos Legend Walking Tour + Pub Crawl – 19 euro: Definitely worth it. For travelers looking to make like minded friends, you will meet a lot of folks here. *They also had a separate large group for Spanish speaking folks*, so you get good mix of choices.

Through the legends tour, *I got to see older parts of Seville and learned of it's history*. I *found one tragic story* somewhat familiar to G R R Martin's Song of Fire and Ice book, the Game of Thrones.

Example 4 (NMNS2)

Attend a cultural event – Since *Sydney has a complex about Melbourne* being called the culture capital of Australia, it tries to outdo its rival by *hosting over 30 official festivals and events each year*. It offers art gallery nights, concerts, festivals, and much more. Most of them are free and can be found on *the Sydney tourism website*.

In a sense, a navigating mode (Askehave and Nielsen 2005) is being emphasized for the reader to comprehend the narrative parts displaying those linguistic and

non-linguistic features and, more generally, the purpose of the blog and the author's intention. Thus, it is not expected that readers restrict themselves to a sequential or linear reading *per se* –more attributable to a classical reading mode and traditional genres–, but readers may actively build their own path through the different sections, moves and sites. This way, they may accomplish a better understanding of the communicative purpose of a digital genre like travel blog posts. The navigating mode is made possible mainly through the hypertexts and multimodal languages, including images or videos, which the blogger decides to add and which, according to Luzón (2015), particularly contribute to making discourse more (re)contextualised and popularised.

To finish the composition of the post, there is a widespread tendency to employ two different moves. The first one constitutes the closure move, where the author adds some final thoughts on the narration and draws some conclusions from the trip. This can be done regarding what has been learnt, the things that they want to repeat in the future or that they loathed, and/or just by doing a brief summary of the trip in a few lines. Here speech acts such as thanking, praising or criticizing, and recommending are frequently found (as illustrated in Examples 5 and 6). In some of the posts analyzed, the author decides to include a chart or a list of bullet points where practical information about prices, opening hours, means of transport or accommodation is offered, so that readers find it easy to recreate the trip in case they liked the location and the post (Example 6).

Example 5 (GANN2)

Hitchhiking is a great way of traveling and mostly results in fun experiences – nevertheless, as always when with strangers, you should use your common sense, avoid talking about intimate topics (you don't want to give the wrong impression) and most importantly, trust your gut.

Example 6 (HWNS3)

[...] *I really wasn't expecting to love Kiev or Ukraine. But I really did. The people were friendly, the food and drink were gorgeous and cheap as chips and there were so many cool things to see. Thanks for a great day and night Kiev. I'll definitely be coming back!*

Essential Info:

We flew to Kiev from Luton with Wizz Air. *The plane was nice and comfortable, reasonably priced, pretty efficient, no complaints at all. [...]*

The second move, marking the end of the post, has been labelled as the invitation move. It is usually very concise and aims to provoke the readership's answer to their reading and understanding. It gives way to the comments section, and entices anyone to share their ideas and give feedback to the author, subsequently creating a genre chain (Swales 1990; 2004). The layout of the post

is also very helpful at this point, since this move usually presents a special font, a bigger size or appealing colours. Directives are employed to address the reader in brief but purposeful sentences (often with subject and/or auxiliary omission). Exclamations or interjections also lower the register to a more informal one to maintain a relationship of trust and confidence, so that the readership can start commenting on the instance of digital genre they just went through.

Example 7 (SSNN2)

What would you add? And what's on your Frankfurt wishlist? [...]

Join The Shooting Star on Facebook, Twitter and Instagram for more quirky ways to discover popular destinations around the world.

Example 8 (NMNS2)

Want to share your tips and advice? *Got questions?* Visit the **community forum** to ask questions, get answers, meet people, and *share your tips!*

No meaningful differences have been found in the rhetorical structure of posts by Anglophone or non-Anglophone users. The four prototypical moves discerned are followed in all travel posts, regardless of the author's linguacultural background. This may point at a fairly established conventionalization of the structure of the travel blog and the communicative purposes of its moves in the English language. These patterns are indeed shared by users belonging to different discourse communities, but forming a virtual global community. To accomplish the narration of their travelling experiences and to engage the reader in an enjoyable active way, bloggers seem to find it useful to include the sequence of situation-description-closure-invitation, and to repeat it, whatever the post, to effectively transmit their messages and make clear their particular goals throughout the text.

5. CONCLUDING REMARKS

In a swiftly evolving panorama for communication affected by the development of the Internet, its digital applications and the digital genres, the travel blog offers new possibilities of interaction between native and non-native English speakers. Thus, members of the same virtual communities using ELF are profiting from the blog as a dialogical, immediate and informal instance of communication, in contrast to printed genres. In travel blog posts, bloggers can explain and transmit their travelling experiences and recommendations for a readership that will be willing to go through the text, will probably feel close to the writer and will be able to exchange their impressions and further information in the sub-genre of the comment.

As for how English speakers employ the travel blog post according to their linguacultural background, salient differences have been observed when it comes

to the use of discursive and linguistic features. Due to their higher unconscious command of the language, inner circle English speakers can take advantage of more sophisticated linguistic resources such as acronyms, onomatopoeias or abbreviations than bloggers from the outer and expanding circle. Nevertheless, speakers from the outer and expanding circle show higher concern about their contribution as bloggers in their travel blog posts. This leads them, first, to avoid unorthodox decisions such as lack of capitalization and, second, to fill that gap with other efficient resources such as vague language.

Even so, pragmatically, all bloggers display a similar use of a wide range of speech acts to transmit their messages to the audience (specifically, engaging, recommending, stressing, praising, criticising and thanking). They also use specific linguistic and discursive strategies to instantiate them –discursive attitude markers, interjections or exclamations. Hence, ELF users, regardless of their origins, understand that the digital discourse in the blogosphere needs to present dialogical and informal traits that characterize it as friendly, respectful and conversational. Travel blog posts have, consequently, an increasingly oral nature that is reflected in accepted lexico-grammatical and discursive practices, considered otherwise as incorrect (e.g. non-standard capitalization and subject or auxiliary omission).

Interestingly, results from the corpus highlight no differences in the rhetorical structure of travel blog posts. The same moves tend to be followed to build up the narration and description of a trip. After situating the place and describing it with full range of details and experiences, bloggers summarize the important points and invite the audience to feed them back with opinions or further information. Likewise, the navigation mode abounds in all posts, the user being an active reader who decides what to read, and in what order.

In closing, some venues for future research may comprise comparing this study with blog posts other than travel ones belonging to the genre colony to observe potential ELF discrepancies in its use and structure. Moreover, the contrastive analysis between the travel blog post and the comment can shed light on the boundaries as for these two sub-genres that have been considered, and on their particular features and their relation in the genre chain within the blog.

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APPENDIX

List of travel blog posts, following the codification used in the corpus, with their accompanying links.

Helen in Wonderlust

HWNS1: <https://www.heleninwonderlust.co.uk/2016/06/things-loved-didnt-love-sri-lanka/>

HWNS2: <https://www.heleninwonderlust.co.uk/2015/09/morocco-sahara-desert-tour/>

HWNS3: <https://www.heleninwonderlust.co.uk/2014/07/things-to-do-kiev-ukraine/>

Nomadic Matt

NMNS1: <https://www.nomadicmatt.com/travel-blogs/patagonia-camping-hiking/>

NMNS2: <https://www.nomadicmatt.com/travel-blogs/best-things-sydney/>

NMNS3: <https://www.nomadicmatt.com/travel-blogs/save-money-reykjavik/>

The Shooting Star

SSNN1: <https://the-shooting-star.com/2015/07/06/if-youre-looking-for-the-shire-come-to-georgia/>

SSNN2: <https://the-shooting-star.com/2016/12/15/quirky-ways-to-discover-frankfurt/>

SSNN3: <https://the-shooting-star.com/2016/12/11/lake-atitlan-guatemala-the-feeling-that-ive-found-my-place-on-earth/>

Zee Goes

ZGNN1: <http://www.zeeoes.com/2016/02/29/summer-2015-road-to-seville-with-zeeoes/>

ZGNN2: www.zeeoes.com/2016/10/17/how-to-buy-a-good-travel-insurance/

ZGNN3: <http://www.zeeoes.com/2016/09/28/bushmills-traveling-around-northern-ireland/>

Lili's Travel Plans

LTNN1: <http://www.lilistravelplans.com/cinque-terre-italy/>

LTNN2: <http://www.lilistravelplans.com/trinidad-cuba-life-lessons-responsible-travel/>

LTNN3: <http://www.lilistravelplans.com/survival-guide-culture-shock-china-part-1/>

Girl Astray

GANN1: <http://girlastray.com/locals-guide-to-bratislava-with-map/>

GANN2: <http://girlastray.com/basic-hitchhiking-guide/>

GANN3: <http://girlastray.com/free-travel/>

ANALYSING CULTURAL ASPECTS IN EFL TEXTBOOKS: A SKILL-BASED ANALYSIS

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ABSTRACT. *In teaching/learning English as a Foreign Language, one of the goals is to develop interculturally competent citizens. Consequently, culture must play a major role. As textbooks are carriers of cultural information, special attention should be paid to the cultural content of textbooks. This article compares the cultural content of six B2-level textbooks for English language teaching in Spain. The editions range from 1992 to 2013 and were distributed by well-known publishing houses. The purpose of the study is to identify whether cultural content (general, big 'C' and small 'c') has been incorporated in newer editions to answer to globalised needs and, secondly, to determine which skill is used preferably to do so. The author has adopted a culture learning model developed by Lee (2009) and design a three-fold cultural checklist. Then, content analysis methodology (Krippendorff 2004) has been used to quantify qualitative data. Data suggest that even in newer editions, products, artefacts and external behaviours are used more frequently when trying to portray a specific culture, leaving aside general cultural content and internal culture (small 'c'). It was also found that skill usage is different depending on the type of culture learning.*

Keywords: Culture teaching/learning, EFL teaching/learning, textbooks, intercultural learning, big 'C', small 'c'.

UN ANÁLISIS MULTI-COMPETENCIAL DE LOS ELEMENTOS CULTURALES EN LOS LIBROS DE INGLÉS COMO LENGUA EXTRANJERA

RESUMEN. *En la enseñanza/aprendizaje de inglés como lengua extranjera, uno de los objetivos primordiales es desarrollar ciudadanos interculturalmente competentes. Como consecuencia, la cultura ha de jugar un papel primordial en el aula. Al ser los libros de texto los que transmiten la información cultural, se debe prestar especial atención al contenido cultural que albergan. Este trabajo compara dicho contenido en seis libros de texto de nivel B2 utilizados en España. Se trata de libros de reconocidas editoriales publicados entre 1992 y 2013. El propósito de este estudio es identificar si el contenido cultural (general, cultura visible e invisible) ha ido siendo incorporado en las ediciones más recientes para responder a las actuales necesidades globalizadas y, en segundo lugar, cuál es la destreza comunicativa en la que preferiblemente se realiza esta transmisión de contenidos. El autor ha adaptado el modelo de análisis cultural desarrollado por Lee (2009) and ha desarrollado un listado tridimensional. Posteriormente, se ha utilizado la metodología de análisis de contenido (Krippendorff 2004) para cuantificar los datos cualitativos.*

Palabras clave: Aprendizaje/enseñanza cultural, aprendizaje/enseñanza de inglés como lengua extranjera, libros de texto de inglés como lengua extranjera, aprendizaje intercultural, cultura visible e invisible.

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1. INTRODUCTION

Globalization has made intercultural encounters more frequent than ever. This new context requires an answer in the EFL classroom. Learners need to acquire knowledge about the target language community to later reflect on their own culture (McKay 2002: 83). This has led to a discussion among language teaching researchers regarding the new student training needs (Baker 2012; Byram 2008; Kramsch 1993; Larrea-Espinar 2015; Mendez-García 2005; Risager 2011). In order to communicate intercultural, apart from knowledge, students need to develop skills and attitudes (Byram 1997).

Even before the edition of the Common European Framework of Reference (CEFR), it was clear that culture played a major role in language learning. However, this document does not establish specific descriptors for the cultural component acquisition, even though it endorses and recognises its importance.

This study uses a checklist designed by the author to analyse the cultural content of six language textbooks. The main objective is to identify whether

cultural content (general, big 'C' and small 'c') has been incorporated in newer editions with the purpose of answering to globalised needs and which skill is preferably used to do so.

2. THE EVOLUTION OF CULTURE IN ENGLISH LANGUAGE TEACHING

For many years, the relation between culture and language learning has been dealt with extensively -for a review on the most important works in the field, see Risager (2011). For decades, many scholars have expounded the unbreakable relation between culture and language and its influence on language learning: 'Language and culture are not separate, but are acquired together, with each providing support for the development of the other' (Mitchell and Myles 2004: 235). Weninger and Kiss (2013) identify three stages in dealing with culture. In the first one (1955-1990's), culture was conceived as a series of facts to be learnt about the target language culture. These were easily visible events, which Kramsch named 'facts, food, folklore and festivals' (1993: 24). These aspects represent the big 'C' aspects of culture (Peterson 2004) and are explicitly learned.

The link between language and culture is renewed and reinforced in the second stage (the 1990's). Culture is a key component of language acquisition as it is shown in the notion of intercultural communicative competence (ICC) (Byram 1997). He identifies the basic components of ICC: attitudes (curiosity, openness, readiness to suspend one's own beliefs, etc.), knowledge (about social groups and their products), skills of interpreting and relating (a document or event from another culture to one's own), skills of discovery and interaction, critical cultural awareness/political education (as a tool for practices and products evaluation). Thus, within the five-savoir approach, critical cultural awareness represents the need to understand not only the behaviour but also the values and beliefs of other cultures (and our own). Values and beliefs underlie behaviour and are considered the small 'c' aspects of culture, essential to understand the ways of thinking of a society. In this sense, students need to be prepared to confront ambiguities and to be 'attuned to the potential multiplicity of ways of construing utterances in discourse depending on the sociocultural context of the interaction' (McConachy and Hata 2013: 301). The advent of the communicative approach in English language teaching brings together these ideas. However, Holliday (1999) poses a question regarding the nature of the concept culture and its implications in the teaching of languages. In his frame, 'small' cultures relate to cohesive behaviour of any social grouping, which are not necessarily contained in national 'large' cultures and are non-essentialist. In his opinion, there seems to exist a confusion regarding 'small' cultures, which are seen by both academics and non-academics

alike as a metaphor of the national-ethnic concept of culture ('large', in his words). Nevertheless, these 'small' cultures are not contained in 'larger' entities but transcend them and "constitute a seamless *mélange* which stretches across national boundaries" (1999: 240). Holliday (*ibid.*, 243) also states that the notion of 'large' culture answers to a Western need to create 'imagined communities', concept introduced by Benedict Anderson in the 1980's. The 'large' culture paradigm also fails to depict the world as "an increasing cosmopolitan, multi-cultural place where cultures are less likely to appear as large coherent geographical entities (*ibid.*, 244). An example of 'small' culture as defined by Holliday is our neighbourhood, a real (as opposed to 'imagined') community, which can be divided in subsequent groups and cultures. This non-essentialist view strengthens our claim to underline the importance of developing skills and attitudes, rather than transmitting mere facts and knowledge.

The last stage is reached at the turn of the new century and shows a transnational approach. As we live in a globalised world, the teacher should help to educate "a critically reflective mind that can tell the difference between real and unreal, between information and disinformation, between ideas and ideologies" (Kumaravadivelu 2008: 164). Thus, concepts like 'global cultural consciousness' (*ibid.*, 164) and 'intercultural citizenship' (Byram 2008: 157) mean that students should be conscious citizens in our society. Since his earlier works, Byram has perceived the role of the language teacher as transcending the transmission of knowledge: "the responsibility of language teachers for introducing learners to another culture involves them in decisions which are educational and political" (1988: 17). In his reviewed version, ICC becomes intercultural citizenship, which combines the aims of language teaching and citizenship education (2008). He states that language teaching must aim at including moral and political education to lead action in the world.

3. CULTURE IN TEXTBOOKS

Lately there has been a renewed interest on the topic of how culture is represented in textbooks (Weninger and Kiss 2015), not only in EFL, but also regarding which culture(s) should be included (Shin, Eslami and Chen 2011). As far as cultural EFL textbook analysis is concerned, Lee (2009) studied 11 secondary school conversation books, Wu (2010) revised a complete series of higher education EFL textbooks (*College English*) and Yuen (2011) analysed the presence of foreign cultures in several Hong Kong high school textbooks. Following a semiotic approach, Weninger and Kiss (2013) examined local Hungarian textbooks. Finally, in Spain, we must highlight the work of Méndez-García (2005) with High School

materials and Larrea-Espinar (2015) selecting B1 books for adults and young-adults. The present study adds a synchronic perspective and an attention to skill distribution, as well as a larger sample if compared to most previous works.

As for the question of what culture or cultures should be represented in textbooks, Saville-Troike (2003: 15) points out that it depends on the social context in which that language is being learnt and in which it will be used. Crystal (2008) states that English is and has been for some time more extensively used in the expanding circle (i.e. not native speakers of the language with completely different cultural backgrounds). Thus, “if English is to be used as a medium for intercultural communication, the cultural content included in teaching materials should not focus mainly on the cultures of English-speaking countries” (Yuen 2011: 464). In this sense, it proves more appropriate and practical to foster students’ cultural knowledge by having recourse to various cultures and, in turn, developing intercultural competence: “Learners should begin by realising and understanding their own culture, respecting others’ cultures and being culturally sensitive” (Lai 2014: 6).

In relation to the analysis of culture in textbooks, it has generally been examined using models or assessment checklists. Byram and Esarte-Sarries (1991) and Risager (1991) used a four-dimension model. Then, Byram and Morgan (1994: 51) proposed thematic categories to examine the cultural content of textbooks, ranging from social identity and groups, social interaction, moral and religious beliefs, to national history and stereotypes. A few years later, Paige *et al.* (1999) designed a conceptual model to combine the teaching/learning of language and culture. Their model stems from previous works by Byram (1997) and Kramsch (1993) and develops the idea that complete culture learning requires the acquisition of general and specific culture. The general aspect of culture implies the acquisition of attitudes, skills and knowledge that are widespread and can be transferred to other cultures; the specific culture covers both big ‘C’ and small ‘c’ aspects related to a particular community or group. Lee (2009) turned this theoretical model into a practical one adding a classification by themes. He also classified the occurrences by formal presentation types – dialogue, image or activity – depending upon how the cultural aspect was presented in the book. Regarding culture in general, he suggested 16 themes, divided in three sections (knowledge, behavior and attitude). Some theme examples are, respectively, *the self as a cultural being*, *intercultural communicative competence* or *positive attitude towards cultural learning*. As long as specific culture is concerned, to acquire aspects of big ‘C’ Culture, Lee used 22 categories, for example, *literature*, *education*, *regions* or *government and politics*. Referring to aspects of small ‘c’ culture he sketched 26, such as *fairness*, *materialism*, *experimental* or *self-reliance*.

In turn, the author of this study drew on Lee's model to devise a more functional tool for recollection of data. To that aim, the number of categories proposed by Lee are simplified and reduced combining certain themes that may be considered as falling within the same spectrum (for example, 'Infrastructure/metropolitan' and 'Traffic/transportation' in big 'C' culture); we also eliminated categories that proved to be redundant or difficult to identify in a textbook due to being excessively specific ('High involvement' and 'Experimental' in small 'c' culture, to give but two examples). Our checklist includes a categorization of occurrences according to the skills involved (reading, listening, speaking or writing). The author believes that these changes help to provide a more functional model without jeopardising effectiveness or rigour.

As for the approaches, many techniques have been used in the analysis of textbooks. For our study, we have used content analysis to quantify qualitative data.

4. METHODOLOGY

4.1. RESEARCH QUESTIONS

The goal of this study is to determine whether cultural content (general, big 'C' and small 'c') has been incorporated in newer editions to answer to globalised needs or not. As a secondary objective, we will also consider which skill is used preferably to do so. With these aims, we have established the following research questions:

1. Are newer editions more aware of cultural learning in its different dimensions?
2. Are different skills used for different cultural learning aspects?

These two questions will give information regarding two key aspects: firstly, we will be able to determine if publishing houses are aware of cultural content in their texts and are responding accordingly; secondly, the skills used show the type of learning implemented and the degree of student involvement.

4.2. SAMPLE

A content analysis of six EFL textbooks has been conducted. These B2 level books were written for adults and young adults and are used primarily in university language centres. Even though Spanish university students require only a B1 level to obtain their degree, B2 is what they need in order to have access to the most common foreign-study grants (Erasmus + student mobility for studies or placements, for example).

We have selected books from the most important EFL publishing houses in Spain (Oxford University Press, Cambridge University Press, MacMillan and Heinemann).

Table 1. Textbooks used in the study.

Straightforward. Second Edition	MacMillan Education	2012
English Unlimited	Cambridge University Press	2011
New English File Upper-intermediate.	Oxford University Press	2008
English File Upper-intermediate. First Edition	Oxford University Press	2001
Inside Out Upper Intermediate	MacMillan Education	2001
Highlight Upper Intermediate	Heinemann ELT	1992

Their publication dates range from 1992 to 2012. We believe this synchronic element may provide some significant information regarding the evolution of cultural learning in EFL books.

4.3. DATA COLLECTION AND ANALYSIS

As we need to quantify qualitative data, we have used content analysis, which is ‘a research technique for making replicable and valid inferences from texts (or other meaningful matter) to the contexts of their use’ (Krippendorff 2004: 18).

The data language is a three-fold checklist that stems from the previous work of Paige *et al.* (1999) and Lee (2009).

Table 2. Culture checklist.

CULTURE IN GENERAL	
Knowledge:	Cultural learning Cultural adjustment stages (Shock) Cultural identity
Behaviour Strategies:	Culture learning or dealing with Intercultural stress Cultural adaptability
Attitudes:	Positive attitude toward cultural learning Positive attitude toward cultural differences
BIG C CATEGORIES	
Ethnic groups	
Geography/history/politics/regional variations	

Arts/crafts/ monuments/ historical sites/
Literature, films, music and mass media/ Icons/ Celebrities
Currency/shopping/market/industry/business
Urban life/infrastructure/housing/transportation
Education
Dress-style
Food
Festivals/celebrations/holidays/ceremonies
Social customs
Leisure/sports
Family
Non-verbal communication (personal space, oculosics, haptics...)
SMALL c CATEGORIES
Individualism/collectivism
Equality
Fairness
Competition
Materialism
Confrontation
Novelty oriented (newer is better)
Self-improvement
Nurture (up-bringing, education)
Time
Level of formality
Communication styles: direct vs. indirect
Rules-regulation oriented
Male-oriented
Result-oriented

In order to record cultural incidences (understood as instances where cultural information/values/behaviours are transmitted), we agree with Weninger and Kiss (2013: 696) in considering activities as the unit of examination in reporting cultural incidences, mainly because cultural learning cannot occur by mere observation of pictures or the description of facts. This approach enhances traditional content analysis, which ignores the multimodal nature of the textbook. However, we have not follow Chen's semiotic analysis (2010), who concentrates on images as means to develop emotion and attitude goals. According to this author, "images in textbooks play an important role in realizing a great variety of emotion and attitude curriculum goals" (ibid., 72). Although its findings are interesting, we have not included a multimodal analysis of this kind, and have rather used the activity as unit of examination as explained above.

One of the main criticisms regarding content analysis is the subjective nature of the data collection process (Krippendorff 2004). This shortcoming has been addressed. Both data collection and analysis were carried out by the writer and reviewed by another member of the English department, also specialising in cultural studies and language learning. Thus, we guarantee the study's reliability and replicability.

For the purposes of analysing the cultural learning content, only the textbooks themselves were studied, ignoring any complementary course material such as CD-Roms, workbooks, websites, and online activities.

4.4. FINDINGS

Research question 1

Culture in General. Activities related to the development of behaviour and attitudes are very scarce in the total occurrences of the six textbooks (only 5 each). However, we find 46 related to knowledge acquisition (84.1% of the total). The concept of cultural identity is the most recurrent, while strategies for cultural adaptability have been registered just once on page 117 of *English Unlimited*. The students are provided with information and advice regarding the kind of expected behaviour when looking for a job in countries as diverse as Venezuela, Ireland, China or England. If they decide to look for a job abroad, they are provided with specific pieces of advice (research local customs, topics of conversation, non-verbal communication or how to address a person at a first meeting). Also, at the end of the unit, the concept of professional culture is introduced (cultural identity).

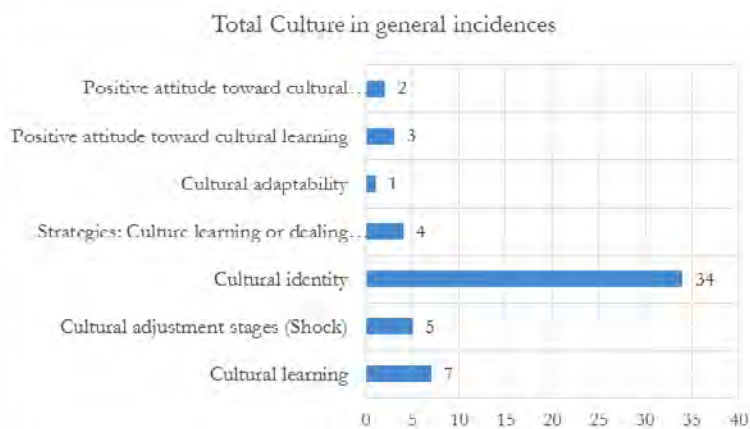


Figure 1. Culture in General occurrences by categories.

The importance given to this dimension is very different in the different texts as can be seen in the graph.

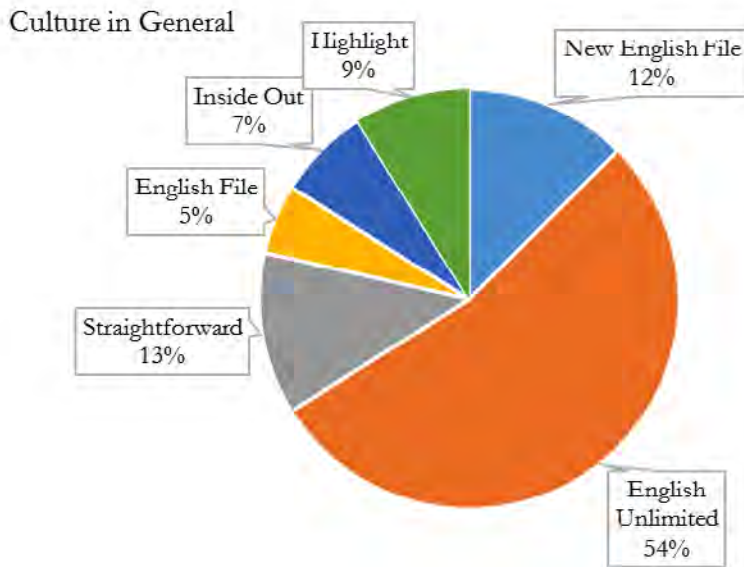


Figure 2. Culture in general occurrences by textbooks.

English Unlimited is, by far, the textbook where more occurrences are recorded (54%). It is worth mentioning that the *English File* newer edition increases 7% and that the three older editions, *Highlight*, *Inside Out* and *English File* only work one item, 'Cultural identity', on 5, 4 and 3 occasions respectively. *Straightforward* (not the same series but the same publishing house) scores 6% higher than *Inside Out*, edited 11 years earlier.

Big 'C' Culture. In the graphs below, the distribution of the 231 incidences in the big 'C' specific culture dimension can be observed, both in the different books and the distribution per items.

English Unlimited more than doubles *New English File* (3rd ed.) in occurrences. *Highlight* and *Straightforward* are the two texts that contain fewer cultural references.

If we pay attention to the incidences per item, we can see that 'Literature, films, music and mass media/ Icons/ Celebrities' references (20.3% of the total), followed by 'Social customs' (13.4%). 'Family', 'Non-verbal communication', 'Leisure/sports' and 'Dress-style' are the least registered items.

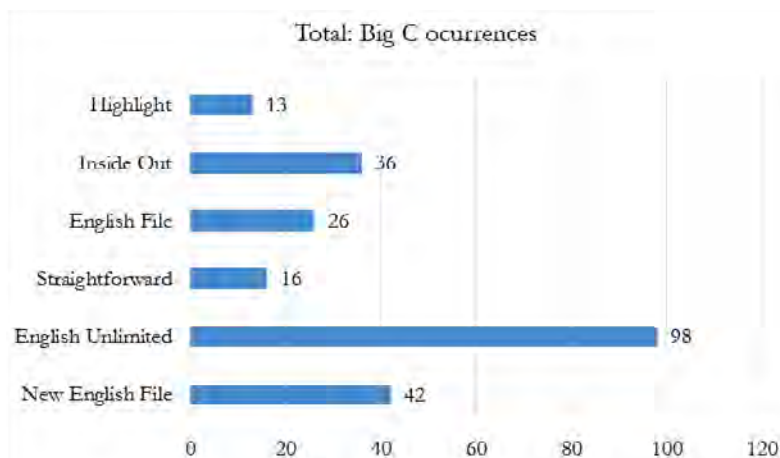


Figure 3. Big 'C' occurrences by textbooks.

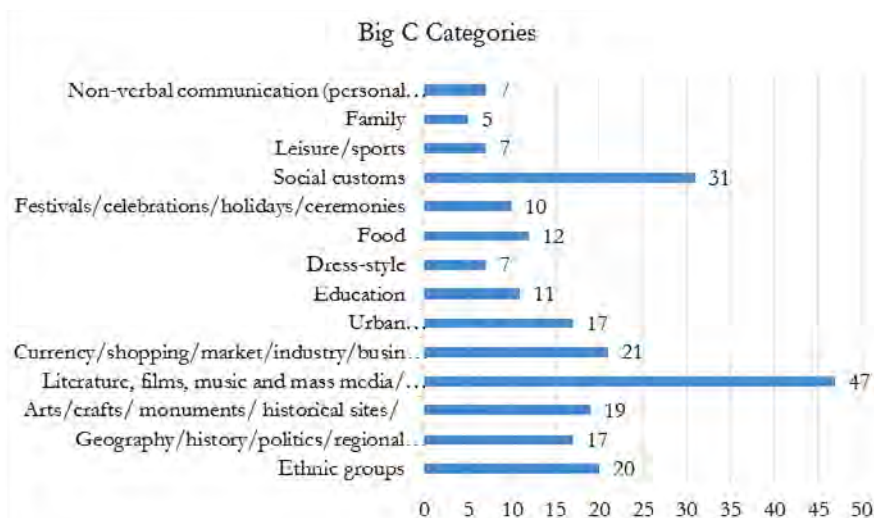


Figure 4. Big 'C' occurrences by categories.

English Unlimited presents the best range regarding item representation, with all the categories covered. *Highlight* scores lowest with 7 unrecorded items, followed by *English File* (6) and *Straightforward*, *New English File* and *Inside Out* (4).

Small 'c' Culture. In the graphs below, the distribution of the 100 incidences in the small 'c' specific culture dimension can be observed, both in the different books and the distribution per items.

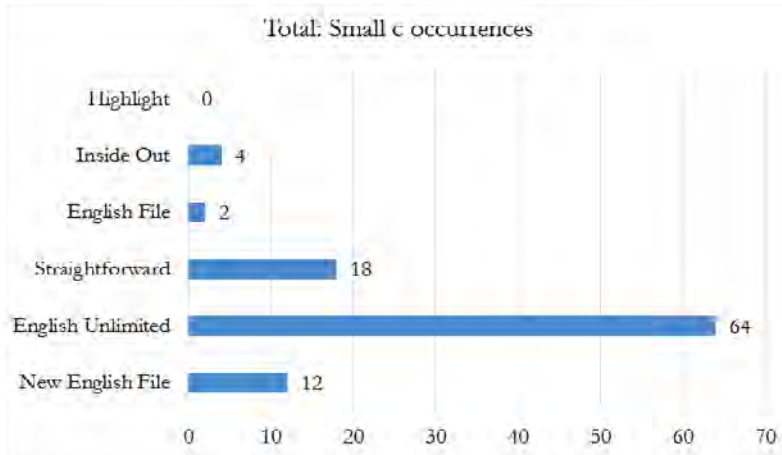


Figure 5. Small 'c' occurrences by textbooks.

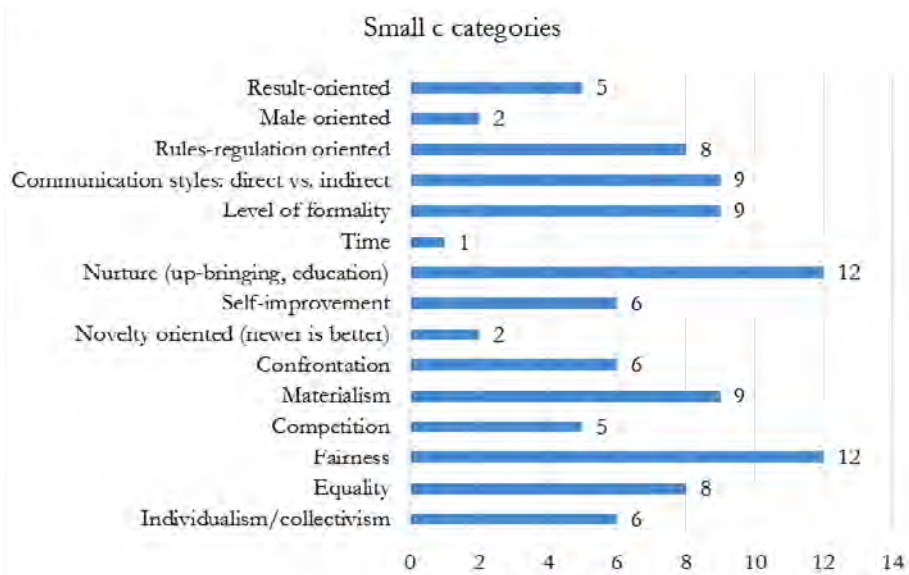


Figure 6. Small 'c' occurrences by categories.

English Unlimited has the highest score in the small 'c' occurrences as well (64 out of a total of 100, which almost quadruplicates the second one, *Straightforward*). Even discarding it, newer editions seem to be paying more attention to this dimension, which is almost completely disregarded in older editions (2001 and earlier).

With a mean of 6.7 occurrences per item, 'Rules-regulation oriented', 'Communication styles', 'Levels of formality', 'Nurture', 'Materialism', 'Fairness' and 'Equality' score over it. Once more, *English Unlimited* presents the best range, leaving behind just two items ('Time' and 'Male-oriented').

In summary, the number of total cultural occurrences recorded is 387 (Culture in general 56, big 'C' 231 and small 'c' 100). Big 'C' occurrences being 59.7% of the total is consistent with prior studies (Raigón-Rodríguez and Larrea-Espinar 2015), reinforcing the idea that products, artefacts and specific cultural behaviours are the most pervasive items in textbooks when it comes to culture.

Research question 2

As for the relation between cultural learning and the skills used for each dimension, the graphs below show the total number of occurrences distributed among the four skills.

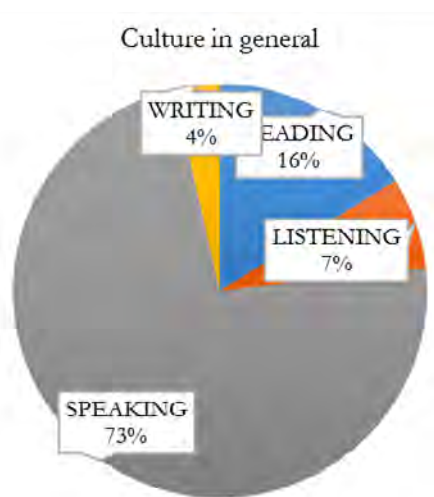


Figure 7. Culture in general occurrences by skill.

It is noticeable that speaking is the most used skill for cultural learning in the Culture in general dimension. Almost 3 out of 4 incidences are related to oral production. However, both dimensions related to specific culture learning (big 'C' and small 'c') are highly linked to receptive activities: reading (44% and 36% respectively) and listening (40% and 41%). Only 16% and 23% are occurrences of productive skills activities.

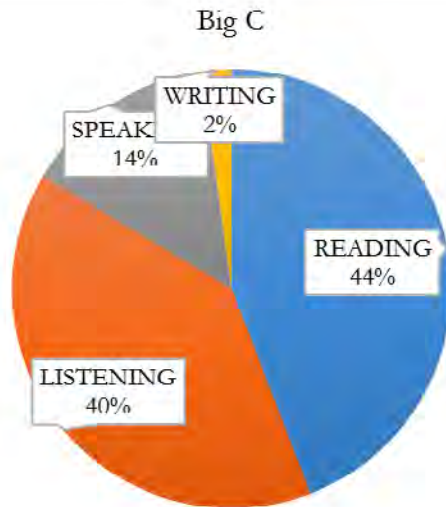


Figure 8. Big 'C' occurrences by skill.

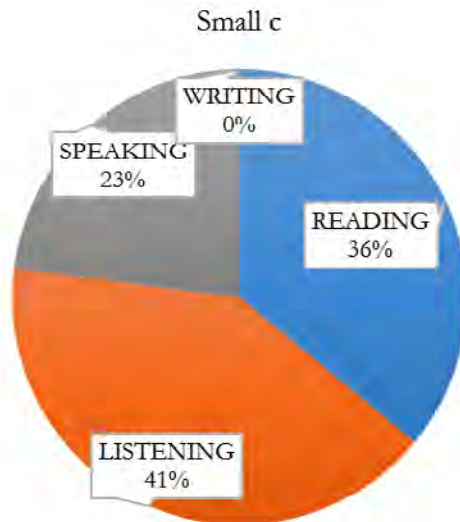


Figure 9. Small 'c' occurrences by skill.

5. DISCUSSION OF RESULTS

As expected, the number of cultural learning occurrences is quite unevenly distributed among dimensions, where anecdotal knowledge about specific cultures

(big 'C') is recorded 231 times, representing almost 60 percent of the total. A much lesser weight is given to beliefs and specific culture world views (small 'c'), with one fourth of the total. The acquisition of a certain culture or cultures should not be the main goal but rather developing students' abilities and behaviours that allow them to interact in multicultural environments (Byram 2014). Consequently, it is worrying that Culture in general only reaches 14.5% of the total. This poses a problem for students' cultural training in our view.

Table 3. Total occurrences by textbooks.

Textbooks	Culture General	Big C	Small c
Straightforward. Second Edition (2012)	7	16	18
English Unlimited (2011)	30	98	64
New English File Upper-intermediate (2008)	7	42	12
English File Upper-intermediate (2001)	3	26	2
Inside Out Upper Intermediate (2001)	4	36	4
Highlight Upper Intermediate (1992)	5	13	0

As we can observe from the figures, we can only establish a clear relation between publication dates and occurrences in the small 'c' dimension. This side of cultural learning, almost invisible in the older editions, is more represented in the newer ones, although unevenly. *English Unlimited* almost doubles the rest of the other books combined.

On the contrary, if we take aside *English Unlimited*, which can be defined as a *rara avis*, we cannot sustain that generally there is an increased number of occurrences in newer editions regarding Culture in general. With a mean of 5.2, Culture in general is underrepresented in all the textbooks. Once more, it should not be left unmentioned that *English Unlimited's* 30 recorded activities cover all the items in our checklist.

Besides, big 'C' representation shows differences, but these do not fall into a chronological pattern, since the newest and the oldest book register almost the same number of occurrences (16 and 13). If we pay attention to big 'C' specific culture, it is revealing how culture is so underrepresented in a 2012 textbook such as *Straightforward* (16), with only three more occurrences than *Highlight*, published 20 years before. Moreover, *Straightforward* shows an anecdotic and superficial treatment of cultural learning. An example to illustrate this can be found in unit 11B, 'South is up'. This unit shows a picture of the world map 'upside-down'. Instead of using this to discuss deeper issues of Culture in general such

as ethnocentrism (e.g. the place of Europe and the rest of the world on Western maps), the speaking activities ask students to discuss what maps they have at home and how often they use them.

By contrast, *English Unlimited* represents an attempt to really entwine culture and language, going deeper, as can be seen in its seven 'Across cultures' units. One of the best examples can be found on page 37, 'Special occasions' where a Brit talks about Bonfire Night and a Pole talks about weddings in her country. This is an interesting case because the topic moves away from the stereotype alone and also from Anglo-Saxon culture. The students have a chance to listen to the characters, to later talk about their own opinions and describe a special occasion from a culture, either their own or another. Other topics dealt with similarly in this textbook are 'Aspects of culture' (21), 'Ways of communicating' (53) or 'Rights and obligations' (85).

Regarding the big 'C' dimension, items are very unevenly represented, tending to the touristic and stereotypical vision of specific cultures. Again, *English Unlimited* proves to be more complete in this area, covering all the big 'C' items while *Highlight* has the poorest range. Hence, we cannot establish a correlation in this dimension between publication date and cultural occurrences here, but rather describe them as individual differences. Finally, we should mention obvious differences in the two *English File* series editions, which increase the number of incidences in all dimensions (3 to 7 in Culture in general, 26 to 42 in big 'C' and 2 to 12 in small 'c'). This proves a raised cultural awareness in this particular publishing house.

Regarding our second research question, data reveal differences in skill usage in the different dimensions. Productive skills represent 77% of the Culture in general occurrences, while just 16% in big 'C' culture and 23% in small 'c'.

In order to develop Culture in general learning, a greater involvement on the part of the student is needed. This involvement is produced by means of speaking and discussion activities in which they need to evaluate their own culture, suspend their beliefs and interpret alternate cultural visions. Examples of this can be found in *English File* (10, 48 and 110), where the students discuss their own cultural stereotypes or how their own culture is influenced by America. The later edition, *New English File*, moves around the same topics: national stereotypes and own customs (20, 23 or 91). *Highlight* introduces discussion questions like 'How do people in your country live now?' (10), 'Describe a typical meal in your country' (1), which is a rather shallow attempt at own's culture awareness. *Inside Out* treats this dimension similarly, as can be observed on pages 98 or 104. *Straightforward* uses 'Did you know?' texts about some cultural aspect to introduce discussion

questions regarding the students' own culture (39 or 99). *English Unlimited* stands out again, not being constricted to the students' own cultural identity, as can be observed on page 65 ('Critical incidents'), where cross-cultural misunderstandings are dealt with. Positive attitudes are also developed (as can be seen on page 21).

This tendency towards productive skills is reverted in the specific culture learning (big 'C' and small 'c'). 84% and 77% are listening or reading activities, which proves the unidirectional type of cultural learning which is promoted by these textbooks. This reinforces the idea that students are mainly given information (knowledge) but not interpreting tools. On the contrary, if our intention is the development of behaviours and attitudes, a more interactive and multidirectional approach must be sought. Moreover, this is also the case when we look closely at the recorded activities in Culture in general. Abilities and strategies development are hardly ever dealt with (just 17.9% of the total occurrences in this section).

6. CONCLUSIONS

It seems that cultural learning's importance is highlighted everywhere but generally neglected when it comes to be put into practice. As we have seen, apart from *English Unlimited*, newer editions pose an insufficient effort since they merely decorate their texts with plenty of anecdotal cultural facts. Sometimes, that is not even the case. 56.7% fewer occurrences in small 'c' than in big 'C' consolidates the idea that products, artefacts and external behaviours are used more frequently when trying to portray a specific culture. It is obvious that teaching the beliefs and worldviews shared by a particular community poses a greater difficulty. In most cases, we are just able to perceive a reified version of different cultures, 'large' stereotypical cultures in Holliday's words (1999), where a much more flexible and complex phenomenon should be tried to be portrayed. Materials should be designed to develop discovery, accommodation and negotiation skills, what Baker presents as intercultural awareness (ICA), a concept that has evolved from cultural awareness (CA), a 'non-essentialist' alternative. This would allow a dynamic approach to culture, perceived as 'something freer and more fluid' (Baker 2012: 64), much like Kramsch's influential notion of the 'third place' (1993). This is clearly not the case in the analysed textbooks, where most of the cultural learning deals with stereotypical behaviours and products.

Language learning, besides its obvious uses, must be a tool for social change and cultural understanding. Introducing different cultures in the classroom is a step towards intercultural understanding and peace, in Byram's words, 'a springboard for political action' (2014: 18); however, stereotypical facts about specific cultures will not bring about this action.

Although an improvement in some areas can be observed, there needs to be an increase in the effort to integrate cultural learning in textbooks, particularly in the Culture in general and small 'c' dimensions. 'Since textbooks are institutionally sanctioned artefacts [...] learners are likely to treat these textbooks as carriers of truth' (Weninger and Kiss 2015: 54). For this reason, textbook writers should move away from Kramersch's 'four F's' (1993) and the mere anecdotic knowledge about a particular culture. Even though it can be stated, based on the recorded data, that this movement has already started, a greater effort on the development of the last two is greatly needed. Regarding skill usage, we have been able to prove that the development of culture in general abilities and behaviours must be dealt with by productive skills, where the student can cease to be a passive subject in the process. Only this change in roles and training can prepare our students for multicultural interaction and intercultural communication. We are faced with the fact that if textbooks are unable to provide this training, different tools will have to be introduced in the classroom.

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JOURNAL OF ENGLISH STUDIES (JES)

Editorial Policy, Guidelines for Contributions and Stylesheet

1. EDITORIAL POLICY

1.1. Journal description. *JES* is the journal of the English Studies Division at the University of La Rioja. It accepts for publication, after favourable reports from two anonymous referees, original scholarly contributions in all research areas within the domain of English studies (linguistics, literature, literary theory, cultural studies, film studies, etc.). Proposals for publication may fall under one of the following three categories:

- A. Research papers involving empirical investigations and methodological or theoretical studies within the field of English Studies (min. 6,000 and max. 10,000 words in double-spaced pages, including bibliographical references, notes, appendixes, figures and tables).
- B. State of the art reports of recent books covering issues relating to the area of interest of the journal (max. 3,000 words in double-spaced pages).
- C. Notes and squibs (max. 1,500 words in double-spaced pages).

Exceptionally, and with a positive report by the Editorial Board, contributions which exceed these maximum lengths may be considered for publication on the grounds of their scientific relevance.

1.2. Language. *JES* only accepts for publication contributions written in English.

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- Relevance concerning current research in the field.
- Knowledge of previous research in the same field.
- Scientific rigour and depth of analysis.

- Accuracy in the use of concepts, methods, and terms.
- Relevance of the theoretical implications of the study.
- Use of updated bibliography.
- Correct use of language and correction in the organization of contents and other formal aspects of the text.
- Clarity, elegance, and conciseness in the exposition.
- Suitability to the range of topics of interest for the journal.

Evaluation reports will be carried out anonymously within three months from their reception. Once the evaluation process is completed, authors will receive a statement of the editorial decision together with an anonymous copy of the reports on which the decision is based. The editorial decision will be considered final.

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Proposals should be sent online via <http://publicaciones.unirioja.es/revistas/jes>. In order to be sent off for evaluation, proposals must follow the guidelines below.

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3.1. What to send. Authors should send their proposals via e-mail, indicating the title of the proposal that is being submitted in order to be evaluated for publication in *JES*.

Attached to the message, authors should send two Word or RTF documents. In the first document, authors should include the title of the proposal (in **bold face**), the name/s of the author/s (in Small Capitals), their institutional affiliation (in *italics*) and any other relevant information, such as e-mail and postal address and telephone and fax number.

In the case of multiple authorship, please state clearly which of the contributors will be in charge of the ensuing correspondence with *JES*.

Authors should also include here a brief biographical note of about 100 words.

The second document should include the full proposal to be sent off for evaluation. Authors should be extremely careful to avoid any kind of information which might reveal their identity.

3.2. Artwork, tables, figures and images. These should be included in the text file. Tone art, or photographic images, should be saved as JPG or TIFF files with a resolution of 300 dpi at final size.

3.3. Copyright information. If a preliminary version of the proposal has been presented at a conference, information about the name of the conference, the name of the sponsoring organization, the exact date(s) of the conference or paper presentation and the city in which the conference was held should be provided in a footnote in the first page of the document. Seeking permission for the use of copyright material is the responsibility of the author.

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)

For **films**, just consider them as directed pieces of work, with "dir." for "director" instead of "ed." for "editor," giving the country/ies of production for the place and the name of the production company/ies instead of the publishing house, e.g.:

Kubrick, S., dir. 1980. *The Shining*. USA and UK: Hawk Films Ltd., Peregrine, Producers Circle and Warner Bros.

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 reseñas de libros recientes publicados en el campo de los Estudios Ingleses (máximo 3.000 palabras en páginas a doble espacio).
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- 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.
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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.

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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.

Artículos. En las referencias a artículos, los títulos de los artículos aparecerán entre comillas; el de la revista en la que aparecen en cursiva; seguidos del volumen y el número (entre parentesis) de la revista. Luego irán los números de páginas, separados por dos puntos:

- Haiman, J. 1978. "Conditionals are topics". *Language* 54 (2): 564-589.
- Frye, N. 1940. "The Resurgent". *Canadian Forum* 19: 357-61.

Libros editados. Las obras editadas por uno o varios autores deberán citarse como sigue (se utilizarán las abreviaturas ed. o 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.

Artículos publicados en libros. Las referencias a artículos publicados en obras editadas por otros autores o en actas de congresos se escribirán como se indica en el ejemplo:

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.

Varios autores. Artículo de revista con tres autores:

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.

Artículo en una publicación semanal o quincenal:

Allen, B. 1995. "Leaving Behind Daydreams for Nightmares". *Wall Street Journal*, 11 October, A12.

Reseña en una revista:

Judie Newman. 2007. "*Fictions of America. Narratives of Global Empire*", by P. Martín Salván. *Atlantis* 31 (1): 165-170.

Tesis sin publicar:

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.

Publicaciones **on-line:**

Pierce, David. "Irish Studies round the world-2007: Introduction." <<http://www.estudiosirlandeses.org/Issue3/Issue3InternationalReviews/PdfIrishStudiesRoundtheWorldbyDPierce.pdf>>. (Accessed 7 May 2008)

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Kubrick, S., dir. 1980. *The Shining*. USA and UK: Hawk Films Ltd., Peregrine, Producers Circle and Warner Bros.

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CONTENTS

- Girl meets boy*: postcyborg ethics, individual identity and collective rights in the posthuman age
CAIVO PASCUAL, MÓNICA (*Universidad de Zaragoza*)
- Indecorum, compromised authority and the sovereign body politic in *The Fortunes of Nigel* and *The Heart of Mid-Lothian*
COUSINS, A.D. AND NAPTON, DANI (*Macquarie University*)
- The Zone of Interest*: honouring the Holocaust victims
DÍAZ BILD, AÍDA (*Universidad de La Laguna*)
- A critical discourse approach to Benjamin Martin's preface to *An introduction to the English language and learning* (1754)
FERNÁNDEZ MARTÍNEZ, DOLORES (*Universidad de Las Palmas de Gran Canaria*)
- A.S. Byatt and the "perpetual traveller": a reading practice for new British fiction
FLYNN, NICOLE (*South Dakota State University*)
- Reassessing John Steinbeck's modernism: myth, ritual, and a land full of ghosts in *To a God Unknown*
GUALBERTO, REBECA (*Universidad Complutense de Madrid*)
- The time abroad project – German and British students' expectations for their stay abroad
LEAHY, CHRISTINE (*Nottingham Trent University*)
- Borders and cosmopolitanism in the global city: *London River*
LÓPEZ FUENTES, ANA VIRGINIA (*Universidad de Zaragoza*)
- Psychopedagogical factors that affect L2 listening acquisition in diverse Spanish bilingual and non-bilingual instructional settings: multiple intelligences influence
MORILLA GARCÍA, CRISTINA AND PAVÓN VÁZQUEZ, VÍCTOR (*Universidad de Córdoba*)
- "What will your verse be?": identity and masculinity in *Dead Poets Society*
MURO, ALICIA (*Universidad de La Rioja*)
- Leadership and cultural frames in Wole Soyinka's *The strong breed*
OBIEGBU, IFEYINWA RITA (*University of Nigeria Nsukka*)
- Inflectional variation in the Old English participle. A corpus-based analysis
OJANGUREN LÓPEZ, ANA ELVIRA (*Universidad de La Rioja*)
- Analysing digital communication: discursive features, rhetorical structure and the use of English as a lingua franca in travel blog posts
PASCUAL, DANIEL (*Universidad de Zaragoza*)
- Analysing cultural aspects in EFL textbooks: a skill-based analysis
RAIGÓN-RODRÍGUEZ, ANTONIO (*Universidad de Córdoba*)



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