Journal of
English Studies

volume
19
2021

**UNIVERSIDAD
DE LA RIOJA**

JOURNAL OF ENGLISH STUDIES

CONTENTS

PAUL AUSTER'S TRANSCENDENTALISM: SHIFTING POSTMODERN SENSIBILITY IN THE NEW MILLENNIUM

Jesús Bolaño Quintero
Universidad de Cádiz
jesus.bolano@uca.es

ABSTRACT. *This article traces Paul Auster's shift in sensibility after the 2001 attacks on the World Trade Center. While his earlier novels where paradigmatic of postmodern self-referentiality, several critics have argued that his post-9/11 production turned towards realism. This might be interpreted as subsidiary evidence in favor of the polemic debate around the death of postmodernism. However, the aim of this article is to outline the transformation of the writer and offer explanations as to why that change in sensibility does not respond to a divestiture of postmodernism, but to an intensification of it. I trace Auster's alternative to postmodern relativism, that is, transcendentalism, to arrive at the conclusion that his stance towards it is the same in his later novels.*

Keywords: Paul Auster, transcendentalism, Ludwig Wittgenstein, language games, Postmodernism, American fiction.

EL TRANSCENDENTALISMO DE PAUL AUSTER:
CAMBIO DE SENSIBILIDAD POSTMODERNA EN EL NUEVO MILENIO

RESUMEN. *Este artículo es un análisis del cambio de sensibilidad que se produce en la obra de Paul Auster después de los ataques de 2001 contra el World Trade Center. Aunque sus novelas anteriores al suceso eran paradigmáticas de la autorreferencialidad posmoderna, algunos críticos han argumentado que la producción del autor posterior al once de septiembre dio un giro hacia el realismo. Esto podría interpretarse como evidencia subsidiaria a favor del polémico debate en torno a la muerte del posmodernismo. Sin embargo, el objetivo de este artículo es describir la transformación que sufre la obra del escritor y ofrecer explicaciones de por qué ese cambio de sensibilidad no responde a una renuncia del posmodernismo, sino a una intensificación del mismo. Trazamos la alternativa de Auster al relativismo posmoderno, es decir, el trascendentalismo, para llegar a la conclusión de que su postura hacia el mismo no ha cambiado sus novelas posteriores.*

Palabras clave: Paul Auster, trascendentalismo, Ludwig Wittgenstein, juegos de lenguaje, Postmodernismo, ficción estadounidense.

1. INTRODUCTION

During the first decade of the twenty-first century, Paul Auster's narrative underwent a series of transformations that some researchers have seen as a desire to leave postmodernism behind. Works such as *The Brooklyn Follies* (2005),[1] *Travels in the Scriptorium* (2006)[2] or *Man in the Dark* (2008) show, as Stefania Ciocia and Jesús A. González indicate, a turn in his writing towards "'real' people" (2011: 4). In a way, this turn is a sort of response to Harold Bloom's criticism about his work: "in no way does Auster practice an art that seeks to imitate social reality" (Bloom 2004: 2). In this sense, one could read these novels by Auster as a reflection of the intended paradigm shift that was to follow the passing of postmodernism at the beginning of the twentieth century.

Moon Palace[3] was published two years after *The New York Trilogy*,[4] in 1989. That same year the Berlin Wall fell and the Reagan era ended. Postmodernism was at its zenith. *Sunset Park* was published in 2010.[5] The death of postmodernism had

---

1 Henceforth, *Follies*.
2 Henceforth, *Travels*.
3 Henceforth, *Moon*.
4 Henceforth, *Trilogy*.
5 Henceforth, *Sunset*.

already been assimilated by a wide sector of the theorists.[6] Its successor was in the process of formation when this happened. The contexts in which *Moon* and *Sunset* were written were very different from each other. Consequently, the way the author dealt with the same themes in them shifted. Although *Sunset* is not the first book by Auster to deal with social issues, it is the first in which he seems to be trying to achieve realism in the sense that Tom Wolfe gives to the word in his manifesto "Stalking the Billion-Footed Beast" (1989). However, even if his point of view and his social involvement had changed, there was something that remained the same; he did not provide solutions for the moment of crisis, since there was no change in his postmodern sensibility towards the concept of reality. There was an inadequacy between the social, the cultural and the economic context on the one hand and what remained essentially Austerian on the other. Transcendentalism, which could be an answer to the problems presented in *Sunset,* was treated as something impossible to recover in a practical way in Auster's cynical universe based on chance.

Sunset's characters and themes are closely related to the ones in his novels written before *Follies*, the book that represents a change in his sensibility. After 2005, Auster seemed to want to distance himself from the last phase of postmodernism in order – perhaps cathartically – to reveal the lack of coherence in the formation of the identity of the turn-of-the-century individual and how this feeling intensified after the 9/11 attacks. Auster writes his way through a time that tries to leave behind the narrative games on which his works were based. It is for this reason that we find it fruitful to provide an analysis of the evolution of transcendentalism in Auster's work up to *Sunset*. I propose that the absence of the metanarratives that made the Austerian universe work makes less and less sense in the intended post-postmodern cultural phase. Although American Romanticism may have been an alternative for the paradigm shift of the turn of the millennium – as it was for younger writers as, for example, those representative of the New Sincerity movement – Auster's work remained thoroughly pessimistic and attached to the relativism of the Wittgensteinian language games.

2. TRANSCENDENTALIST INFLUENCES

The influence that both Ludwig Wittgenstein's thought and that of transcendentalist writers have had on Auster has been extensively studied. He

---

6   Theorists like Ihab Hassan and Linda Hutcheon had already proclaimed the passing of postmodernism. In "Beyond Postmodernism: Toward an Aesthetic of Trust" (2003), Ihab Hassan gave an answer to the following question "[W]hat was postmodernism" (199). According to Linda Hutcheon: "[f]or decades now, diagnosticians have been pronouncing on its health, if not its demise, with some of the major players in the debate weighing in on the negative side: for people like Terry Eagleton and Christopher Norris, postmodernism is certainly finished, even passé; indeed, for them it's a failure, an illusion. Perhaps we should just say: it's over" (5).

himself has admitted such influence in several interviews. Nathaniel Hawthorne and Henry David Thoreau are always present when the author talks about the writers who have influenced him, although, of course, the inspiration of many other writers can be felt. Among those, he usually mentions Manuel de Cervantes, William Faulkner, Franz Kafka, Jorge Luis Borges, Samuel Beckett, William Shakespeare, Charles Dickens, James Joyce, F. Scott Fitzgerald, Leo Tolstoy, or Michel de Montaigne. In a 2005 interview with Mary Morris, Auster discussed his influences, especially Thoreau, but also other authors of the American Renaissance. In a 1987 interview with Joseph Mallia, he talks about the influence that Thoreau had on *Trilogy* and even about the influence that this author had on Hawthorne, one of the writers that Auster admires the most. This fact was expressed in an interview with Michael Wood when he was asked about the influence that nineteenth century American writers such as Edgar Allan Poe, Herman Melville, Walt Whitman, Ralph Waldo Emerson, Henry David Thoreau and Nathaniel Hawthorne had on him. He said of the latter: "[o]f all writers from the past, he's the one I feel closest to, the one who talks most deeply to me" (2013: 135). In a 2003 press conference for the Washington Post, led by Carole Burns, Auster admitted having been an avid reader of Wittgenstein during his youth (2013: 127) and he also recognized the influence of writers such as Hawthorne, Melville and Thoreau (2013: 128).

There are dozens of studies that establish the links between Auster and all these writers, nevertheless, it is easy for the reader to notice that he uses the names of the authors who influence him explicitly in almost all of his books. Wittgenstein, for example, is cited in *The Book of Illusions* (2002) and in *Follies*. In the former, he simply mentions him within a list of authors that define the tastes and personality of one of the characters – Auster usually uses this resource – and a little later, in the same paragraph, he alludes to Hawthorne, Melville, Emerson and Thoreau ([2002] 2003: 245). In *Follies*, he relates a well-known episode of the philosopher, which is also parallel to the feelings of the character that tells the story and his solipsism. According to Auster's anecdote, Wittgenstein worked as a teacher at a school in Austria, where, because of his irascible and severe nature, many of his students were terrified – some of them even suffered serious physical damage. The philosopher was forced to leave the post. Some twenty years later, already famous and respected, he suffered an existential crisis and decided to solve it by asking for forgiveness, one by one, from the students he had punished in his time as a teacher. However, Wittgenstein had caused them so much harm that they still remembered everything vividly. None of his students forgave him: "The pain he had caused had gone too deep, and their hatred for him transcended all possibility of mercy" (2005: 61).

Travels is the only novel that does not mention any of the members of the American Renaissance, although their presence is noticeable throughout the book. The aberrant resemblance to Thoreau's retirement in Walden Pond is evident. The configuration of the interior of the transcendentalist's cabin and that of the room in Auster's story are strikingly similar. The situation, however, is intertwined with the fragmentation brought about by Wittgensteinian thought, which can be seen in Auster's use of self-referential language in the novel.

In *Mr. Vertigo* (1994), none of these authors is named, but there is a character surnamed Hawthorne. Of all his fictional narrative works, the only ones in which the name Hawthorne does not appear are *Sunset, Invisible* (2009) and *Travels*. References to these writers range from their mere mention to the point of playing a fundamental role, either because they influence the plot in some way or because they define the characters and their way of acting. This happens, for example, with Emerson and Hawthorne in *Oracle Night* (2003). In one part of the book, they rob the apartment of Sidney Orr, the protagonist, and they take some books, among which there are first editions of Hawthorne, Dickens, Henry James, Fitzgerald, Wallace Stevens and Emerson. Also in this novel, an anecdote from Thoreau is told in passing, all of which traces the influences of the protagonist: "Thoreau said he had three chairs in his house, Ed remarks. One for solitude, two for friendship, and three for society. I've only got the one for solitude. Throw in the bed, and maybe there's two for friendship. But there's no society in here" ([2003] 2004: 72). The epigraph for *In the Country of Last Things* (1987) is a quote from Hawthorne's short story "The Celestial Railroad": "Not a great while ago, passing through the gate of dreams, I visited that region of the earth in which lies the famous City of Destruction". In *Moon*, where Emerson and Melville are mentioned in passing as a sterile influence for Julian, one of Hawthorne's sons: "A wretched human being. Imagine growing up with Melville and Emerson around the house and turning out like that. He wrote fifty-some books, hundreds of magazine articles, all of it trash" (1989: 140). In *The Book of Illusions*, one of the characters reads Hawthorne's story "The Birth-Mark" (1843) every day for six months. In *Follies*, a secondary character writes a university dissertation on Thoreau and Poe and the philosophy of both authors is explicitly discussed and is present throughout the book in the actions and wishes of the protagonists. Hawthorne is also a crucial part of the book's plot, not only the protagonist's name is Nathan, as in Nathaniel Hawthorne, but also the characters have a plan to sell a forgery of a manuscript by the writer.

In *Leviathan* (1992), Emerson himself is one of the characters in the novel written by Benjamin Sachs, one of the main characters, in jail. He appears alongside such figures as Walt Whitman, Ellery Channing, Rose Hawthorne – daughter of the writer –, or Sitting Bull and Buffalo Bill Cody. In this novel, Thoreau's influence

on Sachs profoundly affects the course of events. Inspired by Thoreau and his "Civil Disobedience" – or "Resistance to Civil Government" – (1849), Sachs starts living by the transcendental precepts. In a Thoreauvian fashion, he ends up in prison for refusing to go to the Vietnam War, and it is there that he will write *The New Colossus*, a book that plays an essential role in the plot of the novel. In a clear reference to what transcendentalism means for the recovery of identity, Peter Aaron, protagonist and narrator of the novel, says the following about a passage in *The New Colossus*: "The message couldn't be clearer. America has lost its way. Thoreau was the one man who could read the compass for us, and now that he is gone, we have no hope of finding ourselves again" (1992: 38-39). There is no hope of regaining the lost identity, even when Thoreau's compass is guiding Sachs's terrorist actions at the end of the book. Sachs's book bears the same name as a poem written by Emma Lazarus which, created to raise funds for the construction of the pedestal of the Statue of Liberty, is on a bronze plaque inside it. In 2002, Auster states in a *New York Times* opinion piece, titled "The City and the Country", the following about that poem:

> Alone among American cities, New York is more than just a place or an agglomeration of people. It is also an idea.

> I believe that idea took hold in us when Emma Lazarus's poem was affixed to the pedestal of the Statue of Liberty in 1903. Bartholdi's gigantic effigy was originally intended as a monument to the principles of international republicanism, but 'The New Colossus' reinvented the statue's purpose, turning Liberty into a welcoming mother, a symbol of hope to the outcasts and downtrodden of the world. (2002)

"The City and the Country" constitutes a criticism of the politics of the moment and deeply regrets the attacks of 9/11. Curiously enough, Sachs is devoted to a meaningful project at the end of the book: he wants to blow up all the replicas of the Statue of Liberty scattered throughout the geography of the United States. This is related with the title of the novel, as the statues represent the state itself. The epigraph of *Leviathan* is from Emerson's essay "Politics" (1844): "[e]very actual state is corrupt". The original text continues as follows: "[g]ood men must not obey the laws too well" ([1844] 2000: 382), which is precisely what Sachs does. Emerson fervently believed in the individual and the sense of community, but he was equally suspicious of the power of modern states – grounded in written laws – over individuals. This is linked to the concept of the Romantic state, as Berlin explains in *The Roots of Romanticism*:

> The State is not a machine, the State is not a gadget. If 'the State were a machine people would have thought of something else, but they have not. The State is either a natural growth or it is an emanation of some mysterious primal force which

we cannot understand and which has some kind of theological authority' […] the attempt to reduce this to constitutions, to laws, is doomed to failure because nothing written lives; no constitution, if it is written, can possibly survive, because writing is dead and the constitution must be a living flame within the hearts of human beings who live together as one passionate mystical family. ([1999] 2013: 135)

That is exactly Auster's conception of the "city-state of New York":

Not long ago, I received a poetry magazine in the mail with a cover that read: "USA OUT OF NYC". Not everyone would want to go that far, but in the past several weeks I've heard a number of my friends talk with great earnestness and enthusiasm about the possibility of New York seceding from the union and establishing itself as an independent city-state. (Auster 2002)

He conceives a community of individuals who live "together as one passionate mystical family". The sense of community in Sachs's actions and in Auster's 2002 article are very different, although the opinion of both towards the state and politics is the same as Emerson's:

No one is sorry that the Taliban regime has been ousted from power, but when I talk to my fellow New Yorkers these days, I hear little but disappointment in what our government has been up to. Only a small minority of New Yorkers voted for George W. Bush, and most of us tend to look at his policies with suspicion. He simply isn't democratic enough for us. (Auster 2002)

It is clear that Auster comes from a literary tradition that pays special attention to the nature of language, one of the themes in Emerson's and Wittgenstein's work. Ian Bell draws this obsession with language in American literature from its origins and links the anticipatory thinking of John Locke in this regard with the similar point of view of the transcendentalists:

John Locke began Book III of *An Essay Concerning Human Understanding* in anticipation of the peculiarly American concern with empirical philology by stressing "how great a dependence out words have on common sensible ideas", to claim "I doubt not but, if we could trace them to their sources, we should find, in all languages, the names which stand for things that fall not under our senses to have had their first rise from sensible ideas". (2000: xiv)

He links this with Emerson's idea of language expressed in *Nature* and related to the Herder's idea of *Ursprache*: "[s]ubsequently, we find Emerson's essay on 'Nature' arguing that 'Every word which is used to express a novel or intellectual fact, if traced to its root, is found to be formed from some material appearance'" (2000: xiv). Bell explains how Walt Whitman follows on Emerson's wake, picking up the idea that decisions in the linguistic field must be made by the masses,

the people who use the language in a more referential way. According to Bell, the relationship that the United States has with language is the conflict that has existed from the beginning between the need for an unambiguous referentiality "to maintain order, community, and communication" (2000: xv) and the need to disrupt that univocity "to pursue liberty, independence, and self-expression" (2000: xv). This dichotomy is still in force and the need to pursue freedom, independence and personal expression was brought to its ultimate consequences by postmodernism.

Auster and his characters are informed as much by postmodernism as by their own history and cultural origins. Although they long for their intuitive and action-based American tradition, their postmodern status does not make it possible for that action to be coherent in a search for truth and a solid identity. The American writers and thinkers Auster admires appeal to a referential language that connects – as in the case of transcendentalism – individuals, since it is tied to the idea of a superior structure, a truth that can be reached. However, that language has become, through its use over time, a tool that establishes arbitrary relationships with reality and hence the necessity for intuitive action. On the other hand, the postmodernity in which Auster matures as a writer, establishes parameters of incommensurability that destroy everything that his characters can hold on to in order to get rid of the burden of alienation that makes sense of reality through a language that has lost univocity and referentiality.

3. THE SUNSET OF POSTMODERNISM

Sunset can be read as a kind of literary palimpsest of its author's work. The characters, the plots and subplots, the places, the scenes, the traumas and the wishes of the Austerian universe are very recognisable in it. However, much of the criticism and many of the reviews of the novel coincide in pointing out that the novelist leaves postmodernism behind and turns to realism. Nevertheless, even though the novel differs from his previous works in the sensibility with which it deals with current issues, it does not construct an alternative to postmodern games. The characters continue to be unable to give structure to their identity. Auster does not adopt a classical causal stance, so the problem of individuals being deprived of the tools to divest themselves of the problems caused by the crisis is perpetuated and there is even an intensification and a perpetuation of the effects of capitalism. The novel constitutes a fossilization of solipsism and existentialism. Postmodern presentism does not give way to a project rooted in the past looking towards the future. Quite the opposite, the characters are condemned to live in an eternal decontextualized present. There is still no referentiality due to the

arbitrariness of language games, so that physical reality cannot be given a holistic meaning in a pre-postmodern fashion. These characteristics are present in the same way in works such as *Trilogy*, *Leviathan* or *Moon*. For this reason, I dare say that, although Auster adapts the sensibility to the moment of crisis in which he writes this novel, his attitude towards reality remains the same. His attempt at realism ends up looking like the one Wolfe champions in his manifesto: the use of a third-person narrator and the way the novel is written makes the style resemble a documentary; in the words of Jørgen Veisland:

> The narrator's voice, speaking consistently in the third person, is disseminated across the field of narration, recording the experience of several characters one by one, mostly employing the present tense, alternating somewhat with the past tense, thus achieving the effect of direct, simultaneous reportage, getting close to the characters and at the same time being distanced from them. (2015: 313)

Nonetheless, Veisland argues that the book is an experiment on realism. To support this, he contends that the hand of the artist in the novel "is liberated into a negativity not recorded by the brain but existing in its own right as autonomous creative activity in a space where the relations between sign and thing are dissolved" (2015: 313). What Veisland is aiming for makes plenty of sense, since he speaks about the way Auster experiments with realism by unifying signifier and signified through intuitive creative experience. According to Veisland,

> Here the hand of the artist is imbued with knowledge of itself as moving with some "shadow" that turns everything touched to "darkness" while also indicating the presence of a "light" [...] Creating in negativity, the artist's hand attempts to name the unnamable, the discarded; and it also tries to name itself as an unnamable, discarded object, i.e. as an object participating in the dissolution and (experimental, temporary) reconstitution of the relation between sign and thing. (2015: 313-314)

He seeks a level of referentiality to which the Romantics aspired. However, if we followed Veisland's argument, we could say that most of Auster's works are experiments on realism, since all his characters try to re-establish the lost referentiality to build an identity through commensurable truths. The important aspect is that all of those attempts in the Austerian universe end up frustrated – and *Sunset* is not an exception.

I begin deciphering the palimpsest by assimilating *Sunset* to its status as post-9/11 novel. Mark Lawson uses the term "credit crunch fiction" to refer to this kind of literature. He deals with the novelist's production from 2001 and establishes a relationship between his pre-crisis titles and *Sunset*, showing that there are differences regarding sensibility. Nonetheless, he finally ends up observing that the classic Austerian gaze is still present, he draws our attention to the elements that

make up the palimpsest, the classic Austerian narrative and topics. I would argue that Bloom's reproach of the absence of mimesis in Auster's work still obtains:

> Even when an Auster novel marches into the town square with a placard held high, it tends to keep at least one foot in the study. In the cross-section of recession America represented by *Sunset Park*, almost everyone is, or wants to be, a novelist, artist or performer. (Lawson 2020)

Lawson's criticism goes towards the coldness of the novel in terms of the topics with which it deals and Auster's liking for literary artifice. Peter Boxall also includes Paul Auster in a category of fiction that he calls "9/11 novel" (2013: 126). Boxall establishes a relationship between 9/11 and the change in sensibility with which novelists react to it in their narratives. The author explains that the new direction in fiction responds to the writers' commitment to the critical function of literature (2013: 127). For this reason, self-referentiality and experimental literary artifice do not come as naturally as in the early 1990s.

Sunset speaks of the decline of the United States as opposed to other novels by Auster that tell stories in a context configured under the aegis of the empire. The novel talks about a future totally stripped of a modern project. Jelena Šesnić contrasts the work *Amerika* (1927) by Kafka with *Sunset* in this line:

> Franz Kafka's discourse on the surface reiterates the myth of Modernity, progress, and avant-garde, riding on the tide of anti-traditionalism and feeding on a futuristic strain. On the other hand, Auster's novel depicts ideas of decline, eclipse, downfall, ending, and stagnation with such intensity that it clearly propagates the myth of decadence. (2011: 51)

Šesnić highlights that even the title of the novel conveys that feeling: "Sunset as a metaphorical waning of the West" (2014: 60), and draws attention to aspects such as the characters not even having a hope: "homeless and vulnerable characters unable to face the new times ushering in a new century where everything is a hazard, from violence, terrorism to the economy" (2014: 60).

In *Follies* there is a very significant passage related to Kafka and metanarratives. Tom tells his uncle Nathan a moving story about Kafka, which can be interpreted as a longing for Lyotardian metanarratives. In that story, Kafka, during a walk in a park in Berlin, finds a girl crying because she has lost her doll. Kafka assures the girl that the doll has gone on a trip and that he knows it because she herself has written a letter to him in which she narrates her travels. Therefore, he promises the girl that he will bring her the letter the following day. For three weeks, Kafka writes a letter to the little girl every day, making great efforts at night to compose it. In the last of them, the doll tells her that she has married, that she is very happy

and, then, says goodbye to the girl, who by then has already forgotten why she was sad. Now the girl has a story to hold on to, and although the story is false, believing it gives her hope. Tom is making a nostalgic defence of metanarratives. These holistic narratives give the individual the possibility of overcoming the problems posed by postmodernism. However, believing is only possible through a blind leap of faith, which is not easy to execute for a postmodern individual. All of the above, however, in Auster's novels, is posed as an unattainable solution. If in *Follies* the characters still have dreams and can pursue that modernist project exemplified in the story of Kafka and the doll, in *Sunset*, hope is absent right from the beginning. In the first pages, Auster tells us about a character without any ambitions or projects: "He is twenty-eight years old, and to the best of his knowledge he has no ambitions. No burning ambitions, in any case, no clear idea of what building a plausible future might entail for him" ([2010] 2011: 6). Mark Ford points out that, for Emerson, the result of a crisis should be the rediscovery of one's own origins, and then refers to pure intuitive action: "'[w]e must hold hard', he writes in 'Experience', 'to this poverty, however scandalous, and by more vigorous self-recoveries, after the sallies of action, possess our axis more firmly'" (1999: 202). By abandoning all projects, Auster strips his characters from any future fuelled by intuitive action.

After 9/11, Auster's narrative has echoed the significance of this social drama for the US. The way of dealing with terrorism, for example, changes dramatically from *Leviathan* to *Follies*, but that change continues to obey a fundamentally postmodern schema. Thus, even as the author's work penetrates the twenty-first century, his characters continue to seek referentiality, essentialism and causality to shape their solipsistic and existentialist identity. Although Auster is aware of the moment of crisis, his writing is still as fragmented and as self-referential as in *Trilogy*. Coincidences continue to occur for no apparent reason and, although the characters try to give meaning to these coincidences, they continue to obey no structure. Thus, at the end of *Follies*, Nathan, the protagonist of the novel, after suffering a heart attack from which he recovers, thinks that he has no control over his life; he starts believing in destiny. His existentialism disappears once the meaning of his life does not depend on him. Nathan begins to believe that there is some structure in the universe and he even appeals to the gods for their miraculous intervention.

> I said, I didn't live through cancer in order to die from some dumb-ass coronary infarction. It was an absurd statement, but as the day wore on and the blood tests continued to come in negative, I clung to it as logical proof that the gods had decided to spare me, that the attack of the previous night had been no more than a demonstration of their power to control my fate [...] If there was anything to be learned from this brush with mortality, it was that my life [...] was no longer my own. (2005: 299)

He wants to think that mere coincidences do not exist; that everything belongs to an intelligent design, even if we cannot understand it. He recovers the essence of the unfinished project of modernity.[7] He makes plans for the future that are the product of a modernist epiphany – the chapter is called "Inspiration" –: "[b]y the time I saw where I was going, I understood that I had come up with the single most important idea I had ever had, an idea big enough to keep me occupied every hour of every day for the rest of my life" (2005: 300). His life makes sense, and he even thinks of a project to start acting transcendentally. However, forty-six minutes after leaving the hospital where he experienced his epiphany, the first plane crashes into the World Trade Center ending the new sense that Nathan had given to reality. This is what Auster calls in his autobiography "The ghoulish trigonometry of fate" (2012: 224). The pessimistic end of the novel, which puts everything that has happened in it into perspective, brings Nathan back to the postmodern presentism.

The optimism of Emerson, Thoreau or Whitman is always seen as unattainable. The symbolism of Sachs's attacks in *Leviathan* are pure transcendentalist intuitive action; they are symbolic events that, on the other hand, do not lead to anything other than the death of the person who carried them out – as Sachs accidentally blows himself up. The sensibility of *Follies* remains self-referential, but the seriousness of the events makes the end of the novel feel closer to the current zeitgeist. However, in a 1989 interview with Larry McCaffery and Sinda Gregory, Auster comments the following about coincidences:

> Chance? Destiny? Or simple mathematics, an example of probability theory at work? It doesn't matter what you call it. Life is full of such events [...] As a writer of novels, I feel morally obligated to incorporate such events into my books, to write about the world as I experience it, not as someone else tells me it's supposed to be. The unknown is rushing in on top of us at every moment. As I see it, my job is to keep myself open to these collisions, to watch out for all these mysterious goings-on in the world. (McCaffery and Gregory 2013: 15)

In this passage, the word "destiny" is placed – as if they were all plausible options – on the same level as "probability theory" and "mathematics," which is reminiscent of "the ghoulish trigonometry of fate." The reason why these events occur is irrelevant, but, as a writer, he feels obliged to make it clear that they occur without any apparent purpose or with one that he cannot understand, just because the contrary would be dishonest. That duality is always present in his work. It tends to make one think of Tom Wolfe's journalistic realism, whose task is not to make sense of reality, but to collect it as it is and give it a narrative

---

7   As advocated by Jürgen Habermas in "Modernity versus Postmodernity" (1981).

format. Shaping these events through language is a task that, as postmodernism has instructed us, leads to nothing conclusive. That is probably the reason why in Auster's books there is always the feeling that life has no meaning or that, at least, it is impossible to access for both characters and readers.

As a postmodern individual, influenced by the Wittgensteinian relativism of language games, the author adopts a view on science that is not guided by any ulterior motivation – notion that had crystallized in Kuhn's theory of scientific paradigm shifts. If we read his characters in this light, it could be said that the author captures that feeling and its result: his characters fall into social alienation. Nonetheless, as an individual born before postmodernism, and as an inveterate reader, the author assumes that behind those coinciding events that fill and guide the course of his works there is something hidden that we do not get to understand. That is to say, there is some type of superior structure that we simply must accept.

4. INTUITIVE ACTION AGAINST THE INCOMMENSURABILITY OF LANGUAGE GAMES

Action, as a trope, is commonplace in American culture. The country was forged during the exploration of the continent, during its expansion to the west. Action is not only a symbol of the conquest of the territory – of the American doctrine of *Manifest Destiny* –, but also of the creation of an identity through discovery, through knowledge. For Emerson, action and knowledge/learning are synonyms. In "The American Scholar" (1849), Emerson presents knowledge not as something stagnant, but as a changing notion that depends on the historical and social situation. Thus, in order to arrive at absolute truths, the individual cannot trust inherited knowledge, as it may not adapt to his/her present context. Emerson, then, calls that individual to action. In the same essay, Emerson affirms that books are "the best of things, well used; abused, among the worst" ([1837] 1998b: 1104). The correct use of books should be to inspire, and "[t]he one thing in the world, of value, is the active soul" (1988: 1104). The essence, then, is an intuitive kind of action. Emerson democratizes this notion and makes it intrinsically American by assuring that "[t]his every man is entitled to; this every man contains within him" ([1837] 1998b: 1104). He describes this intuitive action as follows:

> The soul active sees absolute truth; and utters truth, or creates. In this action, it is genius [...] In its essence, it is progressive. The book, the college, the school of art, the institution of any kind, stop with some past utterance of genius. This is good, say they, – let us hold by this. They pin me down. They look backward and not forward. But genius looks forward: the eyes of man are set in his forehead, not in

> his hindhead: man hopes: genius creates. Whatever talents may be, if the man create not, the pure efflux of the Deity is not his; – cinders and smoke there may be, but not yet flame. ([1837] 1998b: 1104)

In Auster's novels, transcendentalism is also a framework of action that can confront an alienating reality. However, language limits our understanding of the world and makes us unable to communicate effectively with others. In *Winter Journal*, a memoir, he expressly recognizes this fact by recounting an episode in which he attends the rehearsal of a dance performance without music. The act is divided into two kinds of presentations: segments of the performance interrupted by the explanations of the choreographer. Auster relates that the experience of seeing the dancers move to the beat of an inaudible rhythm, except for the sound their bodies made on stage, made it possible to transcend reality and look inside himself, "the mere sight of their bodies in motion seemed to be carrying you to some unexplored place within yourself" (2012: 222). He experiences a great feeling of happiness that is interrupted when the dancers, after a few minutes, stop, and the choreographer goes out on stage to explain the meaning of what the spectators are seeing. However, as much as she speaks, Auster understands less and less, since "[h]er words were utterly useless" (2012: 223). The representation makes him understand the impossibility of arriving at the truth by way of language:

> bodies in motion followed by words, beauty followed by meaningless noise, joy followed by boredom, and at a certain point something began to open up inside you, you found yourself falling through the rift between world and word, the chasm that divides human life from our capacity to understand or express the truth of human life. (2012: 223)

The introspection to which this passage leads, and the fact that the action coincides in time with the death of her father, unifies his work, giving it closure. This incident is the one referred to by the phrase "the ghoulish trigonometry of fate" (2012: 224): the coincidence of the discovery of the truth that gives meaning to his identity and the tragic episode of his father. In that phrase Auster's incongruent attitude towards the question of chance is summarized because trigonometry cannot be macabre, since it responds to natural laws; the macabre quality, obviously, is provided by the one who interprets it subjectively – which gives it a purpose. The author sincerely understands the way to reach his goal in the passage of the representation of the dancers: absence of mediation with the experience of reality. It is about taking that leap of faith not mediated by language.

5. AUSTER'S CHANGE OF SENSIBILITY

Irmtraud Huber is one of the scholars who point to an end of postmodernism in the work of Auster. She puts *Man in the Dark* as a paradigmatic model of the death of postmodernism and of a return to realism. According to Huber, the metafictional death of the narrator in the work also supposes the symbolic death of "postmodern paradoxes":

> Brick's sudden and off-hand demise, I would claim, is nothing less than symbolic. Alongside his assassinated body, postmodernism's paradoxes are given their (more or less) decent burial. Increasingly, attention is turned to other issues, more down-to-earth stuff, the grit of war and loss, human belief and betrayal and the endless variations of inter-human relationships [...] In a very decided and marked way the novel thus turns away from postmodernist fantastical machines towards '[s]omething low to the ground', which it finds in the mimetic stance of testimonial realism. It no longer indulges in the imaginative freedom of fiction's possible worlds, but reclaims its fictional world as coextensive with experiential reality. (2014: 22)

In the introduction to *The Invention of Illusions*, Stefania Ciocia and Jesús A. González also allude to Auster's work and to the possible consciousness of postmodernity and the denial of it in works such as *Travels* or *Follies*. In the first chapter of the same book, "Loss, Ruins, War: Paul Auster's Response to 9/11 and the 'War on Terror'", Paolo Simonetti speaks of a "shift from a postmodernist sensitivity to a new historical consciousness" (2011: 14), which indicates a change of perspective. Simonetti argues that there is a "paradigm shift" (2011: 15) towards realism in fiction, as many others have already done: "[n]ow, in order to keep up with the media-saturated contemporary world, it seems that fiction has veered toward a new kind of realism" (Simonetti 2011: 14). In addition, although Auster, Simonetti affirms, considers himself a realistic writer, he could not be included in post-postmodernism from the point of view from which the realism of its narratives is calibrated. The mere fact that after the attacks his writing became less self-referential and more conscious of the current history, or that he dealt with events closer to "real" characters – as Ciocia and González point out – does not change the fact that the writer's relationship with reality continued to be mediated by language games. Simonetti indicates that in *Follies* there is an optimistic wish for the future:

> "we've entered a new era, Nathan. The post-family, post-student, post-past age of Glass and Wood [...] The now. And also the later. But no more dwelling on the then" [...] Auster makes thus clear that the new millennium requires an original approach to history and temporality, different from the witty linguistic plays of postmodernism, and in his most recent novels he tries to negotiate a new relationship between history and fiction. (2011: 19)

The characters make plans for the future. Nathan has an exciting project that, through connecting with other people's feelings and creating a structure, will finally give meaning to his life, but at the end of the book, the attack on the towers ends all those projects and dreams. This ending deprives his character of an optimistic future in which people's lives matter. Through Nathan's frustrated project, those lives would have been reflected in written form in biographies that would have recovered their fragmented memories to make a holistic story. The name he intended to give this project was "Bios Unlimited":

> Most lives vanish. A person dies, and little by little all traces of that life disappear. An inventor survives in his inventions, an architect survives in his buildings, but most people leave behind no monuments or lasting achievements: a shelf of photograph albums, a fifth-grade report card, a bowling trophy, an ashtray filched from a Florida hotel room on the final morning of some dimly remembered vacation. A few objects, a few documents, and a smattering of impressions made on other people. Those people invariably tell stories about the dead person, but more often than not dates are scrambled, facts are left out, and the truth becomes increasingly distorted, and when those people die in their turn, most of the stories vanish with them. (Auster 2005: 301)

Nathan intended to regain connection with those lives in order to get rid of his own solipsism and theirs, to regain an optimistic ethos through making a complete narrative from loose pieces.

At the beginning of *Sunset*, we see Miles, the protagonist, doing something that is related in essence to Nathan's project: he works cleaning homes of evicted families. The company he works for is subcontracted by the banks to which those houses belong. Like the people Nathan wanted to portray in his project, evicted families leave behind objects that tell about their fragmented story:

> By now, his photographs number in the thousands, and among his burgeoning archive can be found pictures of books, shoes, and oil paintings, pianos and toasters, dolls, tea sets, and dirty socks, televisions and board games, party dresses and tennis racquets, sofas, silk lingerie, caulking guns, thumbtacks, plastic action figures, tubes of lipstick, rifles, discolored mattresses, knives and forks, poker chips, a stamp collection, and a dead canary lying at the bottom of its cage. ([2010] 2011: 5)

The situation seems to be a direct consequence of the ending of *Follies*. Nathan's exciting and quasi-philanthropic project has become in *Sunset* a project to benefit banks. However, although Miles is not very convinced of what he does – the job is called "trashing out" –, the narrator cynically says that

> [i]n a collapsing world of economic ruin and relentless, ever-expanding hardship, trashing out is one of the few thriving businesses in the area. No doubt he is lucky

> to have found this job. He doesn't know how much longer he can bear it, but the pay is decent, and in a land of fewer and fewer jobs, it is nothing if not a good job. ([2010] 2011: 4)

It is his job and he understands what that means in the post-financial-crisis context, but Miles feels a need to take pictures of the objects people leave behind. Miles needs to connect with other lives, just like Nathan. He feels compelled to narrate the lives of those anonymous people who have something to tell: "he senses that the things are calling out to him, speaking to him in the voices of the people who are no longer there, speaking to him in the voices of the people who are no longer there" ([2010] 2011: 5). That is not the only resemblance with *Follies*. At the end of *Sunset*, Miles gets excited about a project, but everything falls apart and Miles reflects on the impossibility of doing absolutely nothing. In that ending, the image of the Twin Towers are also present. He thinks about the inevitability of postmodern presentism and the absence of optimism in the future: "they will never have their life together in New York, there is no future for them anymore, no hope for them anymore" ([2010] 2011: 307). The attacks on the World Trade Center cast a long pessimistic shadow at the end of *Sunset*:

> as the car travels across the Brooklyn Bridge and he looks at the immense buildings on the other side of the East River, he thinks about the missing buildings, the collapsed and burning buildings that no longer exist, the missing buildings and the missing hands, and he wonders if it is worth hoping for a future when there is no future. ([2010] 2011: 307-308)

The presence of the symbol of the attacks, and what they mean, is also manifested in this novel through the image of the burning buildings that no longer exist.

The problem of these Austerian characters is that, quoting Simonetti, as heirs to postmodernism, they are forced to renegotiate the relationship they establish between words and objects in reality (Simonetti 2011: 24). They need to endow the language with which they relate to reality with referentiality and essentialism. However, they find it extremely complex, and in the case of Auster, hopeless. A connection similar to the one between *Leviathan* and *Follies* can be established between *Moon* and *Sunset*. The use of transcendentalism in both novels is similar. The postmodern age of language games made this construction of identity impossible and, in the post-postmodern hyper-capitalist era, Auster followed faithful to his oxymoronic duty as a postmodern realist writer.

REFERENCES

Auster, P. 1987. *In the Country of Last Things*. London: Faber & Faber.

Auster, P. 1989. *Moon Palace*. London: Faber & Faber.

Auster, P. 1992. *Leviathan*. London: Faber & Faber.

Auster, P. 1994. *Mr. Vertigo*. London: Faber & Faber.

Auster, P. 2002. "The City and the Country". *The New York Times*, 9 Sept. www.nytimes.com/2002/09/09/opinion/09AUST.html. (Accessed 13 March 2020).

Auster, P. 2003 (2002). *The Book of Illusions*. New York, NY: Picador.

Auster, P. 2004 (2003). *Oracle Night*. London: Faber & Faber.

Auster, P. 2005. *The Brooklyn Follies*. London: Faber & Faber.

Auster, P. 2007. *Travels in the Scriptorium*. London: Faber & Faber.

Auster, P. 2008 (1987). *The New York Trilogy*. London: Faber & Faber.

Auster, P. 2009a. *Invisible*. London: Faber & Faber.

Auster, P. 2009b (2008). *Man in the Dark*. London: Faber & Faber.

Auster, P. 2011 (2010). *Sunset Park*. London: Faber & Faber.

Auster, P. 2012. *Winter Journal*. London: Faber & Faber.

Bell, I. Introduction. 2000. *The American Mystery: American Literature from Emerson to DeLillo*. Ed. T. Tanner. Cambridge: Cambridge UP. xiv-xxiv.

Berlin, I. 2013 (1999). *The Roots of Romanticism*. Princeton, NJ: Princeton UP.

Bloom, H., ed. 2004. *Paul Auster*. Philadelphia, PA: Chelsea House.

Boxall, P. 2013. *Twenty-First-Century Fiction: A Critical Introduction*. Cambridge: Cambridge UP.

Burns, C. 2013. "Off the Page: Paul Auster". *Conversations with Paul Auster*. Ed. J. M. Hutchisson, Jackson, MS: UP of Mississippi. 125-131.

Ciocia, S. and J. A. González, eds. 2011. *The Invention of Illusions: International Perspectives on Paul Auster*. Newcastle upon Tyne: Cambridge Scholars.

Emerson, R. W. 1998a (1836). *Nature*. In *The Norton Anthology of American Literature*, vol. 1. Eds. N. Baim *et al*. New York, NY: Norton. 1073-1101.

Emerson, R. W. 1998b (1837). "The American Scholar". *The Norton Anthology of American Literature*, vol. 1. Eds. N. Baim *et al*. New York, NY: Norton. 1101-1114.

Emerson, R. W. 2000 (1844). "Politics". *The Essential Writings of Ralph Waldo Emerson*. Ed. B. Atkinson. New York, NY: Random House. 378-389.

Ford, M. 1999. "Inventions of Solitude: Thoreau and Auster". *Journal of American Studies* 33 (2): 201-219.

Habermas, J. 1981. "Modernity versus Postmodernity". *New German Critique* 22: 3-14. Trans. Seyla Ben-Habib.

Hassan, I. 2003. "Beyond Postmodernism: Toward an Aesthetic of Trust." *Beyond Postmodernism: Reassessments in Literature, Theory, and Culture*. Ed. K. Stierstorfer. New York: Walter de Gruyter. 199-212.

Hawthorne, N. 1998a (1843). "The Birth-Mark". *The Norton Anthology of American Literature*, vol. 1. Eds. N. Baim *et al*. New York: Norton. 1261-1273.

Hawthorne, N. 1998b (1843). "The Celestial Railroad". *The Norton Anthology of American Literature*, vol. 1. Eds. N. Baim *et al*. New York: Norton. 1273-1285.

Huber, I. 2014. *Literature after Postmodernism: Reconstructive Fantasies*. Basingstoke: Palgrave Macmillan.

Hutcheon, L. 2002. "Postmodern Afterthoughts." *Wascana Review* 37 (1): 5-12.

Kafka, F. 2008 (1927). *Amerika*. New York: Schocken Books. Trans. Mark Harman.

Lawson, M. 2010. "Sunset Park by Paul Auster—Review". *The Guardian*, 6 November. www.theguardian.com/books/2010/nov/06/paul-auster-sunset-park-review. (Accessed 10 December 2020).

Mallia, J. 2013. "Interview with Paul Auster". *Conversations with Paul Auster*. Ed. J. M. Hutchisson. Jackson, MS: University Press of Mississippi. 5-12.

McCaffery, L. and S. Gregory. 2013. "An Interview with Paul Auster". *Conversations with Paul Auster*. Ed. J. M. Hutchisson. Jackson, MS: University Press of Mississippi. 13-39.

Morris, M. 2013. "A Conversation with Paul Auster". *Conversations with Paul Auster*. Ed. J. M. Hutchisson. Jackson, MS: University Press of Mississippi. 163-178.

Šesnić, J. 2014. "Franz Kafka, Paul Auster and the End of the American Century". *Facing the Crises: Anglophone Literature in the Postmodern World*. Eds. L. Matek and J. P. Rehlicki. Newcastle upon Tyne: Cambridge Scholars. 49-69.

Simonetti, P. 2011. "Loss, Ruins, War: Paul Auster's Response to 9/11 and the 'War on Terror'". *The Invention of Illusions: International Perspectives on Paul Auster*. Eds. S. Ciocia and J. Ángel González. Newcastle upon Tyne: Cambridge Scholars. 13-38.

Thoreau, H. D. 1998 (1849). "Resistance to Civil Government". *The Norton Anthology of American Literature*, vol. 1. Eds. N. Baim *et al*. New York: Norton. 1752-1767.

Veisland, J. 2015. "The Artist's Hand: The Aesthetics of Loss in Paul Auster's *Sunset Park*". *Forum for World Literature Studies* 7 (2): 312-327.

Wolfe, T. 1989. "Stalking the Billion-Footed Beast: A Literary Manifesto for the New Social Novel". *Harper's Magazine* 279: 45-56.

Wood, M. 2013. "The Art of Fiction". *Conversations with Paul Auster*. Ed. J. M. Hutchisson. Jackson, MS: University Press of Mississippi. 132-148.

IDENTIFYING METAPHORS IN TV COMMERCIALS WITH FILMIP: THE FILMIC METAPHOR IDENTIFICATION PROCEDURE

Lorena Bort-Mir
Universitat Politècnica de València
lbormir@upv.es

ABSTRACT. *The analysis and identification of figurative language is one of the largest research areas in cognitive linguistics, and metaphor is one of these tropes. Focusing on the genre of TV advertising, a structural method for the identification of metaphorical components used in films in a cross-modal fashion is developed in the present paper. A corpus of eleven TV commercials is analyzed under seven steps that guide analysts from the content description of the multimodal materials to the concrete identification of metaphorical elements. This research presents the Filmic Metaphor Identification Procedure (FILMIP, Bort-Mir 2019) as a tool for the identification of metaphorically used filmic components in multimodal filmic materials. More concretely, the paper presents the application of the procedure to two TV commercials from different perfume brands. FILMIP offers a valuable contribution not only to metaphor scholars but also to researchers focused on other fields of study such as multimodality, discourse analysis, communication, branding, or even film theory.*

Keywords: Multimodality, multimodal metaphor, metaphor identification, filmic metaphor, FILMIP, advertising.

LORENA BORT-MIR

IDENTIFICANDO METÁFORAS EN ANUNCIOS TELEVISIVOS CON FILMIP: EL PROCEDIMIENTO DE IDENTIFICACIÓN DE METÁFORA FÍLMICA

RESUMEN. *El análisis y la identificación del lenguaje figurativo es una de las mayores áreas de investigación de la lingüística cognitiva, y la metáfora es una de ellas. Centrándose en el género de la publicidad televisiva, en el presente trabajo se desarrolla un método estructural para la identificación de los componentes metafóricos utilizados en material fílmico de forma intermodal. Se analiza un corpus de once anuncios de televisión en siete pasos que guían a los analistas desde la descripción del contenido de los materiales multimodales hasta la identificación concreta de los elementos metafóricos. Esta investigación presenta el Procedimiento de Identificación de Metáforas Fílmicas (FILMIP, Bort-Mir 2019) como una herramienta para la identificación de componentes fílmicos metafóricos en materiales multimodales cinemáticos. Más concretamente, se presenta la aplicación del método a dos anuncios televisivos pertenecientes a dos marcas de perfume. FILMIP ofrece una valiosa contribución no sólo a los estudiosos de las metáforas sino también a los investigadores centrados en otros campos de estudio como la multimodalidad, el análisis del discurso, la comunicación, el branding, o incluso la teoría cinematográfica.*

Palabras clave: multimodalidad, metáfora multimodal, identificación de metáforas, metáfora fílmica, FILMIP, publicidad.

1. INTRODUCTION

Assuming that metaphors are not only figures of speech but also tropes that configure our thought (Ortony 1979; Lakoff and Johnson 1980), it seems obvious that metaphors, then, can be expressed through other means of communication rather than just language. Metaphors, thus, are found in distinct modalities of expression such as body language and gestures, music and sound, or even static visuals (Forceville 2006; Cienki and Müller 2008; Gibbs 2008; Forceville and Uriós-Aparisi 2009).

Filmic materials and the role that metaphors play within them, however, received little attention by the scientific community until Carroll's cognitivist trend to the study of film (Carroll 1994, 1996a, 1996b). More recently, Forceville's research (Forceville 1999, 2007, 2012, 2015) on the construal of metaphors in billboards, cartoons, TV commercials, and feature and animated films, poses valuable insight into the role of metaphor in advertising and in various cinematic genres. According to his view, the complexity of a metaphor in film is so

vast that its presence may be real just for part of the audience while other spectators might not be aware of it, inferring the meaning without a metaphorical conceptualization.

Such a complexity also hinders the process of identifying (and then, naming) metaphors within the filmic medium. In motion pictures, the underlying TARGET-IS-SOURCE or A IS B formula is not so clearly created nor perceived as in language (Forceville 2009; Müller and Kappelhoff 2018). According to Forceville (2009), target and source domains are simultaneously represented in a moving image, meaning that analysts are not able to capture a metaphor in a single frame, as both domains of the metaphor (target and source) are represented moving in time through a combination of communicative modes (Bort-Mir, 2019). This implies that when several semiotic modes are brought together in a metaphor, the possible meanings are *multiplied* rather than simply added together (El Refaie 2016, following Lemke 1998).

Still, and as suggested by the authors of the Metaphor Identification Procedure (MIP, Pragglejaz Group, 2007, later transformed into MIPVU[1], Steen *et al*. 2010), scholars from diverse fields of study should achieve convergence in their results when performing metaphor analyses. This means that, as in language (with MIP and MIPVU), and as in still pictures with VISMIP (Visual Metaphor Identification Procedure, Šorm and Steen 2018), a method that isolates the identification of metaphor in different materials and leaves aside its analysis would be suitable for the understanding of the phenomenon (Steen 2007, 2009; Steen *et al*. 2010).

That is precisely the objective of this paper, to pilot a procedure for the identification of metaphorically used filmic elements in TV commercials. Further analyses of more materials and from other filmic genres will lead to the refinement of the procedure.

This paper is structured as follows: after the introduction, Section 2 explains the set of instructions that analysts must follow to apply FILMIP. In the methodology section (Section 3) the procedure that was followed to perform the analyses together with the materials used for the creation of the corpus. We then develop the analysis of 2 TV commercials also presenting the results (Section 4). Finally, a discussion is held in Section 5 in which possible interpretations of the results are offered, that is, the metaphorical units identified under FILMIP's seven steps are matched with possible conceptual metaphors that may derive from our analysis.

---

1 MIPVU: MIP + the initials of the Vrije Universiteit.

2. THE FILMIC METAPHOR IDENTIFICATION PROCEDURE

FILMIP entails a seven-step procedure that can be understood as a dynamic version of VISMIP (Šorm and Steen 2018). The Visual Metaphor Identification Procedure entails the identification of metaphorical elements in still pictures in seven steps that go from establishing the general and abstract meaning of the picture to the identification of incongruity and analysis of the comparison between two cognitive domains. FILMIP, based on these assumptions, includes several key modifications that are necessary to adapt the procedure to the complexity of the filmic medium.

Moving images, or *movement-images*, as labeled by Müller and Kappelhoff (2018), differ widely from still pictures in several ways. The medium by which they are created, for instance, is one of these differences. A picture is captured by photographic cameras whose mechanisms entail the possibility of *trapping* an event in time. With cartoons, paintings, or billboards, the mediums by which they are created to express meaning are papers, pencils, canvas, and some other similar devices; their meaning is expressed graphically.

A film, on the contrary, is normally created using a video camera, a technological device that captures an event through time, with no cuts on the moment of filming. This supposes that, for instance, the graphic means (e.g., lines and shapes) by which a cartoon is created (Cohn 2016) are not present in films (except in animation clips). The graphic structure of both moving and still pictures is, then, different.

The narrative structure of films also differs from that of still pictures, with the biggest difference being motion. According to Cohn:

> film captures perceptual information through a camera; this alone would be comprehended through general perceptual principles and semantic understandings related to event knowledge. This information is then broken up into shots and edited together using a filmmaker's cognitive combinatorial narrative principles. (2016: 14)

All these differences between the distinct materialities lead to conclude that films must be treated under a different perspective by analysts, since they deal with materials in continuous motion implying a continuum in time, while pictures are static materials framed within a precise portion of time. The mechanisms by which these moving materials are analyzed should vary, consequently, from those of still pictures. The following section focuses on presenting FILMIP's procedural steps (see figure 1 for a better visualization of the whole procedure) with a justification of the modifications that were carried out to adapt the method from still pictures to moving images (from VISMIP to FILMIP).
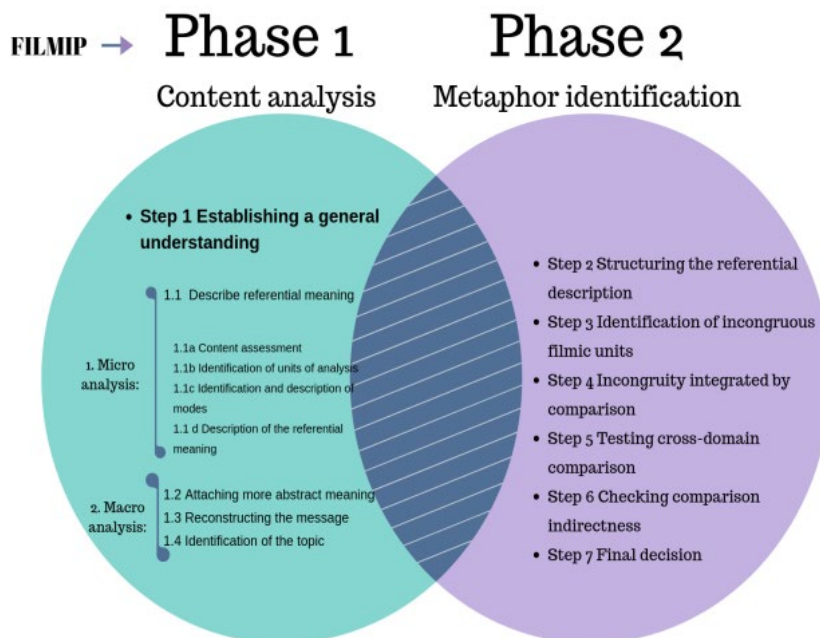
Figure 1. Visualization of FILMIP's seven steps.

2.1. IDENTIFYING METAPHORS IN FILMS IN SEVEN STEPS

Step 1

The first step towards the identification of metaphorical meaning is to establish a general understanding of the materials (TV commercials in this case). Understanding a given material in general terms implies not only describing its referential meaning but also describing its more abstract meaning and understanding its message or intention. Thus, this first step is divided into three substeps.

Substep 1.1. Description of the referential meaning

According to Philips and McQuarrie "a key advantage of content assessment is that it allows an integrated perspective, based on all of the elements of an ad to emerge as a result of an extended period of immersion" (2002: 3). FILMIP resolves that analysts must watch each filmic text five consecutive times[2] in order to get a general idea of what they are perceiving on the screen.

---

2   It was decided by the autor that five times was the appropriate number of times needed for this preparatory viewing thanks to the feedback given by participants from another study (Bort-Mir and Bolognesi, forthcoming), as some of them said "the more times I see the commercial, the more things I see and understand".

After the preparatory viewing (Rossolatos 2014: 56), the clips should be segmented into the different units of analysis, that is, sequences[3] (in the case of long materials such as movies), scenes[4], and shots[5] (see figure 2 as an example), being the shot the smallest unit of analysis for our particular purpose.
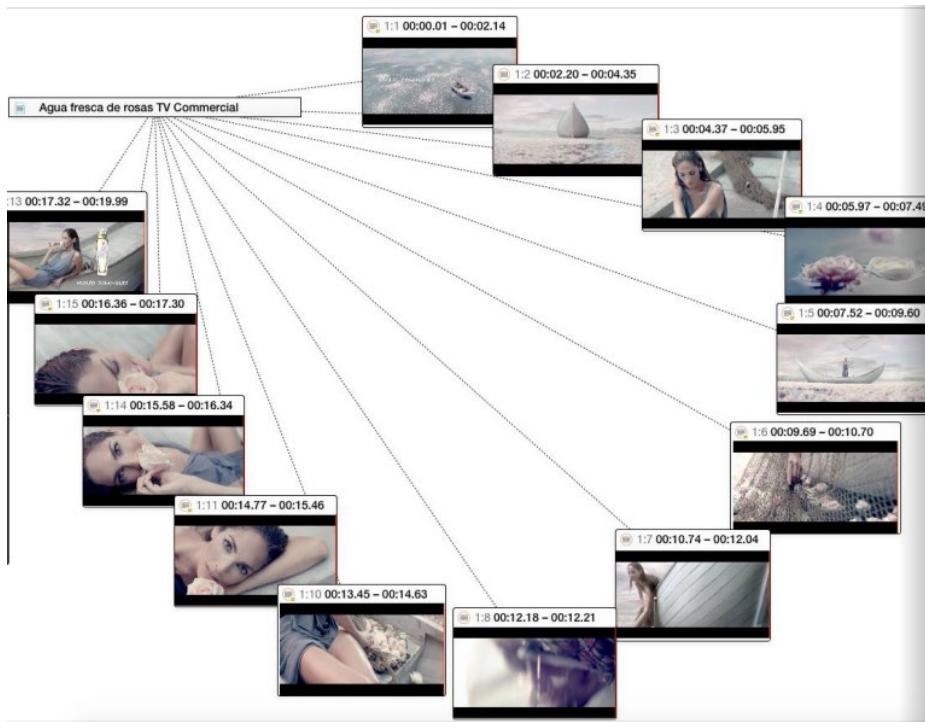
Figure 2. Segmentation into scenes and shots from *Agua Fresca de Rosas* TV commercial (from Bort-Mir, 2019).

Once the segmentation process is finished, analysts must identify and describe the communicative modes in each of the shots (Bort-Mir 2019, following Forceville 2003) (see figure 3 as an example): (i) written discourse (font type and colors), (ii) spoken discourse (the type, the tone of voice, and the person speaking), (iii) music (genre, diegetic vs. non diegetic, composed vs. appropriated), (iv) non-verbal sounds (artificial sounds and natural sounds),

---

3 A sequence is defined as a part of a film that deals with one event or that has a particular style (Macmillan Dictionary online 2009).

4 A scene is defined as a part of a play, book, film, etc. in which events happen in the same place or period of time (Macmillan Dictionary online 2009).

5 The shot is the smallest segment of a film. "a shot is the moment that the camera starts rolling until the moment it stops, or the moment that the filmmaker has decided to cut" (Bort-Mir 2019).

and (v) visuals (colors, salient objects, kinematic elements, gestures and facial expressions, and images / icons).
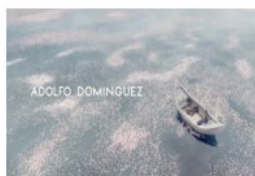
S1[1]. 00:00:00 - 00:02:15 aerial shot

- [Written discourse (Adolfo Dominguez/ capital letters/ white)]

- [Music(Karen Elson's *The Ghost Who Walks*[2], no lyrics yet/pop/non diegetic/appropriated]

- [Visuals(Colors (pink/pale, white, grey/pale), Kinematic elements (aerial view of the setting, still camera))]

Figure 3. Description of communicative modes from the first shot of the commercial (Bort-Mir 2019).

Knowing where to look at (the segments) and what is there (the communicative modes) allows analysts to describe the referential meaning of the clip. FILMIP, following VISMIP, adopts the tool created by Tam and Leung (2001) for semantic annotation of visual materials, as it offers scholars the possibility of simplifying video descriptions to their highest degree. Example of a referential description using the Structured Annotation (2001: 934):

Image1: Tall, blond man and spotted dog walk quickly in park.

[Agent (man|tall, blond) Agent (dog|spotted) Action (walk|quickly) Setting (in park)]

Thus, this description should be made for all the shots and scenes segmented from the materials.

Substep 1.2. Attaching more abstract meaning

In this substep, analysts should test whether there are any clues indicating that a more general and/or abstract meaning should be attached to what is described under substep 1.1 (description of the referential meaning). Clues pointing to any abstract meaning rather than just a denotative signification must be identified and described in this step (e.g., connotations of colors, music, etc.).

29

Substep 1.3. Reconstructing the message

With this step the analyst must respond to the question: what is the intention of the video? What is the message?

Substep 1.4. Identifying the topic

For the specific genre of TV advertising, the topic is always the product or service advertised. Sometimes, the brand delegates to move the attention to an emotion due to neuromarketing reasons, but in fact, the focus is always on the product or service.

Step 2

The second step of the procedure entails the structuring of the referential description under substep 1.1 (description of the referential meaning). VISMIP follows the annotation process adopted by Tam and Leung called Structured Annotation. Their proposal poses a solution to "the problem of encoding significant aspects of the semantic content of visual materials so that people can retrieve what they want" (2001: 936). It is applicable to images, according to the authors, as "Structured Annotation can accommodate all the perceptual and interpretive attribute classes that people use to describe visual materials" (ibid). According to this structure, when an image has been briefly described in a sentence, it can be annotated according to five components: Agent, Action, Object, Recipient and Setting (all of them with optional modifiers).

One of the challenges that we encounter with films is that not all the objects and filmic components in a video are relevant to its description (Aafaq *et al*. 2018). Consequently, all the objects that are not involved in the observed action should be considered as irrelevant (Barbu *et al*. 2012).

Another challenge is precisely the moving nature of films, since it supposes that actions and events may, for instance, overlap in time (for example, when a piano is playing on a recital and the pianist is also singing while the audience is crying). Thus, we may encounter multiple processes or events in a single moment (in the same space and time).

FILMIP resumes to take the Structured Annotation (Tam and Leung 2001) as a valid tool for the description of videos because it adapts well to the procedure. As stated by Šorm and Steen (2018), the tool is appropriate for filmic materials (as well as for static images) because (i) it entails a limited number of components (Agent, Action, Object, Recipient and Setting), which will lead to higher inter-analyst agreement results, and (ii) these components are common to all languages, which implies that there is no specific linguistic expertise required by analysts to have in order to structure their filmic (or picture) descriptions (2018: 66).

An example of this description can be found in the Analysis section of the paper.

Step 3

The third step of the procedure leads analysts to the identification of incongruous filmic components.

Incongruity in still pictures differs from that of films. While there can be strange specific elements in an image, there can be a wide variety of incongruous components in films, not only at the perceptual level (what we see or listen) but also at level of the discursive form (genre). Thus, at the perceptual level, analysts should decide which of the filmic component analyzed under step 2, that is, the Agent, Action, Object, Recipient and Setting (Tam and Leung 2001) shows properties that are incongruous with the properties that are typically true of that component (property-incongruous), which one shows any incongruity related to the topic (topic-incongruous) under substep 1.4 (identification of the topic), or if there is any incongruity within each of the identified modes under substep 1.1 related to the topic (modal incongruity). At the discursive level, analysts must decide whether the message under substep 1.3 (reconstructing the message) is communicated in an atypical way of the filmic genre under analysis (genre-incongruous).

Step 4

In step 4, the analyst must decide whether the replacing concepts for the incongruities found in Step 3 can be integrated into the message or/and the topic of the commercial in some form of comparison. In one of our analyses (*Agua Fresca de Rosas*, Adolfo Domínguez 2015), there is a woman in the sea fishing roses with a net. In this case, the roses in the water are compared to fish, as fish are coherent with the referential description of "woman fishing on a boat". It seems natural that what is in the water is fish and not roses. Thus, this replacement of one component for another is done according to a matching between what the alien component is doing or how it is depicted and the corresponding, most coherent component that naturally owns those qualities or properties (as in our example, where fish is what is naturally in the water and not roses).

Step 5

Once it has been confirmed in the previous step that there are different concepts to be compared in the film, Step 5 guides the analyst to test if those

31

concepts belong to two different domains. VISMIP uses an online tool called Wordnet (http://wordnet.princeton.edu) that turns to be very useful to answer this question. Wordnet is a big database of English words (nouns, verbs, adjectives, and adverbs) which are grouped according to their meanings (Šorm and Steen 2018). Analysts should investigate the first three layers of meaning; if they are different, then the comparison is cross-domain. An illustrative example (from the *Agua Fresca de Rosas* commercial) has been added to clarify these instructions, with the comparison between roses and fish:

- rose belonging to the domain of 'shrub>woody plant>vascular plant' (Wordnet, under seat sense #1), and fish belonging to the domain of 'aquatic vertebrate>chordate>animal' (Wordnet, under seat sense #1).

In this case, as none of the three layers of meaning from both concepts coincide, the comparison is considered cross-domain. If all or some of the assumed layers overlap, then the domains are understood as being similar, and the comparison cannot be considered cross-domain.

Step 6

Analysts should here test whether the comparison(s) can be seen as some form of indirect discourse about the topic of the filmic text as formulated under step 1.4. This test gives a positive result "if analysts can offer a simple account of the mapping between both domains of the comparison (target and source) […] assuming that the mapping is indirectly saying something about the topic of the film and also about the message." (Bort-Mir 2019: 158). This "simple account of the mapping" is offered in figure 4 as an example to clarify the step.

FISHING	COLLECTING ROSES	FINDING LOVER
Fisherman (agent)	Collector (agent)	Finder (woman, in this case) (agent)
Fish (object)	Rose (object)	Loved person (object)
Sea (setting)	Fields, bushes, garden (setting)	Everywhere (the world) (setting)
Boat and the net (tools)	Collecting tools (tools)	Perfume (tool to attract lover) (tool)
Fishing (action)	Collecting (action)	Wearing the perfume = hunting, fishing (action)

Figure 4. Example of the simple account of the mappings between domains for step 6 (taken from the analysis of the commercial *Agua Fresca de Rosas*, in Bort-Mir 2019: 188).

Step 7

FILMIP includes one last step, in which if steps 4, 5, and 6 are positive, then the analyst marks the filmic text for metaphoricity. If any of the previous steps give a negative result (that is, there are no replacing elements, or the comparison is not cross-domain, or there is not an indirect mapping between the elements of the video), then the analyst must stop the procedure and mark the film for non-metaphoricity.

3. METHODOLOGY

3.1. PROCEDURE

First, several TV commercials[6] were selected from a wide range of perfume brands.

Once the commercials were selected, all dialogues, voices over or off, and lyrics, were transcribed into different Word documents.

A following phase consisted of segmenting all the TV commercials into their different filmic segments (scenes and shots, mainly).

The next step was to identify all the filmic components that represent meaning following the seven steps of the procedure (focusing on the identification and description of the communicative modes).

3.2. MATERIALS

Five TV commercials from perfume brands were selected from a bigger corpus of eleven ads. Perfume commercials were the ones finally chosen because of the difficulty that is found to describe smell experiences (Engen 1982). Thus, it was thought that these might be appropriate for the application of FILMIP, as metaphors could be a commonly used device to present perfumes in advertising campaigns. The five commercials were selected from the corpus to be thoroughly analyzed and discussed (Bort-Mir 2019) because they present interesting features that allowed for the refinement of FILMIP. Some of these characteristics (identified after the application of FILMIP) are the following:

a) Cultural metaphor with no target domain being explicitly present in the video (in *Agua Fresca de Rosas* commercial, Adolfo Domínguez 2015).

b) Multiple metaphors (in the *Mon Paris* commercial, Yves Saint Laurent 2016).

6 All the materials related to this study are stored on Open Science Framework at the following link: https://osf.io/vgdfy/?view_only=d45a2407263c415b82ad4c4531824574

c) Hidden metaphor until the end of the commercial, with the target domain depicted linguistically (in *Experience Freedom* commercial, Kenzo Parfums 2016)

d) Metaphor is present in the name of the product (in *Black Opium* commercial, Yves Saint Laurent 2015)

e) No metaphor: *perfume Davidoff Adventure*, by Davidoff (Zino Davidoff 2007).

This last analysis is included in the study because it has been marked for non-metaphoricity with FILMIP. This analysis shows how the procedure stops when there are no signals of metaphorically used filmic elements.

Due to space reasons, only two analyses are detailed in this paper: *Agua Fresca de Rosas* and *Davidoff Adventure*.

4. ANALYSIS AND RESULTS

4.1. *AGUA FRESCA DE ROSAS (ADOLFO DOMÍNGUEZ 2015)*

The first analysis belongs to the TV commercial *Agua Fresca de Rosas* (Adolfo Domínguez 2015), retrieved from https://www.youtube.com/watch?v=K2rjhlloL8. This commercial lasts 0.20 seconds and it was released in 2015. The commercial presents a lady in a boat fishing roses in the sea with a net.

Step 1. Establishing a general understanding of the filmic text

Substep 1.1. Description of referential meaning

– Content assessment: the commercial is projected 5 times.
– Identification of units of analysis: this TV commercial is segmented into 13 shots within 1 scene, and 1 sequence.
– Identification and description of communicative modes: the modes identified in this first commercial are written discourse, spoken discourse, music, and visuals. Two examples of a deep description of the modes can be observed in Table 1.
– Description of the referential meaning: in this case, we could say that a woman in a white boat at calm sea is fishing roses with a net. She catches one and caresses her face with it while smiling.

Table 1. Modal description of some shots from *Agua Fresca de Rosas* TV commercial.

Shot 1[7]	00:00:00 - 00:02:15 aerial shot [Written discourse (Adolfo Dominguez/ capital letters/ white)] [Music (Karen Elson's The Ghost Who Walks, no lyrics yet/pop/non diegetic/appropriated)] [Visuals (Colors (pink/pale, white, grey/ pale), Kinematic elements (aerial view of the setting, still camera))]
Shot 5	00:07:50-00:09:61 full shot [Music (Karen Elson's The Ghost Who Walks, lyrics "she's on the prowl")] [Visuals (Colors (continuum), Salient objects (net), Kinematic elements (full shot/still camera/horizontal view), Gestures and facial expressions (woman throwing net to water))]

Substep 1.2. Attaching more general and abstract meaning

When identifying a more abstract meaning, the analyst must look into symbolisms, cultural beliefs, and even historical and social context. In *Agua Fresca de Rosas* TV commercial, there is this beautiful woman, by herself, fishing roses.

First, roses are never found in the sea to be fished. This may imply some kind of symbolism attached to these roses. Normally, roses represent romance, love, or even beauty. This is a cue, implying that something more abstract is attached to this particular filmic narrative.

The predominant colors (pale pink, soft grey, and white) are very tenuous, and saturation is quite low, which may imply a sense of femininity, gentleness, and elegance. These colors seem to represent this femininity very well, and as there

---

7   All screenshots were taken by the author.

is an elegant, relaxed woman in the video, they match the overall framework of the commercial.

The action of fishing is likely to represent the action of hunting, of catching something (literally the flowers, in this case). As roses are never fished in the natural world, this action of fishing them is also a cue in this video that something else is shown apart from the perceptual elements expressed on the screen.

The fact that she uses a net instead of a fishing rod can also be considered a cue of connotative meaning, since one can only catch one fish with a fishing rod, whereas a lot of fish can be caught with the use of a net. This net represents the tool that the woman uses for fishing and fowling the roses.

Finally, the lyrics of the song mark some abstract meaning as well. The song is about a woman who was in love with a man who "cut her down", and now "she's on the prowl" for a new lover. With the song, the concept of lovers and love is introduced into the commercial, and the viewer starts then inferencing the relation of the song with the roses in the sea being fished by the woman. There is a precise moment in the commercial when the lyrics say "she's on the prowl" in the very moment that she throws the net onto the water. That may be likely to represent that when we see her fishing the roses, she may be fishing for a new love. This matching between these two domains (fish and love) may also be given by the fact that, at least in Spain (and Adolfo Domínguez is a Spanish brand), there is a cultural metaphor, shared by this cultural community, of LOOKING FOR LOVER IS FISHING, as in "she's throwing the rod to that man at the bar", "there are more fish in the sea, don't worry for your break-up", or "she had a big fishing marrying him, he's so rich!" (translated from Spanish to English). All these examples, usually referring to a woman fishing for a man, are common within the Spanish culture. Thus, and as the commercial is from a Spanish brand with a Spanish woman on it, this cultural metaphor is maybe articulated within its filmic narrative.

There are several moments when the lyrics match exactly with certain actions that may represent something else than what is merely being depicted on the screen. In shot 6, for instance, when the woman is picking up the net with the flowers inside, the song says, "for the man". In shot 10, just when some roses fall from the net, the song says, "cut her down". Thanks to the auditory input (the song, in this case), the audience can disentangle the visual ambiguity. All this matching of events with lyrics may imply a connection between the roses and love, or men.

Substep 1.3. Reconstructing the message

The previous steps offer an overall understanding of what is denotatively communicated in the video, and they also present an account about the abstract implications of the perceptual elements present in the commercial. A beautiful

woman, very elegantly dressed, was in love with a man, but now she is by herself, at a sea full of roses, and then she fishes some of them with a net. Then she takes one of them among all, smells it and plays with it next to her face, smiling and being happy with her decision. This could be telling us that the woman is in fact fishing men (this is, the roses stand for men, an idea that is triggered by the lyrics of the song), and that assumption leads to the reconstruction of the following message: *perfume Agua Fresca de Rosas* is a tool for finding a lover.

Substep 1.4. Identifying the topic

In this commercial the topic is selling *perfume Agua Fresca de Rosas*.

Step 2. Structuring the referential description under substep 1.1

Two main events are shown in the commercial: the action of catching the roses with the net, and the action of choosing one of them and caressing her face while smiling. The referential description has already been described in substep 1.4: A woman in a white boat at calm sea is fishing roses with a net. She catches one and caresses her face with it while smiling.

According to Tam and Leung's (2001) structured annotation tool, this description is structured as follows:

> [Agent(woman) Action(sail, fish) Object(net, roses) Setting(in a boat/white, at sea / calm)]

> [Agent (woman) Action(catch, caress, smile) Object (face, rose) Setting(in a boat/ white, at sea /calm)]

Step 3. Finding incongruous filmic components

Decide for each filmic component under step 2 (Agent, Action, Object, Recipient and Setting, Tam and Leung, 2001) whether it shows properties that are incongruous with the properties that are typically true of that component (property-incongruous), whether it shows any incongruity related to the topic (topic-incongruous) under substep 1.4 (identification of the topic), or whether there is any incongruity within each of the identified modes under step 1.1 related to the topic (modal incongruity).

The main incongruity to be found in this commercial is the roses in the water and the action of fishing them. According to Wu and Barsalou's taxonomy of properties (2009), the roses on the water belong to the property 'situation-location' (the roses are commonly in a garden or bush, not on the surface of the sea), and the action of

fishing roses instead of fish belongs to a situation-action property (roses are never fished but collected). Two elements are then marked as property-incongruous in the commercial: the roses on the water and the action of fishing them.

The music mode can also be considered as incongruous with the topic: the song talks about a woman who was in love with a man who left her, and now she is *on the prowl* again. These lyrics may be understood as having nothing to do with the topic of selling *perfume Agua Fresca de Rosas*, nor with the literal description of the video (woman fishing roses).

Step 4. Testing whether incongruity can be integrated within the overall topical framework by means of some form of comparison

In this case, roses should be replaced by fish, because fish is what is to be naturally expected inside the water in the sea instead of roses. Consequently, the action of fishing roses should be replaced by fishing fish.

A song about fishing, about perfumes, roses, the sea, or about each of the perceptual elements identified in the commercial would be coherent with the referential description (the denotative meaning of the commercial, which in this case is "a woman in a white boat at calm sea is fishing roses with a net. She catches one and caresses her face with it while smiling").

Step 5. Testing for cross-domain comparison

According to Wordnet, the results are the following:

- rose belonging to the domain of 'shrub>woody plant>vascular plant' (Wordnet, under seat sense #1), and fish belonging to the domain of 'aquatic vertebrate>chordate>animal' (Wordnet, under seat sense #1).
- fish belonging to the domain of 'aquatic vertebrate>chordate>animal' (Wordnet, under seat sense #1), and lover belonging to the domain of 'follower>person>organism' (Wordnet, under seat sense #1).
- sea belonging to the domain of 'body of water>thing>physical entity' (Wordnet, under seat sense #1) and garden belonging to the domain of 'plot of land>piece of land>geographical area' (Wordnet, under seat sense #1).

This information confirms that the comparisons in this TV commercial are cross-domain. The three main conceptual domains of the commercial (roses-fish-men/lover) were introduced into Wordnet to see their conceptual hierarchies. This online tool confirms that they belong to different domains because their first three layers of meaning are different. FILMIP resolves that the comparison, in this case, is cross-domain.

Step 6. Checking for comparison indirectness: Test if the comparison can be seen as indirect discourse about the topic

Table 2 below shows a sketch of the mappings between the domains explained under the previous steps:

Table 2. Sketch of mappings between domains in
Agua Fresca de Rosas TV commercial.

	FISHING	*COLLECTING ROSES*	*FINDING LOVER*
AGENT	Fisherman	Collector	Finder
OBJECT	Fish	Rose	Lover
SETTING	Sea	Gardens	Everywhere
TOOL	Boat and net	Collecting tools	Perfume
ACTION	Fishing	Collecting	Wearing the perfume = attracting lover

The elements signaled in this filmic ad as metaphorically used, then, are expressed implicitly via the context, an option that is explained by Steen (1999: 91) "contextual implicit metaphors, the referent of the metaphor may not be expressed at all and requires an inference which addresses one's knowledge of conventional language use and the world".

The mappings in this clip, then, are inferred indirectly thanks to the filmic narrative (and to certain cultural hints, in this case) and the cross-modal design of the ad. This conclusion derives from discourse comprehension.

Step 7. Final decision: if steps 4, 5 and 6 are positive, then metaphor mark the text for metaphoricity

In this case, the TV commercial *Agua Fresca de Rosas* (Adolfo Domínguez 2015) has been marked as containing metaphorically used filmic components, since all the previous steps offer a positive result.

4.2. DAVIDOFF ADVENTURE (ZINO DAVIDOFF 2007)

The second analysis belongs to the TV commercial *Davidoff Adventure* (Zino Davidoff 2007), retrieved from https://www.youtube.com/watch?v=DvldSrhscuo. The commercial has a duration of 0:45 seconds, and it was released in 2007. The clip presents actor David McGregor involved in a solo journey to the mountains riding his motorbike.

Step 1. Establishing a general understanding of the filmic text

Substep 1.1. Description of referential meaning

– Content assessment: the commercial is watched 5 times.

– Identification of units of analysis: this TV commercial is segmented into 11 scenes, and with a total of 29 different shots.

– Identification and description of communicative modes: again, two examples of a deep description of the modes were selected and can be observed below.

Table 3. Modal description of some shots from *Davidoff Adventure* TV commercial.

Shot 5	46. 00:08.35 – 00:10.01 Medium shot [Music(continuum)] [Spoken discourse(voice-over/man (actor Ewan McGregor)/calm voice "the scent of adventure in the air")] [Visuals(colors (blues, browns, green), kinematic elements (camera movements: static; perspective: centered point of view); salient objects (bottle of perfume))]
Shot 28	00:38.09 – 00:41.45 Full shot [Music(continuum)] [Visuals(colors (black, blue), kinematic elements (camera movements: handheld, static; perspective: centered point of view))]

– Description of the referential meaning: in this commercial we describe the referential meaning as actor Ewan McGregor going on a trip by himself with his classic motorcycle in the mountains with a backpack and a bottle of perfume as his only luggage.

Substep 1.2. Attaching more general and abstract meaning

The colors throughout all the commercial are the colors of nature: greens and browns, mainly, which coincide with the color of the perfume that is brown with touches of gold, also suggesting its smell.

The name of the perfume is *Davidoff Adventure*, and the commercial has a main character, a man going into his own adventure with his motorcycle, all by himself, into the woods, and he is even literally lost at some point in the commercial.

Apparently, it seems that there is no abstract meaning attached to any of the components of the clip, everything seems to be what it looks like.

Substep 1.3. Reconstructing the message

The message could be described as perfume *Davidoff Adventure* is for adventurous men. If you want to be like Ewan McGregor, you should use this perfume.

Substep 1.4. Identifying the topic

The topic of this commercial is selling perfume *Davidoff Adventure*.

Step 2. Structuring the referential description under substep 1.1

The referential description "actor Ewan McGregor going on a trip by himself with his classic motorcycle in the mountains with a backpack and a bottle of perfume as his only luggage" is structured as follows:

> [Agent (man/Ewan McGregor) Action (going on a journey) Object (motorcycle/ classic, backpack, perfume) Setting (mountains)]

Step 3. Finding incongruous filmic components

Decide for each filmic component under step 2 whether it shows properties that are incongruous with the properties that are typically true of that component (property-incongruous), whether it shows any incongruity related to the topic (topic-incongruous) under substep 1.4 (identification of the topic), or whether there is any incongruity within each of the identified modes under step 1.1 related to the topic (modal incongruity).

It seems that there are no incongruities in this commercial. The ad shows a man going on his real, physical adventure on the mountains, and the perfume is named *Davidoff Adventure,* so nothing seems incongruous in the ad.

Step 4. Testing whether incongruity can be integrated within the overall topical framework by means of some form of comparison

As there are no incongruous units in this commercial, there is nothing to be compared to. This means that the analyst cannot go on with the procedure because it makes no sense for the analysis[8]. The commercial, in this case, is marked for non-metaphoricity.

5. DISCUSSION

After the application of FILMIP, it is observed that the brand Adolfo Domínguez employs, for the *Agua Fresca de Rosas* commercial, incongruous visual elements that make the audience perceive that there is something else being told in the commercial. These elements are the roses, which in the real world are never placed in the sea, and consequently, they are never fished.

According to the seven-step procedure, the (non-present) fish are substituted by the roses, here the roses standing for men/lovers. The metaphorically used elements are not, in this case, presented directly in the commercial. This incongruity, that is, having roses in the sea instead of fish, is resolved cross-modally, with a metaphorical meaning-making depicted through the interaction of all the filmic components appearing in this ad (the song being a crucial cue for this meaning-making).

In the analysis performed to Bort-Mir's corpus of 5 TV commercials (2019), it can be envisaged that filmic metaphors entail a complex structure of technical choices that are, usually, displayed through the interaction of distinct communicative modes. Even though more analyses are needed to fully affirm this claim, the examples show valuable insights towards this complexity of filmic metaphors and the role those communicative modes play in their construction and meaning making. In this case, and after the application of FILMIP, the researcher arrives at the conclusion that some possible conceptual metaphors lying behind the whole commercial could be FINDING LOVER IS FISHING ROSES, or MEN ARE ROSES, or even MEN ARE FISH (FINDING LOVE IS FISHING, as in the cultural metaphor explained in the analysis). In the FINDING LOVER IS FISHING ROSES metaphor, the source domain of fishing roses is represented cross-modally via the visual mode (the roses themselves and the colors, for instance). The target domain of the metaphor (finding a lover) is perceived through the music mode with a precise match of action + lyrics. This metaphor is marked as multimodal,

---

8   It seems obvious that if no incongruous units are to be found, the procedure stops in step 3 instead of step 4. Future research in wider corpora will lead to the refinement of the decision towards when FILMIP should stop.

as both target and source domains are rendered through different modes of communication.

These preliminary results seem to confirm, then, that it might be through the interaction of modes that the filmic metaphor is constructed. It is the cross-modal circumstance of audio-visual materials what allows for meaning-making in films, and in this case, for metaphor construction and interpretation. This implies that more research on the implications that multimodality bring to metaphor studies should be made in the near future for a more refined theory of multimodal metaphor.

In this first commercial, the music mode (the auditory input via the song) is crucial for the resolution of the metaphor because it is the communicative mode that introduces the concept of men and love into the commercial. Thus, the target domain (love) is present in the commercial only via de song. The source domain is directly expressed (fishing). The visual incongruity (roses in the sea being fished) is resolved through the symbolic meaning attached to the concept of men, achieved only cross-modally with the dynamic interaction of the auditory input (the song) and the action (woman throwing a net to fish the roses).

One of the challenges that the filmic medium presented to the development of FILMIP was what could count as a unit of analysis. With written texts, the word is the unit of analysis (Steen *et al.* 2010), but films are complex materials with a wide variety of layers of meaning, all interconnected through time and space. The difficulty not only lied on finding the components of a film but also on where to find them. Thus, the claim that is proposed here is that of a dynamic unit of analysis composed of a hierarchical structure of three filmic units: sequences, scenes, and shots.

Overall, the seven steps of the procedure lead to the identification of filmic elements that may be used metaphorically. The set of instructions, which might seem long and complex, shall be followed one after another and in that precise order. The experience of analyzing this corpus of commercials showed that analysts always tend to follow their intuition, thinking that what they first thought is the right thing. However, the method taught us to be patient and complete the most complex phase, the Content Analysis (Phase 1), as it is not until we identify and describe every single communicative mode in the film that we can draw proper meaning inferences.

In the second analysis (perfume *Davidoff Adventure*), the procedure stops in step 4 because the same domain (adventure) is depicted in the description of the topic, in the analysis of the communicative modes, and also in the referential and

abstract descriptions of the commercial. This ad could be categorized as depicting same-domain-ness (Šorm and Steen 2018), and hence it has no filmic components that can be marked for metaphor.

6. CONCLUSION

FILMIP's seven steps lead analysts to decide whether certain filmic components are metaphorically used in filmic materials. It is important to remark here that the procedure does not lead to the identification of conceptual metaphors underlying the filmic narrative. Such an implication would entail that the method offers the chimera to metaphor scholars interested in the filmic medium. What FILMIP allows, though, is the identification of filmic components that show metaphorical meaning. Once those metaphorical elements are consistently identified with the application of FILMIP, analysts can then proceed with their own particular metaphor analysis and include discussions about possible conceptual metaphors deriving from the metaphorically used elements identified on the basis of FILMIP, as it has been done in the discussion section of this paper.

One remarkable important challenge that arises from FILMIP is that the application of the procedure to other filmic genres and to more materials might derive into modifications, refinements, or even extensions of FILMIP. Other genres could require additional instructions, or they could also require several modifications of the steps to fit to the genre specificities.

The method has been developed taking into consideration the features of the genre of advertising, and it has been applied to 11 TV commercials to test its efficacy in identifying metaphorically used filmic components. Future research is needed in this respect to improve the procedure and allow its use to other of audio-visual genres. The generalizability of FILMIP to different filmic genres would offer great insight into the understanding of the mechanisms by which filmic metaphors are construed.

REFERENCES

Bort-Mir, L. 2019. *Developing, Applying, and Testing FILMIP: the Filmic Metaphor Identification Procedure*. PhD Thesis. Universidad Jaume I: Spain.

Carroll, N. 1994. "Visual metaphor". *Aspects of metaphor*. Ed. J. Hintikka. Dordrecht: Springer. 189-218.

Carroll, N. 1996a. *Theorizing the Moving Image*. Cambridge: Cambridge University Press.

Carroll, N .1996b. "A note on film metaphor". *Journal of pragmatics* 26(6): 809-822.

Cienki, A. and C. Müller. 2008. *Metaphor and gesture* (Vol. 3). Amsterdam: John Benjamins.

El Refaie, E. 2016. "Analysing metaphors in multimodal texts". *The Routledge handbook of metaphor and language*. Eds. E. Semino, and Z. Demjén. London: Taylor & Francis. 148-162.

Forceville, C. 2006. "Non-verbal and multimodal metaphor in a cognitivist framework: Agendas for research". *Cognitive linguistics: Current applications and future perspectives*. Eds. G. Kristiansen, M. Achard, R. Dirven, and F. Ruiz de Mendoza. Berlin/New York: Mouton de Gruyter. 379-402.

Forceville, C. 2015. "Visual and multimodal metaphor in film: Charting the field". *Embodied metaphors in film, television, and video games*. Ed. K. Fahlenbrach. London: Routledge. 31-46.

Forceville, C. and E. Urios-Aparisi. 2009. *Multimodal metaphor*. Berlin/New York: Mouton de Gruyter.

Gibbs, R. W. 2008. *Cambridge handbook of metaphor and thought*. Cambridge: Cambridge University Press.

Lakoff, G. and M. Johnson. 1980. *Metaphors we live by*. Chicago, IL: University of Chicago.

Lemke, J. L. 1998. "Multiplying meaning: visual and verbal semiotics in scientific text". *Reading science: Critical and Functional Perspectives*. Eds. J. R. Martin and R. Veel. London: Routledge. 87-113.

Müller, C. and H. Kappelhoff. 2018. *Cinematic metaphor: experience–affectivity–temporality* (Vol. 4). Berlin: Walter de Gruyter.

Ortony, A. 1993 (1979). *Metaphor and Thought: Second edition*. Cambridge: Cambridge University Press.

Phillips, B. J. and E. F. McQuarrie. 2002. "The development, change, and transformation of rhetorical style in magazine advertisements 1954-1999". *Journal of Advertising* 31(4): 1-13.

Rossolatos, G. 2014. "Conducting multimodal rhetorical analysis of TV ads with Atlas.ti 7". *Multimodal Communication* 3(1): 51-84.

Šorm, E. and G. J. Steen 2013. "Processing visual metaphor: A study in thinking out loud". *Metaphor and the Social World* 3(1): 1-34.

Steen, G. 1999. "Towards a linguistic checklist for metaphor analysis". *Researching & Applying Metaphor*: 81-104.

Steen, G. 2007. *Finding metaphor in grammar and usage: A methodological analysis of theory and research* (Vol. 10). Amsterdam: John Benjamins.

Steen, G. 2009. "From linguistic form to conceptual structure in five steps: A procedure for metaphor identification in discourse". *Cognitive Poetics*. Eds. G. Brône and J. Vandaele. Berlin/New York: Mouton de Gruyter. 197-226.

Steen, G., Dorst, A. G., Herrmann, J. B., Kaal, A. A., Krennmayr, T. and T. Pasma. 2010. *A method for linguistic metaphor identification: From MIP to MIPVU*. Amsterdam/Philadelphia: John Benjamins.

'THE TROUBLES' AND THE PEACE PROCESS IN NORTHERN IRELAND IN SEAMUS HEANEY'S *THE CURE AT TROY*

Juan José Cogolludo Díaz
Escuela Oficial de Idiomas de Tudela
jjcogolludo@telefonica.net

ABSTRACT. *Based on* Philoctetes*, the tragic play by Sophocles, the poet Seamus Heaney creates his own version in* The Cure at Troy *to present the political and social problems in Northern Ireland during the period that became known euphemistically as 'the Troubles'. This paper aims to highlight the significance of Heaney's play in the final years of the conflict. Heaney uses the classical Greek play to bring to light the plight and suffering of the Northern Irish people as a consequence of the atavistic and sectarian violence between the unionist and nationalist communities. Nevertheless, Heaney also provides possible answers that allow readers to harbour a certain degree of hope towards peace and the future in Northern Ireland.*

Keywords: Seamus Heaney, *The Cure at Troy*, Northern Ireland, Troubles, violence, hope.

JUAN JOSÉ COGOLLUDO DÍAZ

'LOS TROUBLES' Y EL PROCESO DE PAZ EN IRLANDA DEL NORTE EN *THE CURE AT TROY* DE SEAMUS HEANEY

RESUMEN. *A partir de la obra trágica de* Filoctetes *de Sófocles, el poeta Seamus Heaney crea su propia versión en* The Cure at Troy *para reflejar los problemas políticos y sociales en Irlanda del Norte durante el periodo conocido eufemísticamente como 'los Troubles'. El objetivo de este trabajo es resaltar la importancia de la obra de Heaney en los últimos años del conflicto. Heaney se sirve de la obra clásica griega para establecer un marco en el que poner de manifiesto el sufrimiento de la población norirlandesa fruto de la violencia atávica y sectaria existente entre las comunidades unionista y nacionalista. No obstante, Heaney también aporta ciertas claves que permiten albergar un atisbo de esperanza en la paz y en el futuro en Irlanda del Norte.*

Palabras clave: Seamus Heaney, *The Cure at Troy*, Irlanda del Norte, 'Troubles', violencia, esperanza.

1. INTRODUCTION

Classical Greek literature provides a framework in which Seamus Heaney presents certain aspects of the political and social situation in Northern Ireland. Heaney, like the poets from Greek antiquity who adapted different stories to accommodate a specific situation, did likewise with his version of Sophocles' *Philoctetes*.[1] This prompted Michael Vickers to state, "Seamus Heaney reshaped Sophocles' play in order to make it fit the contemporary political picture (he identifies Philoctetes with Unionism, Neoptolemus with the Southern Irish, and Odysseus with the Provisional IRA)" (2008: 59).

Subsequent to its publication, the first theatrical performance of *The Cure at Troy* was held by the *Field Day Theatre Company* at the Guildhall, Derry, on 1 October 1990. The subtitle of Heaney's play, 'A version of Sophocles' *Philoctetes*', accentuates the influence of Sophocles' play, performed in Athens in 409 BC, on Heaney's adaptation from the great Greek author.

Heaney's translation is quite similar in length to Sophocles' play; however, besides adapting his text to his artistic objectives,[2] he added new content. A great

---

1   Although Heaney employed three texts in English, he based his work mainly on David Grene's translation to create his *version*. The adaptation is very close to Sophocles' original work, to which he adds the verses of the Choruses and some other short paragraphs in prose to agree with the tone of the discourse.
2   *The Cure at Troy* is both a political allegory on the Troubles in Northern Ireland and a work of art; Heaney has described the play as "'commentary'-type drama ('Troubles art')" (2002: 178).

part of the new information is related to the political violence that was persistent in Northern Ireland at the time. Heaney's version both justifies and ratifies the relationship he establishes between the Sophoclean tragedy of *Philoctetes* and *The Cure at Troy*; that is to say, the suffering, the sorrow and the injustices in Ireland, and more specifically in Northern Ireland. There are also the universal values of personal integrity and loyalty, seen in Neoptolemus' behaviour, as well as the utterly reprehensible practices of treason in Odysseus' attitude toward Philoctetes, and revenge demonstrated by Philoctetes' way of thinking and feeling.

His *version* is rooted in the ancient mythical past of Northern Ireland along with the introspective attitude and insight of the period euphemistically known as 'the Troubles': the sectarian political violence which broke out in 1969 and was mitigated with the signing of the Belfast Agreement in 1998.[3]

Although *Philoctetes* is not among the most popular works by Sophocles in Western culture nowadays,[4] I do not think it is a coincidence that Heaney paid attention to it, since Philoctetes, one of the heroes of Greek mythology, tells a story of exile and dispossession. Heaney's version responds to the sensitivity conveyed by Sophocles with regard to the connection between individual morality, which is attributable to intrinsic and personal loyalty, and public morality, which has to do with political justifications: Odysseus shows no scruples in deceiving Philoctetes (with the assistance of Neoptolomeus at the beginning) to proceed to Troy and win the war for Greece.

For Heaney, any act of violence, whether committed by a group or an individual, is totally reprehensible; worse still if it originates from official institutions, in which case we may even talk of *apartheid* when the target of discrimination is a whole community as was the case of the nationalist Catholic community in Northern Ireland to which Heaney belonged. The victims who suffer from such sectarian practices are all human beings, regardless of ideology, whether Catholic nationalists or Protestant unionists.

In Heaney's translations, especially in the Choruses, there are direct allusions to suffering and affliction – extremely recurrent themes in Heaney's oeuvre – which affect the entire Northern Irish population (1990: 77). The way Sophocles uses the myth of Philoctetes was probably influenced by a passage of the *Iliad,* the epic poem by the ancient Greek poet Homer (1991). The reference to the myth of Philoctetes in Homer is very short. It occurs in the second book of the poem when Homer describes the Greek armies and leaders who have come to fight at Troy:

---

3 "The same term [Troubles] is also used to refer to the period of conflict between nationalists and unionists in the early 1920s at the time of partition" (Gillespie 2017: 296).

4 *Antigone* (Sophocles 1984a) and *Oedipus The King* (Sophocles 1984b) are the most famous and most translated Sophoclean plays in Ireland (McDonald 2002: 42), but Heaney obviously made a deliberate choice in picking *Philoctetes*.

> Philoctetes the master archer had led them on
>
> in seven ships with fifty oarsmen aboard each,
>
> superbly skilled with the bow in lethal combat.
>
> But their captain lay on an island, racked with pain,
>
> on Lemnos' holy shores where the armies had marooned him,
>
> agonized by his wound, the bite of a deadly water-viper.
>
> There he writhed in pain but soon, encamped by the ships,
>
> the Argives would recall Philoctetes, their great king. (Homer 1991: 122)

Despite the brevity of the extract, the last line in particular provides Sophocles with the necessary material for his tragic play. This line refers to a story about the final phase of the ten-year-long Trojan War. The Greeks had heard of a prophecy claiming they would be unable to capture Troy without the assistance of Philoctetes and his famous bow, a weapon he had inherited from Heracles. However, the Greeks had abandoned Philoctetes ten years earlier en route to Troy. They left him marooned on the island of Lemnos with an agonizing wound induced by a snake-bite (Heaney 1990: 17). To make things worse, this injury would not heal and it produced such an obnoxious, foul-smelling odour that his fellow Greeks (especially Odysseus, Agamemnon and Menelaus) later abandoned him on the deserted island; his only possession was the bow which he used both for hunting and as a means of defence.

Ten years later, when they learnt of the prophecy, they sent a delegation – headed by Odysseus and Neoptolemus (son of the celebrated Achilles) – to Lemnos to bring Philoctetes and his bow back to Troy. This episode involving the emissaries was what Sophocles wrote about in his play.

Heaney's version of the myth closely follows Sophocles' original. He does not change or omit any episode. He uses the same chronology to arrange the events, from the initial dialogue between Odysseus and Neoptolemus and the latter's use of deceit in order to gain the confidence of Philoctetes, right through to the reversal of Neoptolemus' methods and the influence of Heracles – as a *deus ex machina* – in the conclusion. This is not surprising since Heaney is, after all, offering a version of Sophocles' play.[5] The difference between the plays lies in the incidents to which Heaney gives greater or lesser emphasis, and also by the

---

5   I use the words "translation" and "version" interchangeably, as synonyms. I believe Heaney's work is both: he translates and interprets to create the desired text (his version) to meet his political and artistic objectives.

introduction of some lines – through the Choruses – directly related to the political conflict in Northern Ireland.

Heaney's particular adaptation is a logical consequence of the influence exerted by the Irish audience. Sophocles' public was acquainted with this myth. The other two great Greek tragic poets, Aeschylus and Euripides,[6] had also written about this very same myth before Sophocles, therefore the Greek audience was well aware of this theme and would have been able to interpret the religious implication of the prophecy; however, this religious context has little or no relevance for Heaney's audience.

Both writers share the same main theme, the connection between private and public morality. Heaney's central concern evolves around the characters' attitudes to themselves, which he clearly believes reflect the attitudes between the Catholic nationalists and Protestant unionists in Northern Ireland; I believe that both communities have a *moral responsibility* to accept each other on equal terms and put the bigotry aside in order to reach a plausible solution to the quandary stemming from the atavistic fear and violence of the Troubles.

An enlightening stanza by the Chorus near the end of the play focuses our attention on contemporary issues. Four lines in particular highlight the reference to the political and social conflict in Northern Ireland, the so-called Troubles: "A hunger-striker's father / Stands in the graveyard dumb. / The police widow in veils / Faints at the funeral home" (77). It is these lines which reveal Heaney's intention in using the myth of Philoctetes, but before considering this point, some discussion of Heaney's attitude to Northern Ireland in his work is necessary.

Seamus Heaney was born at the family farmhouse of Mossbawn, close to Castledawson, a small rural village located in County Derry whose main city witnessed the tragic events known as *Bloody Sunday* which occurred in 1972, three years after the start of the Troubles in Northern Ireland.[7] Heaney explains the origin of the name of the farm and the political connotation it has for him:

> Our farm was called Mossbawn. *Moss*, a Scots word probably carried to Ulster by the Planters, and *bawn*, the name the English colonists gave to their fortified farmhouses. Mossbawn, the planter's house on the bog. Yet in spite of this Ordnance Survey spelling, we pronounced it Moss bann, and *bán* is the Gaelic word for white. So might not the thing mean the white moss, the moss of bog-cotton? In the syllables of my home I see a metaphor of the split culture of Ulster. (1980: 35)

6 "Dion of Prusa (ca. AD 100) acquaints us with earlier treatments of the story by Aeschylus and Euripides" (Storey and Allan 2014: 270).

7 The British, including the Northern Irish Protestants, refer to this county and the city as Londonderry. The foundation of the historic city of Derry goes back to AD 546, and it is the second largest city in Northern Ireland after Belfast.

While Mossbawn supplied Heaney with much inspiration for his poetry[8], the Northern Irish Troubles seemed to have received little explicit treatment from him and, consequently, he was subjected to disapproving comments from the nationalist community in Northern Ireland. However, Heaney's seemingly tacit response to the political and social conflict along with his poetry about Mossbawn do provide us with enough material to gauge his view on the Troubles. This in turn presents us with an enlightening reason as to why Heaney uses the myth of Philoctetes and to the central theme of *The Cure at Troy*.

Mossbawn bestows Heaney with a sense of place in the world, the certainty of belonging to a community. As Declan Kiberd points out, "The south Derry farm on which Seamus Heaney grew to young manhood offered a wholly secure world, in which everyone knew their place and in which every tree or flower had a meaning in the scheme of things" (2018: 129). Heaney reflects upon his own character in his early poetry but he also celebrates this community, where Catholics, like his family, and Protestants coexist side by side in good terms. Needless to say, Castledawson,[9] like any other town in Northern Ireland, has its divisions: Protestant and Catholic, unionist and nationalist. These divisions are real but the mixed community must live alongside each other on a personal and agricultural level. Although people differ strongly in political and religious beliefs, they maintain a prudent silence in conversation on these controversial issues and talk about simple everyday topics like the weather and rural concerns.

Heaney has often received criticism from Northern Catholics who contend that he avoids the issues of violence and repression, which can be detected in Heaney's reaction to a republican recriminating him on a train in "The Flight Path," included in *The Spirit Level*: "'When, for fuck's sake, are you going to write / Something for us?' 'If I do write something, / Whatever it is, I'll be writing for myself'" (1996: 25). This criticism could not be further from the truth. A great part of his poetry addresses the sectarianism which has arisen from the Troubles.[10] He specifically deals with the victims of the violence, the victims on both sides. Blake Morrison states that "Heaney has written poems directly about the Troubles as well as elegies for friends

---

8   Some of these poems include: "Digging"; "Death of a Naturalist"; "An Advancement of Learning"; "Churning Day"; "The Early Purges" and "Follower" (*Death of a Naturalist*).

9   On Census Day (27 March 2011), Castledawson had a population of 2,253 people: 48.32% of whom belonged to or were brought up in the Catholic religion "and 47.97% [...] in a 'Protestant and Other Christian (including Christian related)' religion" (Northern Ireland Statistics and Research Agency). The next census (2021) is expected to be published in 2022.

10 Among the poems which contain the most political connotations and direct allusions to the Troubles are: "For the Commander of the *Eliza*" and "Docker" (*Death of a Naturalist*); "The Tollund Man" (*Wintering Out*); "Punishment", "Act of Union", "Whatever You Say Nothing", "The Ministry of Fear", "A Constable Calls" and "Summer 1969" (*North*); "The Strand at Lough Beg", "Casualty" and "Ugolino" (*Field Work*).

and acquaintances who have died in them; he has tried to discover a historical framework in which to interpret the current unrest; and he has taken on the mantle of public spokesman, someone looked for to comment and guidance" (1993: 15). Some Irish nationalists feel aggrieved that Heaney has not heralded their cause. This is true since he wants to move forward and abstain from perpetuating the divisions that have already been created by the savageness of terrorism.

As Heaney wrote: "And whatever you say, you say nothing" (1975: 59);[11] this *prudent silence* is one which he adopted in his poetry because he knew his work could incite bitter reaction from either side ('the other side').[12] As a matter of fact, the verse "'One side's as bad as the other,' never worse" (1975: 59) is very important in the condemnation of sectarian violence coming from both *sides* since it shows Heaney makes no distinction regarding the origin of the violent political disturbances and equally criticizes both factions. Hence, Heaney chooses his language carefully. He does not refrain from addressing the Troubles, but he does approach them in an ingenious and subtle manner.

Heaney has a very clear sense of identity, of his Irishness. In 1983 he wrote a pamphlet entitled "An Open Letter" in reaction to his inclusion in an anthology of contemporary 'British' poetry. He wrote to the editors Andrew Motion and Blake Morrison asking them not to refer to him as British:

> A British one, is characterized
>
> As British. But don't be surprised
>
> If I demur, for, be advised
>
> My passport's green.
>
> No glass of ours was ever raised
>
> To toast *The Queen*.
>
>
> No harm to her nor you who deign
>
> To *God Bless* her as sovereign,
>
> Except that from the start her reign

---

11 The line, "And whatever you say, you say nothing" belongs to a poem whose title is very similar: "Whatever You Say Say Nothing", included in *North*.

12 "The Other Side" is the title of a poem in *Wintering Out* (24-26); the expression is used both by Catholics and Protestants to identify and refer to the people who do not belong to their group; they, besides being seen as different, can also pose a threat.

Of crown and rose

Defied, displaced, would not combine

What I'd espouse. (1983: 9-10)

Heaney perceives Northern Ireland as a country that is neither wholly British nor wholly Irish. He is equally agreeable to this cultural duality: "There is nothing extraordinary about the challenge to be in two minds"; his origins are Irish but he was born in a part of the island that is controlled politically and socially by the British: "My identity was emphasized rather than eroded by being maintained in such circumstances" (1995: 202). It is my understanding that any solution to the problem must come from within the province, but this will necessitate a radical change in attitude from both traditions in the North. It is the possibility of change of attitude that Heaney has written about in *The Cure at Troy*.

2. *THE CURE AT TROY*

The cultural context of the play is of paramount importance in Heaney's version, which includes, by way of an epigraph, two stanzas of W. H. Auden's poem, "As I Walked Out One Evening" (1964: 85), and which help, in part, to set the ambience of *The Cure at Troy*:

'O look, look in the mirror,

   O look in your distress;

Life remains a blessing

   Although you cannot bless.

O stand, stand at the window

   As the tears scald and start;

You shall love your crooked neighbour

   With your crooked heart.' (Heaney 1990: vii)

The words refer to the Christian virtue of love for your neighbour, in this case loving one's neighbour as yourself. However, the last two verses indicate that this love is ambiguous. Nothing good can be expected from a "crooked neighbour", so one has to be vigilant and correspond with a "crooked heart". Something similar

happens with Odysseus and the Greeks when they accept and receive Philoctetes, since they believe that deception is the only way to convince Philoctetes to go to Troy (6-7). Fortunately, this tragedy does not result in death, and, although a complete reconciliation does not take place, we can say that there was a mutual acceptance by both parties to welcome the new situation. In my view, this is similar to what Heaney is looking for in connection with the situation of mistrust and violence in Northern Ireland.

Heaney's most relevant original contributions are those provided by the Chorus both at the beginning and at the end of the play, and which are also closely related to the political and social problems in Northern Ireland. At the start of the text, Heaney introduces the theme of his version through the voice of the Chorus:

> Philoctetes.
>
> Hercules.
>
> Odysseus.
>
> Heroes. Victims. Gods and human beings.
>
> All throwing shapes, every one of them
>
> Convinced he's in the right, all of them glad
>
> To repeat themselves and their every last mistake,
>
> No matter what.
>
> People so deep into
>
> Their own self-pity self-pity buoys them up.
>
> People so staunch and true, they're fixated,
>
> Shining with self-regard like polished stones.
>
> And their whole life spent admiring themselves
>
> For their own long-suffering.
>
> Licking their wounds
>
> And flashing them around like decorations. (1-2)

Heaney establishes the theme of the play within the sphere of human suffering and the state of anxiety of all people in Northern Irish society whom he identifies as his compatriots. He describes the profound wound in both communities

(Philoctetes') and the possible and hypothetical cure (which would take place in Troy).

For Sophocles the main problem is honour, or the lack of it, embodied in Philoctetes and Odysseus, respectively. Philoctetes is an upright member of the Greek community who is unwilling to make concessions which go against honour, while Odysseus is very willing to place political interests before his own personal morality even if it brings dishonour. Neoptolemus, induced by Odysseus, exercised the most abominable deceit on Philoctetes and is halfway to redeeming himself when he experiences a moment of sudden and great revelation: the epiphany helps him realize that his behaviour is indecorous and he must regain his dignity. For Heaney, honour is also important, but it is curtailed by the many obstacles encountered and by the bloody wound of memory. Heaney is favourably inclined to a cure, or at least, a healing of the wound that has caused so much affliction in Ireland.

Despite the spatial and temporal distance of the Greek tragedy (409 BC) in relation to the political problems in Northern Ireland, Heaney uses Philoctetes' grievance and suffering to establish a symbolic parallelism between the story of the Trojan War and the history of Ireland; Philoctetes' situation is a mirror on which the Irish problems are reflected, and that reality allows Heaney to draw certain similarities between what Sophocles describes and by what Heaney observes and relates in his adaptation.

The Cure at Troy is a political discourse against injustice and violence – especially in the voice of the Chorus at the beginning of the play – which the population of Ireland has had to endure for long decades. Heaney wants to prepare the audience, and the reader for the political allusions and the sectarian violence which they will encounter later on in the play; however, he also wishes to leave a door open to hope. In the end, the words uttered by the main speaker of the Chorus are an invitation to optimism.

The first stanza divides the suffering on both sides, and cannot be justified in either case. The three first lines remind us of an image[13] of "Easter, 1916" by W. B. Yeats: "Too long a sacrifice / Can make a stone of the heart. / O when may it suffice?" (1989: 204):

> Human beings suffer,
>
> They torture one another,
>
> They get hurt and get hard.

---

13 The same image also appears in Heaney's poem "Kinship" (1975: 45).

> No poem or play or song
>
> Can fully right a wrong
>
> Inflicted and endured. (77)[14]

The following four lines from the second stanza focus our attention on the Troubles in Northern Ireland:

> A hunger-striker's father
>
> Stands in the graveyard dumb.
>
> The police widow in veils
>
> Faints at the funeral home. (77)

Suffering is equally shared in both deaths: the republican prisoner who dies as a consequence of a hunger strike in a British prison, and the policeman's widow who weeps for her dead husband who supported the Unionist regime in power.

The first two lines remind us of the time in the early 1980s, when ten republican prisoners died while on hunger strike (Gillespie 2017: 146).[15] They were protesting against their incarceration which classified them as common criminals rather than political prisoners, as they called themselves. The third and fourth lines suggest the murder of a member of the RUC (Royal Ulster Constabulary, Northern Ireland's police force at the time),[16] an act regularly perpetuated by republican terrorists. Heaney does not focus our attention entirely on the two dead people and what they have suffered. He expands the picture showing the other victims in the community; in this case a father and a wife who weep for their loved ones. We are meant to understand and share their indignation; the movement from bewilderment at the failure to truly comprehend the problem, to dejection at

---

14 The lines "No poem or play or song / Can fully right a wrong / Inflicted and endured" also bring to mind those written by Yeats as well: "[I THINK it better that in times like these] / A poet's mouth be silent, for in truth / We have no gift to set a statesman right", which belong to the poem "On Being Asked For A War Poem" (175).

15 Seven prisoners were members of the Irish Republican Army and the other three belonged to the Irish National Liberation Army. The latter was the military wing of a Trotskyist group, the Irish Republican Socialist Party, a splinter group of the Official IRA.
"In 2005, Richard O'Rawe, a former prisoner, alleged in his book, *Blanketmen*, that a deal that could have saved at least six of the strikers was turned down by the IRA leadership outside the prison, in order to maximize the political advantage for Sinn Féin" (Hanley 2015: 193).

16 Among the different provisions established in the Belfast Agreement in 1998, the RUC changed its name to *Police Service of Northern Ireland* (PSNI) on 4 November 2001. The first members trained by the PSNI began their service in April 2002.

the incessant series of murders. It is at this point near the end of the play, when Heaney clarifies the context of his version, and his use of the myth of Philoctetes falls into place.

In the third stanza, despite the long-lasting pessimism at the beginning, we can finally see the much-coveted justice that may start to set the balance in the right direction:

> History says, *Don't hope*
>
> *On this side of the grave.*
>
> But then, once in a lifetime
>
> The longed-for tidal wave
>
> Of justice can rise up,
>
> And hope and history rhyme. (77)

Obviously, this part of the Chorus is not to be found in Sophocles' tragedy. It is worth remembering that Heaney endured the political and social problems – before and during the Troubles – in his homeland, and he personally experienced both police abuse and the arbitrary attitude of the RUC. He also witnessed, first-hand, the social and economic injustices that other Catholics like him had to tolerate. However, in the previous stanzas his attitude to the Troubles is objective and devoid of sectarianism.

At the beginning of the introduction I mention Vickers' allocation of the roles of the three main characters of *The Cure at Troy*: he identifies Philoctetes with the unionists,[17] Neoptolemus with the Irish of the Republic, and Odysseus with the IRA (Irish Republican Army). The psychology of the characters is quite complex, as Storey and Allan suggest: "In no other extant Greek play does character count for so much. […] here we again encounter the issue of "version," for Sophokles makes considerable changes to the myth, including the presence of Neoptolemos on the mission and the fact that Lemnos is a deserted island" (2014: 270).

I must disagree with Vickers' assessment, I believe that no such correspondence can be established whatsoever since that identification is

---

17 It is possible that Vickers may have related the unionists' intransigence and rejection of the Anglo-Irish Agreement of 1987 with Philoctetes' obstinate resistance to abandon the island of Lemnos, and whose attitude is reflected in the lines uttered by Neoptolemus and directed towards Philoctetes: "Things are different now. I ask again: / Are you going to stay here saying no for ever / Or do you come in with us?" (Heaney 1990: 69).

not as clear as he claims. Besides, there are some instances where, as we shall soon see, the very same character can alternate roles and represent two different groups or factions within the community depending on the context and temporal framework, as is clearly the case in the evolution of Philoctetes and Neoptolemus.

In relation to Philoctetes, Heaney himself asserted the following: "[…] Philoctetes is not meant to be understood as a trimly allegorical representation of hard-line Unionism". Besides, the character of Philoctetes is ambivalent: he could represent the intransigence of both unionist and nationalist communities, in the same way that the two factions have rejoiced in the name of victimization; Heaney has said that the attitude adopted by these two opposing sides has always been that of keeping the discourse of: "[…] victimhood, the righteous refusal, the wounded one whose identity has become dependent upon the wound, the betrayed one whose energy and pride is a morbid symptom" (2002: 175).

For ten years Philoctetes bore his solitude consumed by hate and bitterness. On account of his victimization, he represents the nationalist community, which has indeed been discriminated against, harassed, and treated unfairly, but Philoctetes' problem is that he is overwhelmed by inertia. His deep-seated resistance to change has gone too far, and he finds himself defending premises which are as extreme as the ones defended by those whom he detests, that is, the unionist community. He must relinquish that particular attitude and his bitter feelings, and leave them in the past. Although taking that step is not easy for him, he persists in his resistance:

> I've been in the afterlife
>
> For ten years now, ten years of being gone
>
> And being forgotten. Even you, my son,
>
> Won't bring me back. The past is bearable,
>
> The past's only a scar, but the future –
>
> Never. Never again can I see myself
>
> Eye to eye with the sons of Atreus.[18] (73)

---

18 Agamemnon and Menelaus were the sons of king Atreus: Agamemnon, king of Mycenae, was commander-in-chief of the Greek expeditionary force in Troy; and his brother Menelaus, king of Sparta and husband of the outstandingly beautiful Helen, whose escape with Paris provoked the Trojan War.

On the other hand, Neoptolemus tries to convince Philoctetes to join the Greeks and leave the island behind as a bad dream, not only to help them put an end to the war against the Trojans, but also because Neoptolemus thinks it is the right thing to do. This way, besides accepting Philoctetes for his prodigious bow, he also submits to the latter's wound.

Finally, in the face of so much resistance, Neoptolemus (who has been subjected to tremendous tension due to his personal sense of ethics and the political demands of his country) is well prepared to ask Philoctetes to decide for once and for all: "Stop just licking your wounds. Start seeing things"[19] (74). He has important wounds that cannot be ignored and neither can the injustice, the pain and the suffering he has endured; thus, Neoptolemus is not simply telling him to forget about them. Nonetheless, in my view, it is also true that Philoctetes can do more than just indulge himself in his wounds. He should see things with deeper insight and a future perspective since it is not wise to indefinitely obsess over his physical and moral injuries and affronts.

I think that the key word in those two sentences is to be found in the appropriate use that Heaney makes of the adverb "just"; Neoptolemus (Heaney) asks Philoctetes (that is, his own nationalist community) not only to contemplate the past, but also to see reality as it is and focus on the future… Heaney believes that Philoctetes is ready to see other realities, to "start seeing things", not *only* his grievances; in other words, it is time to expand his horizon beyond his own personal problems so as to encompass a possible global *visionary* solution that includes the general interests of everyone. He must accept the *cure* – both physical and moral – that awaits him in Troy.

Philoctetes symbolizes the nationalist community in so far as he mirrors the injustice and suffering they underwent in Northern Ireland. Yet, Heaney uses him to unequivocally condemn the republican terrorists when Philoctetes agrees to go to Troy with his fellow Greek countrymen, that is to say, he finally abandons his victimization and immobilism. This decision leads to participation in the political institutions, something inconceivable in previous decades for both the members of the IRA and for Sinn Féin, its political wing.

Philoctetes is also a character to whom the audience initially responds with great sympathy and compassion. He has been abandoned by his comrades for ten years and left in complete isolation. This desertion and the pain from his wounded foot have caused great distress. Yet when Odysseus and Neoptolemus return they

---

19 "Licking their wounds" appears at the beginning of the play with the Chorus, and refers to all the people (2). In Grene's translation of *Philoctetes*, Neoptolemus' line reads as follows: "Sir, learn not to be defiant in misfortune" (Sophocles 2013: 273).

regard him with anxious suspicion. Philoctetes has been wronged and deserves our sympathy. However, when Neoptolemus changes his attitude to the victim, Philoctetes is unwilling to respond appropriately. He refuses to go to Troy under any circumstances. He has clearly been wronged but his steadfast rejection of Neoptolemus' entreaties renders our sympathy for him ambivalent, especially since we have witnessed Neoptolemus' moral deliberations. The victim of injustice has become devoted to himself; to a contemplation of his wounds and his oppressors which prevent him effecting any possible compromise and progress when the opportunity presented itself. Heaney's point is, that if nationalists continuously dwell on past injustices and refuse to work for a peaceful settlement, the violence and injustice will never end.

Odysseus represents a section of the Northern Irish community as well as the politicians of Northern Ireland, particularly the demagogues of the Unionist political parties, who are the ruling class, and, to a lesser extent, the nationalist parties, especially Sinn Féin. Once again, an appreciation of Sophocles' play is essential in understanding this symbol. Odysseus is indicative of a fifth century BC Athenian politician who has been influenced by the Sophists. He is totally unscrupulous and willing to use anybody to gain personal goal. He persuades Neoptolemus to his view with his rhetoric. Zimmermann makes the following moral description of Odysseus: "[…] Odysseus, a power politician for whom only the facts count and who does not shrink from employing deceit if he thinks that there is an advantage to be gained by it, for whom there are no absolute norms and values, and for whom oracles are a welcome means of justifying morally dubious conduct and of supporting morally dubious arguments" (1993: 82).

By the end of the play Odysseus is exposed as being worthy of contempt. Heaney seeks to illustrate how many Northern Irish politicians perpetuate the injustices in their society, because they refuse to deal with the whole community. Their shallow championing of only one side ensures the continued misery of both communities while safeguarding their comfortable, prominent lifestyles.

Finally, Neoptolemus, as in Sophocles' play, is the one character that can provide the audience with any hope. We witness his reluctant acceptance of Odysseus' methods of trying to persuade and ultimately to pit Neoptolemus against Philoctetes, and the consequent moral struggle with himself until he rejects them. Neoptolemus drops the use of deception since it will only prolong or even increase the injustices. His moral struggle dramatizes the conflict between personal integrity and political expediency. He wants to bolster his reputable distinction of honesty yet achieve the goal he shares with Odysseus. This point is constantly highlighted by the background presence of the Greek army at Troy. How are

they to reach that goal on behalf of their army? Neoptolemus wants to achieve it in a way that will preserve his personal integrity. Accordingly, he must reject the politically expedient use of deceit.

Neoptolemus is not successful in his honest attempt to persuade Philoctetes to go to Troy. His initial false pretence has proven costly and he realizes that if he is to maintain his strong personal moral principles, he must take Philoctetes back to Greece. Neoptolemus is prepared to do so; however, though all humanely possible solutions seem diminished, his moral decision is ultimately rewarded in *The Cure at Troy* when Hercules,[20] who is performed by the Chorus, appears at the end of the play as *deus ex machina* to settle the dispute – to avoid Philoctetes and Neoptolemus from going home – and to order them to go to Troy, where their presence is required to put an end to the war:

> I have opened the closed road
>
> Between the living and the dead
>
> To make the right road clear to you.
>
> I am the voice of Hercules now. (78)

Heaney acknowledges the importance of being able to transmit the voice of the poet through the Chorus: "I even wrote in a couple of extra choruses, because the Greek chorus allows you to lay down the law, to speak with a public voice. Things you might not get away with in your own voice, *in propria persona*, become definite and allowable pronouncements on the lips of the chorus" (Heaney and Hass 2000: 22-23).

Besides receiving his physical and moral cure from Asclepius,[21] Philoctetes will finally secure the longed-for military victory with his Greek compatriots; but Hercules bids him to act honourably in the theatre of war by fighting a *fair combat* and avoiding injustices when Troy falls. He also urges Philoctetes to go and to leave behind his bitter past: "Then take just spoils and sail at last / Out of the bad dream of your past" (79).

Hercules finishes his address by asking for respect (when the looting of Troy begins) for what the holy places represent. This last petition refers to

---

20 Sophocles uses the name of Heracles following the Greek tradition, but in Heaney's play he appears under the name of Hercules, which belongs to the Latin tradition and is much more familiar to a contemporary audience. Nevertheless, in his version, Heaney keeps the name of Odysseus, and not that of Ulysses.

21 Asclepius (Aesculapius in the Roman tradition), son of Apollo, was the god of medicine and healing.

the deference with which Protestant churches, which proliferated on the Irish landscape, were treated during the establishment of the Irish Free State in 1921, and later on with the creation of the Republic of Ireland in 1949. The Irish, most of whom are Catholic, allowed the presence of the churches which belonged to the Protestant faith. It should be remembered that the Irish constitution of 1937 establishes Catholicism as the religious creed of Ireland although it allows for the existence of other religious beliefs.[22] This is important since, unfortunately, Catholics in Ireland were ill-treated for a very long time, and Heaney wants to implicitly highlight this fact:

> But when the city's being sacked
>
> Preserve the shrines. Show gods respect.
>
> Reverence for the gods survives
>
> Our individual mortal lives. (79)

In Sophocles' play, respect towards the holy places in Troy is referred to as follows:

> But remember this,
>
> when you come to sack that town, revere the gods.
>
> All else our father Zeus thinks of less importance.
>
> Holiness does not die with the men that die.
>
> Whether they die or live, it cannot perish. (Sophocles 276)

In connection with Heracles' words, Heaney wrote, "Hercules' speech at the end (which I transpose to the Chorus) is an expression of recognition which Philoctetes has repressed: in other words, the Chorus is the voice of his unconscious" (2002: 173).

Having concluded Hercules' intervention, Philoctetes shows his satisfaction with what has been said and agrees to fulfil the command:

---

22 The Constitution of Ireland, in its preamble states: "In the Name of the Most Holy Trinity, from Whom is all authority and to Whom, as our final end, all actions both of men and States must be referred […]" (Constitution of Ireland / Bunreacht na hÉireann 2).
Article 44.1. 2º declares: "The State recognises the special position of the Holy Catholic Apostolic and Roman Church as the guardian of the Faith professed by the great majority of the citizens". In section 3, in connection with other religions, it says that: "The State also recognises the Church of Ireland, the Presbyterian Church in Ireland, the Methodist Church in Ireland, the Religious Society of Friends in Ireland, as well as the Jewish Congregations and the other religious denominations existing in Ireland at the date of the coming into operation of this Constitution" (144).

> Something told me this was going to happen.
>
> Something told me the channels were going to open.
>
> It's as if a thing I knew and had forgotten
>
> Came back completely clear.
>
> All that you say
>
> Is like a dream to me and I obey. (79)

Similarly, Neoptolemus also agrees and complies with: "And so will I." The Chorus hurries them to start the journey: "Then go, immediately. / The winds are blowing and the tides are high." At the end of the play, Philoctetes utters his last words when he is about to bid farewell to Lemnos:

> But I can't believe I'm going. My head's light at the
>
> thought of a different ground and a different sky. I'll
>
> never get over Lemnos; this island's going to be the
>
> kneel under me and the ballast inside me. I'm like a
>
> fossil that's being carried away, I'm nothing but cave
>
> stones and damp walls and an old mush of dead
>
> leaves. (80)

Philoctetes epitomizes the suffering of Ireland throughout history, but in Heaney's version he also symbolizes hope for the future, particularly that of Northern Ireland: "Philoctetes is part of the past and the future: he is what Ireland should be, one that can incorporate its past and sail into the future with a secure ballast, rather than a festering wound that hinders progress" (McDonald 1996: 136).

To conclude, Heaney designates the Chorus (Hercules) to mediate between God and the mortals, and express a legitimate wish to perform a change that can make peace possible. The wounds inflicted in the past, although impossible to forget, give way to a relatively promising future of confidence and progress. The last verses of *The Cure at Troy* ooze with the optimism that Heaney wants to convey:

> Suspect too much sweet talk
>
> But never close your mind.

It was a fortunate wind

That blew me here. I leave

Half-ready to believe

That a crippled trust might walk

And the half-true rhyme is love. (81)

3. *THE CURE AT TROY* IN THE NORTHERN IRELAND PEACE PROCESS

The Downing Street Declaration of December 1993 led to significant changes in political alliances in Northern Ireland.[23] The document was, in part, the result of conversations between John Hume and Gerry Adams:

> The discussion between Social Democratic and Labour Party (SDLP) leader John Hume and Gerry Adams, president of Sinn Fein (SF), led to a document in September 1993 that they said could lead to peace in Ireland. The Hume-Adams Document, in turn, influenced the Downing Street Declaration of December 1993, although Hume-Adams was significantly modified by the declaration in key areas, such as the need for the consent of the people of Northern Ireland before a United Ireland could come about. (Gillespie 2017: 242)

There was still a very long and tortuous road full of obstacles to reach the long-awaited peace. Yet the Declaration and, especially, the more frequent contacts and new political relationship between the different parties, led to the Belfast Agreement of 1998, popularly known as the Good Friday Agreement.[24] Although the violence was still quite prevalent for a long time, it started to decrease in intensity.

On 9 November 1989, after twenty-five years dividing the city of Berlin, a truly historic fact occurred: the fall of the famous and despicable wall. This event had immediate consequences in the following decade since it triggered many other transcendental changes in world politics such as the collapse of the totalitarian regimes in the Eastern bloc. By the summer of 1990, all communist leaders had

---

23 "On 15 December 1993, in Downing Street in London, Prime Minister John Major and Taoiseach Albert Reynolds issued the Joint Declaration on Northern Ireland. The Downing Street Declaration proved to be one of the central documents of the peace process" (Gillespie 2017: 98).

24 The Good Friday Agreement: "Settlement reached by all the major Northern Ireland parties, including Sinn Féin and excepting the DUP, in 1998. Reinforced the right of Northern Ireland to remain in the union with Britain until voted otherwise in a referendum. Set up institutional linkages between Northern Ireland and the Republic of Ireland, and between all parts of the British Isles. Also set police and equality reform in motion. Positively received by most nationalists at the time, whilst unionists were, and remain, bitterly divided. Also known as the Belfast Agreement" (Mitchell 2016: 146).

lost power, free elections were held, and the reunification of Germany took place. Finally, by the end of 1991, the Soviet Union ceased to exist.[25]

In February 1990 the release of Nelson Rolihlahla Mandela marked another historic event. Seamus Heaney, like many others around the world, was no stranger to the political situation in South Africa. In an interview during a visit to that country Heaney said: "I had a particular interest in South Africa in that I was involved with the anti-apartheid movement in Dublin for a number of years". Heaney describes Mandela's release from prison as "a memory-marking moment for anybody. The world was entranced with South Africa." When Mandela was freed Heaney was teaching at the University of Harvard (he alternated semesters between Harvard and Oxford), and at that particular time was totally absorbed with *The Cure at Troy*; Heaney himself describes that moment:

> I was translating a play called Philoctetes, about how a marooned man comes back and helps the Greeks to win the city of Troy. The play is really about someone who has been wounded and betrayed, and whether he can reintegrate with the betrayers or not. Human sympathy says yes, maybe political vengefulness says no, but the marooned man in Sophocles' play helps the Greeks who betrayed him to win Troy. It seemed to me to mesh beautifully with Mandela's return. The act of betrayal, and then the generosity of his coming back and helping with the city – helping the polis to get together again. (Johnson 2002)

In that same interview, Heaney, who had met Mandela in Dublin, said about him: "Of all the heroes, he's the great one. There's a great transmission of grace there – and, of course, great stamina to go with it".

It is pertinent to know Heaney's opinion regarding someone who symbolised suffering, and, more specifically, denoted freedom for millions of people. I firmly believe that there are numerous similarities and parallelisms between what happened in South Africa and Northern Ireland. It would obviously be necessary to spell out and contextualise the differences in the origin and the causes of the situations in both cases, but the consequences can be summarised in just a few words: the fundamental absence of civil rights. Hence, it is plausible to conclude that the Irish Catholics or nationalists, in a way, also suffered their own *apartheid* in Northern Ireland.

During the Northern Irish peace process there are a number of allusions by prominent political personalities to lines from Seamus Heaney's *The Cure at Troy* (77). Among them, it is worth mentioning the words uttered by the then president of the United States of America, Bill Clinton, whose role was

---

25 The dissolution of the Soviet Union officially took place on 26 December 1991. Mikhail Gorbachev, its last president, resigned and transferred all his powers to Boris Yeltsin, the first president of Russia.

decisive in the accomplishment of the Belfast Agreement of 1998, and who quoted them in a speech to the community in the Northern Irish city of Derry during his visit in 1995:

> History says, *Don't hope*
>
> *On this side of the grave.*
>
> But then, once in a lifetime
>
> The longed-for tidal wave
>
> Of justice can rise up,
>
> And hope and history rhyme.

Immediately after quoting those lines, Bill Clinton continued his discourse by saying: "Well, my friends, I believe. I believe we live in a time of hope and history rhyming. Standing here in front of the Guildhall, looking out over these historic walls, I see a peaceful city, a safe city, a hopeful city, full of young people that should have a peaceful and prosperous future […]" (1995). The American head of state placed emphasis on the word "hope" linking the past ("history, historic walls") with the time which is to arrive, as well as in the right of the citizens to be able to enjoy a future not only of peace but also of success.

The fact that Gerry Adams, the Sinn Féin party leader, chose the celebrated words *Hope and History: Making Peace in Ireland* as the title of one of his books, and after Bill Clinton himself had opted for *Between Hope and History: Meeting America's Challenges for the 21st Century,* for his book (1996), and, finally, Nadine Gordimer called hers *Living in Hope and History* (2000), show the extent to which those verses of *The Cure at Troy* "permeated the consciousness of public life" (O'Driscoll 2009: 62).

Another well-known political figure, Mary Robinson, quoted four words of Heaney's play at the end of her speech when she took office as president of the Republic of Ireland:

> May God direct me so that my Presidency is one of justice, peace and love. May I have the fortune to preside over an Ireland at a time of exciting transformation when we enter a new Europe where old wounds can be healed, a time when, in the words of Seamus Heaney, "hope and history rhyme". (1990)[26]

---

26 Inaugural speech by Mary Robinson as president of the Republic of Ireland in Dublin Castle on 3 December 1990. In her address she also quoted two other great Irish writers: James Joyce and W.B. Yeats.

Seamus Heaney dedicated this play retrospectively to the victims of the Omagh bombing, which took place on 15 August 1998 killing 29 people, two of whom were Spanish citizens, and left a trail of blood with hundreds of wounded people (McKittrick and McVea 2012: 261-262). "The Omagh bomb caused the largest number of deaths of any single event in the Troubles" (Gillespie 2017: 225). This massacre was perpetrated by the RIRA (*Real* IRA), a splinter group of the PIRA (*Provisional* IRA).

O'Brien's words summarize the feeling of the time: "It was no accident that, during the peace process negotiations, Heaney's words from *The Cure at Troy* became almost a catch-phrase: 'And hope and history rhyme'" (2005: 3).

4. CONCLUSION

I think the most outstanding feature of *The Cure at Troy* is that the play provides the framework in which Heaney presents and recreates the political and social problems in Northern Ireland for their visualization and analysis, while simultaneously proposing a solution, or at least, a possible and desirable hope to resolve those problems. In Heaney's words:

> [...] while there are parallels, and wonderfully suggestive ones, between the psychology and predicaments of certain characters in the play and certain parties and conditions in Northern Ireland, the play does not exist in order to exploit them. The parallels are richly incidental rather than essential to the version. The essential travail is change; the essential conflict the one that Neoptolemus exhibits, between truth of institution and the demands of solidarity, between personal integrity and political expedience. But still, of course, all that is very complicated: Philoctetes is 'cured' but cured into the very loyalty and solidarity which Neoptolemus had to flout in order to bring the cure about. The play, in fact, could be described in words that Yeats uses about his book *A Vision*: it is 'a stylistic arrangement of experience', an attempt 'to hold in a single thought reality and justice'. (2002: 175)

Solidarity and loyalty are recurrent topics, which are closely related in Heaney's poetry; these universal values are also present in his modern version of Sophocles' classical tragedy, and are epitomized by the characters of Neoptolemus and Odysseus: loyalty towards oneself in opposition to that of public loyalty; in other words, fidelity towards personal moral beliefs versus commitment to political or religious leanings of a given group, in this case the unionist and nationalist communities. Consistent with this view, and in relation to the political events derived from the Troubles, in an interview with Robert Hass, Heaney said:

> The whole deception strategy goes against Neoptolemus' nature, but, for the sake of the Greek cause, he cooperates. He lies to Philoctetes, but in the end he cannot sustain the lie.... Anyhow, the moral crunch of the play connects up with E.M. Forster's famous declaration that if it came to a choice between betraying his country and betraying his friend, he hoped he would not betray his friend. But that is not a Greek position. Nor an Ulster one, indeed. In the Northern Ireland situation, you feel stress constantly, a tension between your habitual solidarity with your group and a command to be true to your individual, confused and solitary self. But in crisis situations, as Odysseus knows, there is little room for the tender conscience. If your side wants to win politically, you all have to bond together. And that bonding can strangle truth-to-self. So it was the overall situation of the play that I translated. (Heaney and Hass 2000: 22)

Fortunately, the values of personal loyalty towards oneself prevail in *The Cure at Troy*. In addition to its intrinsic artistic value, it has become a quintessential symbol and a hymn of hope for the two opposing communities and it has contributed – in as much as a literary work can change the world[27] – by forestalling decades of violence, and mitigating the fanaticism, bigotry, sectarianism and hatred in Northern Irish society. Heaney's version possesses a high degree of political content which acknowledges the pain and suffering of both communities. During the performance of *The Cure at Troy*, Heaney said in an interview that he was not a political writer and he did not believe that literature was a means to solve political problems (O'Driscoll 2008: 382).

Nevertheless, for Heaney the written word has a fundamental responsibility: it serves the purpose of informing and forging people's beliefs: "When I was young, the spiritual directors used to talk about the necessity of an 'informed conscience' – as opposed to culpable ignorance. […] The detached, disinterested quality of poetry is what's informative of both understanding and stand-off". To clarify these words Heaney resorts to the following analogy: "[…] poetry is like the line Christ drew in the sand, it creates a pause in the action, a freeze-frame moment of concentration, a focus where our power to concentrate is concentrated back upon ourselves" (382-383). I believe that Heaney's standpoint is plausible; based on the knowledge of certain facts, each individual is responsible for interpreting the situation and for acting conscientiously.

Finally, Heracles' intervention was essential for Sophocles' play since, by virtue of Zeus' decree, it put an end to the impasse and therefore preserves the traditional myth regarding the end of the Trojan War. Had Philoctetes not gone to Troy, the

---

27 "Shelley made the idea of poetic afterlife the climax of his *Defence of Poetry*. Poets are 'the unacknowledged legislators of the world' [...] If 'unacknowledged' means 'unconscious', then even while their writers are alive poems are doing their work outside and beyond the scope of their authors" (Morton 2006: 35).

war would not have ended. Hercules' intervention is essential for Heaney too, as it is fitting to his theme concerning Northern Ireland. The characters, especially Neoptolemus, battle with themselves regarding their prejudices towards each other. Similarly, the people in both communities hold the solution to the Northern problem. If they have the strength to face the struggle of identity and integrity, progress can be achieved.

This note of hope is, in my view, the corollary of *The Cure at Troy*, which not only manifests an undeniably ecumenical spirit but exemplifies Heaney's desire to foster peace, while accentuating a conciliatory and harmonious message to the two communities: unionist and nationalist.

REFERENCES

Auden, W. H. 1964. "As I Walked Out One Evening". Poem. *Collected Shorter Poems 1927-1957*. New York: Random House. 85.

Clinton, W. "Remarks to the Community in Londonderry, Northern Ireland". 30 November, 1995. <https://www.gpo.gov/fdsys/pkg/PPP-1995-book2/pdf/PPP-1995-book2docpg1809.pdf>. (Accessed 20 April 2018)

Constitution of Ireland / Bunreacht na hÉireann. 1956. Printed under the authority of the Stationery Office. Dublin: Cahill & Co., Parkgate Printing Works.

Gillespie, G. 2017. *Historical Dictionary of the Northern Ireland Conflict*. 2nd ed. Lanham, Maryland: Rowman & Littlefield.

Hanley, B. 2015. *The IRA: A Documentary History 1916-2005*. Dublin: Gill & Macmillan.

Heaney, S. 1966. *Death of a Naturalist*. London: Faber and Faber.

Heaney, S. 1993 (1972). *Wintering Out*. London: Faber and Faber.

Heaney, S. 1975. *North*. London: Faber and Faber.

Heaney, S. 1979. *Field Work*. London: Faber and Faber.

Heaney, S. 1980. *Preoccupations: Selected Prose 1968-1978*. New York: Farrar, Strauss and Giroux.

Heaney, S. 1983. *An Open Letter*. Derry: Field Day Theatre Company, Pamphlet No. 2.

Heaney, S. 1990. *The Cure at Troy: A Version of Sophocles' Philoctetes*. Limited edition of 500 copies, numbered and signed by the author. Derry: The Field Day Theatre Company.

Heaney, S. 1995. *The Redress of Poetry: Oxford Lectures*. London: Faber and Faber.

Heaney, S. 1996. *The Spirit Level*. London: Faber and Faber.

Heaney, S. 2002. "*The Cure at Troy*: Production Notes in No Particular Order". *Amid Our Troubles: Irish Versions of Greek Tragedy*. Eds. M. McDonald and J. M. Walton. London: Methuen. 171-180.

Heaney, S. and R. Hass. 2000. *Sounding Lines: The Art of Translating Poetry. Seamus Heaney and Robert Hass in Conversation*. Doreen B. Townsend Center for the Humanities. Occasional Papers Series, 20. Berkeley: California.

Homer. 1991. *The Iliad*. Trans. Robert Fagles. New York: Penguin Classics. [Originally written circa the 8th century BC].

Johnson, S. "Seamus Heaney: 'Hope is something that is there to be worked for.'" *The Independent*. 31 October 2002. <http://www.independent.co.uk/arts-entertainment/books/features/seamus-heaneyhope-is-something-that-is-there-to-be-worked-for141727.html>. (Accessed 7 April 2018)

Kiberd, D. 2018. *After Ireland: Writing the Nation from Beckett to the Present*. Cambridge, Massachusetts: Harvard University Press.

McDonald, M. 1996. "Seamus Heaney's *Cure at Troy*. Politics and Poetry". *Classics Ireland* 3: 129-140.

McDonald, M. 2002. "*The Irish and Greek Tragedy*". *Amid Our Troubles: Irish Versions of Greek Tragedy*. Eds. M. McDonald and J. M. Walton. London: Methuen. 37-86.

McKittrick, D. and D. McVea. 2012. *Making Sense of the Troubles: A History of the Northern Ireland Conflict*. London: Viking, Penguin.

Mitchell, C. 2016. *Religion, Identity and Politics in Northern Ireland: Boundaries of Belonging and Belief*. London and New York: Routledge.

Morrison, B. 1993. *Seamus Heaney*. London and New York: Routledge.

Morton, T., ed. 2006. "Receptions". *The Cambridge Companion to Shelley*. Cambridge, New York: Cambridge University Press. 35-42.

Northern Ireland Statistics and Research Agency. "Census 2011 Population Statistics for Castledawson Settlement". <https://www.nisra.gov.uk>. (Accessed 29 April 2018)

O'Brien, E. 2005. *Seamus Heaney: Creating Irelands of the Minds*. Dublin: The Liffey Press.

O'Driscoll, D. 2008. *Stepping Stones: Interviews with Seamus Heaney*. London: Faber and Faber.

O'Driscoll, D. 2009. "Heaney in Public". *The Cambridge Companion to Seamus Heaney*. Ed. B. O'Donoghue. Cambridge: Cambridge University Press. 56-72.

Robinson, M. "Address by the President, Mary Robinson, on the Occasion of her Inauguration as President of Ireland". 3 December 1990. <https://president.

71

ie/en/media-library/speeches/address-by-the-president-mary-robinson-on-the-occasion-of-her-inauguration>. (Accessed 20 August 2018)

Sophocles. 1984a. "Antigone". *The Three Theban Plays: Antigone, Oedipus the King, Oedipus at Colonus*. New York: Penguin Classics. Trans. Robert Fagles. 55-128. [*Antigone* originally performed circa 441 BC].

Sophocles. 1984b. "Oedipus the King". *The Three Theban Plays: Antigone, Oedipus the King, Oedipus at Colonus*. New York: Penguin Classics. Trans. Robert Fagles. 155-252. [*Oedipus the King* originally performed circa 429 BC].

Sophocles. 2013 (1953). "Philoctetes". *The Complete Greek Tragedies*. Eds. M. Griffith and G. W. Most. Chicago: The University of Chicago Press. Trans. David Grene. 207-277. [*Philoctetes* originally performed circa 409 BC].

Storey, I. C. and A. Allan, eds. 2014. *A Guide to Ancient Greek Drama*. 2nd ed. Chichester, West Sussex: Wiley Blackwell.

Vickers, M. 2008. *Sophocles and Alcibiades: Athenian Politics in Ancient Greek Literature*. Ithaca, New York: Cornell University Press.

Yeats, W. B. 1989. *The Collected Poems of W.B. Yeats*. Dublin: Gill and Macmillan.

Zimmermann, B. 1993. *Greek Tragedy: An Introduction*. Baltimore and London: The John Hopkins University Press. Trans. Thomas Marier.

POSTHUMANIST TRAUMA: AN INTRASECTIONAL APPROACH TO ACCOUNTABLE DETERMINACY IN CURRENT NORTH AMERICAN NARRATIVE

Miriam Fernández-Santiago
Universidad de Granada
mirfer@ugr.es

ABSTRACT. *How can we deal with trauma in a posthuman world? The 9th of September 2001 will be remembered as the day the world changed. The turn of the century in the Western world was signaled by this national trauma, but also by a change in the humanist paradigm that very much conditioned the way in which such trauma was experienced and represented. This article explores this intrasection in the works of Thomas Pynchon and Art Spiegelman as they struggle to account for 9/11 through two trauma narratives that signal a matching change in aesthetic approach. Its methodological innovation lies in the application of Karen Barad's concept of "intra-action" to the humanities.*

Keywords: Intra-action, critical posthumanism, trauma studies, 9/11, accountability, North American narrative.

Miriam Fernández-Santiago

TRAUMA POSTHUMANISTA: ENFOQUE INTRASECCIONAL DE LA DETERMINACIÓN RESPONSABLE EN LA NARRATIVA NORTEAMERICANA ACTUAL

RESUMEN. *¿Cómo lidiar con el trauma en un mundo posthumano? El 11 de septiembre de 2001 se recordará como el día que cambió el mundo. El cambio de siglo en el mundo occidental quedó señalado por este traumanacional, así como por un cambio en el paradigma humanista que condicionó en gran medida el modo en que dicho trauma se experimentó y se representó. Este artículo explora cómo intraseccionan los trabajos de Thomas Pynchon y Art Spiegelman al intentar representar el 11S a través de dos narrativas de un trauma que marcan un cambio de enfoque estético. Su innovación metodológica reside en la aplicación del concepto de "intra-accion" de Karen Barad al campo de las humanidades.*

Palabras clave: intra-acción, posthumanismo crítico, estudios de trauma, responsabilidad, 11S, narrativa norteamericana.

In 2015, Professor Francisco Collado Rodríguez called my attention to the growing relevance of posthumanism in the context of trauma studies. Although his main interest in this intersection involved the definition of the narrative self in twenty-first-century North American fiction, my personal findings in the field of agential materialism suggested that such intersection would be better explored if it included textual aspects beyond the narrative self, since both paradigms (trauma and posthumanist studies) explored the redefinition of the human self beyond limits of the merely human such as the instrumental mediation/extension of the self and the possibility of objective reality.

The present essay develops a critical elaboration that articulates this intersection through a sketch of its literary genealogy. I illustrate this elaboration with a comparative discussion of the narrative form that this intersection takes in Thomas R. Pynchon and Art Spiegelman's most recent novels: *Bleeding Edge* (2013) and *In the Shadow of No Towers* (2004). It could be argued that both works are articulated around the common theme (object) of the trauma of the 9/11 terrorist attacks on the World Trade Center, the common instrument of posthumanist approach, and the common concern for the subjects who experience trauma through a posthumanist prism. Yet I contend that their narrative practice in both cases illustrates the *intrasection* of these elements rather than their intersection, since they question the preexisting difference between them by blurring the categorical borders of trauma, artifice and subjectivity.

My critical frame attempts to explore the intrasectorial genealogy of these three participants through a selection of texts where such genealogy becomes

most evident, and that are widely considered as landmarks in the development of Western thought along the time vector that leads to the concerns of the present critical and historical moment. I begin with an outline of the main concerns of each of these elements as if they preexisted and had not always been entangled with each other so as to better reveal the nodules where they intra-sect. This should show their emergence in intra-active relation with each other. In order to be able to do that, I also briefly present the main difference between the interactive and intra-active models in the context of material realism (or agential materialism) as developed by Karen Barad in 2007.

To put it as simply as the idea would allow, Barad elaborates on the objectivity/complementarity debate that confronted theoretical physicists Niels Bohr and Albert Einstein since the fifth Solvay Conference (1927). The main point of contention lies in the preexistence (or not) of the basic, minimum elements taking part in an experiment; the *subject* who conducts the experiment, the *instrument* used for observation and the *object* that is observed. While Einstein contended that all of them preexist their encounter during the experiment, Bohr argued that the differences among them emerge from the experimental encounter that determines them and the relations among them. To Einstein, the issue was related to the possibility of knowing reality, not to the possibility of determining the existence of reality. To Bohr, the fact that experimental conditions alter the results of experiments meant that these conditions cannot in fact be determined until the results are obtained. Roughly put, this implies that despite conditions existed before the experiment, they were not the conditions determined by and determining the experiment. The subject, instrument and object of the experiment did not therefore interact during the experiment (which would imply that they pre-existed it) but intra-act during the agential cut that determines their difference as subject, instrument and object (they result from the experiment). Barad contends that Einstein's model is based on reflection, whereas Bohr's is based on diffraction (wave interference). Although it was a mainly theoretical argument in 1927, recent findings on experimental physics have proved that it was Bohr, and not Einstein, who was right.[1]

One of Barad's merits in this debate is developing a physical theory that Bohr (perhaps intentionally) left incomplete by trying to apply her own approach to the issue. This task proves to be particularly difficult in explaining the way that complementary phenomena are determined into difference. The complementary, intra-active, diffractive character of phenomena makes it necessary to think of matter determinacy as self-agential. When the idea is put in the simpler terms

---

[1] For a full discussion of this particular issue, see Barad (2007: 137-161).

of ecofeminist theory, pseudo-animist concepts such as agential matter, the spirit of matter or intelligent matter are used.[2] But what Barad implies is not the conscious intelligence of a preexisting matter. She rather suggests that the order in which matter becomes determinate in its difference is created by every intra-action and did not preexist such intra-action. As she struggles to advance Bohr's theoretical concept of *phenomenon* towards the idea of the agency of matter, she needs to reject Einstein's reflexive, imitative, reiterative, objectivist model. However, she paradoxically claims that phenomena are iterative. This assertion, which Barad merely mentions without furthering its possible implications, is an important impediment for the intra-active model, yet one that might possibly help to determine more clearly the most vaguely defined concept of the "agency" of matter.

Another of her merits is bringing up one the consequences of Bohr's model for the humanities: the non-distinction between matter and information. Although most of the debate around agential materialism is mainly and currently related to ecofeminism, the fact that matter and information stand in a complementary—not supplementary—relation is crucial for posthumanist studies as they develop some of the key issues that concerned poststructuralism in the second half of the twentieth century, but also as it intersects with the reconceptualization of the human being in a posthuman and transhuman context.

If, in the spirit of relativist objectivism, I approached my question as an intersectional scientific experiment, I would have to define the subject of such experiment as the Western subject; the instrument of analysis as critical posthumanism and the object of study as trauma narrative. But such is certainly not my spirit, since it would be stubborn to stick to a disproved scientific theory while having all the unexplored possibilities of the validated one at reach. During the intra-action that must be previous to the determination of experiment participants, the limits that qualify them as different are still not very clear (indeterminate) because their differences have not been agentially cut yet. So as these differences are intra-actively cut, the Western subject and posthumanist criticism sometimes appear like the object of study, while narrative, trauma studies and the concept of the Western self occasionally take the shape of instrumental accessories. Similarly, trauma narratives and posthumanist criticism seem to be mainly concerned with issues of subjectivity (its nature or de-construction and naturalization). But let us begin with our.

---

2   See Bennett (2010), and Braidotti (2013).

1. SUBJECT

The first human being in the Judeo-Christian tradition was created as a natural being, although it might be more precise to use the term "constructed" since it was shaped out of a piece of clay. By "natural" here I refer to the fact that he was like the rest of God-created, natural beings in all aspects but one; that unlike the rest of natural beings, Man was the sole name-giver. While this function of the natural man first appears as a continuation of God's creative project and therefore justifies the otherwise unjustified assertion that of all created creatures, Man was the only one that was similar to God, the main difference between Man's and God's language is that unlike the later, the former is not intrinsic to (same as), but an artificial *supplement* to natural creation. At this point in creation (6th day), Man is the holder and giver of linguistic artifice, but he is not artificial himself; he is still a natural Man; un(self)conscious, unaccountable subject.

The first difference between the human subject and the natural Man (what separated him from the natural creation around him) was the sin of self-awareness, by which Adam and Eve, for the first time, see themselves from God's perspective as lacking in an artifice that belongs in them or rather, *on* them; their clothes. In the Judeo-Christian tradition, Man becomes human (defined as self-conscious subject, subject to the law, accountable for their sins) when Adam and Eve realize they are naked. Their humanity is then related to this embarrassment of having lost something that would restore their human wholeness, but that, paradoxically, they did not need to be whole in the first instance (before they were human subjects). I guess it might be safely argued that the birth of humanity in the Judeo-Christian tradition is inexorably linked to the self-consciousness of a loss, or of self as *loss*.[3] The paradox lies in the fact that what human beings miss to complete the picture of their lost natural wholeness is not natural, but artificial. When human beings gain consciousness of themselves or self-consciousness, the artificial is already entangled in this self-consciousness. The Judeo-Christian human is already a *moral* subject,[4] an already prosthetic being, a sinner against natural(ized), divine law.

Along the development of Christianity and roughly until the advent of the scientific paradigm in Modernity, the discriminating subjectivity of Man was (a)

---

3 My use of this word must be understood within Dominick LaCapra's study of historical trauma (2001: 50-53). While the natural man lacks humanity, the human subject experiences humanity as a loss of artifice. This implies that what makes Man human is not the gain in artifice, nor the lack in nature, but the willful amputation of the artificial from the natural that premises humanity as inherently prosthetic.

4 Morality, or the sense of sin, is intrinsically linked to humanity in the Judeo-Christian tradition, where the *original* sin involves the self-amputation of the artificial from the natural. Humanity is thus rooted in a self-inflicted trauma (not on the natural Man, but on the human subject).

located in the immaterial transcendence of the human soul, a Platonically-inspired, natural given that was prosthetically supplemented by the immanent human body. While the material body was temporal and therefore not inherent to the transcendental self, the transcendental self was still accountable for this prosthetic body, where sin was conveniently located, and through which the transcendental soul could be purged from sin. Still, despite the apparently extrinsic nature of this human body, the resurrection of the dead includes the Jesus-led resurrection of the flesh too.[5]

In abandoning the spiritual paradigm as a source of social organization for the scientific one, modernity turned to La Mettrie's 1747 mechanistic vision of man. As La Mettrie applies the laws of Natural Philosophy to the (medical) study of the human being, the technological metaphor that sees the universe as a coherent and cohesive machine is also extended to the new conception of man in which the transcendental soul is displaced by the exclusively–and mechanically elusive—human faculty of reason. Although La Mettrie's machinical model seems to displace the human natural from the picture, it is in fact representing the whole of nature as mechanical (ruled by the laws—mechanics—of Natural Philosophy). What distinguishes the human from the natural automaton in this Enlightened context is not a moral or spiritual, but a rational quality that rises man above the merely mechanical to an ideal, universal, logical or mathematical Sublime.

Common to all visions of humanity so far, is the anthropocentric supremacy over living and non-living beings that is based on the prosthetic compensation of a transcendental absence lying at the very constituency of the human being as subject to moral, spiritual or rational imperatives. Common to all of them is also human self-consciousness as a moral, spiritual and rational prosthesis to the natural being that the human subject is superior to precisely because of the intrinsic disability that makes human beings prosthetic beings.

In its epics of independence from God, the Romantic subject emerges from the struggle to create himself free from divine intervention (and rule), which they do by the necessary paradox of drawing their own subjective liminality. In his *Phenomenology of the Spirit* (1807), Georg Hegel would claim that the human self emerges as self-conscious only in meeting with someone other than himself that can reciprocate the acknowledgement of the self's existence. This requirement

---

5   The same pattern is repeated here, by which moral transcendence is dependent on the instrumentalization of artificial immanence. The transcendental self depends on the amputation of its bodily prosthesis, which becomes most obvious in the negative way of the mystics (e.g. St. John of the Cross) and develops into René Descartes's midway between Reason and Spirit (his *cogito ergo sum* is instrumental in this logical deduction of the soul).

of mutual recognition is not however, to Hegel, restricted to exclusively human otherness. In his *Lectures on Fine Art* (1835-38), Hegel confronts human self-consciousness not with a reciprocating human other, but with the concrete form that this thinking consciousness takes when drawn or projected out of the self so that the self can look at it. The self-consciousness that distinguishes the Hegelian subject from the *natural* Man that they were before becoming a subject is based on their liminality, which is instrumental in the cases of both human and non-human alterity, but a craft only in the case of non-human alterity. Moreover, also specific of non-human alterity is that it is a supplement to human self-consciousness that was initially drawn from the non-conscious or natural Man. This artifice can be understood as the *pharmakon* for the self-inflicted damage (trauma) of self-consciousness.[6] The Hegelian self-conscious subject is therefore a prosthetic being that adds artificial humanity to a damaged natural Man the same as sin adds freewill to the moral Man and the mechanical body adds Reason to the human Spirit.[7]

Contrary to previous (Platonic) ideas of mimesis, what is specific of Hegel's Aesthetics is that he considers human-made artifacts to be superior to natural creations because unlike the latter, the former are intentional (did he mean moral, non-random?).[8] Yet, paradoxically, the artificiality of human aesthetic output has a higher quality the more dissimulated or naturalized its artifice is (the more seemingly purposeless?, the more seemingly random?, the more transparent?).[9] For the full consciousness of the Hegelian Spirit, the *dissimulated* prosthesis is a *conditio sine qua non,* which seems to imply that the transcendental human subject is pro- and ae-sthetic—a willful addition to a willful subtraction. The Hegelian aesthetic sublimation or Human Spirit is based on the artificial dissimulation of this artifice that, however, should cease to operate as the human self loses sight of the dissimulated subtraction/addition process.

---

6 The connection between the posthuman prosthetic and trauma studies becomes most obvious in the context of Jacques Derrida's "Plato's Pharmacy," where artificial writing is represented as a supplement of (lost) memory (1968; 1981). The process of human self-amputation of memory is most evident in Derrida's reading of Plato's writings.

7 It must be noticed that these differences only become definite after traumatic self-amputation, which, strictly speaking, means that trauma is the quality of moral, spiritual and rational humanity, not of the amoral, natural, unself-conscious Man.

8 This superiority is based on premising human supremacy, and understanding humanity as the self-conscious exercise of freewill in inflicting self-amputation.

9 Self-amputation (drawing artificial otherness out of the self) is a condition for the natural Spirit that allows the human being to exist self-consciously in Sublime spiritual connection with the whole of nature.

2. CRITICAL POSTHUMANISM

Critical posthumanism (Herbrechter 2013) is based on an aesthetic objectivist (Einstenian) search of scientific truth that resists dissimulation (relativism, perspectivism) as it also intersects with the realization that the (humanist) declared independence from God and sin makes humans dependent on artifice (instrument, point of view) in return. Within this frame, humanist dystopias emerged along the 20th century that challenge the humanist utopia (based on dissimulation) by portraying human subjectivity as subject to linguistic (representative, in general) technologies such as the Lacanian development of psychoanalysis, Marxist superstructures, and diverse—phenomenological, formalist, genealogical, structuralist and deconstructivist—claustrophobias (Derrida's "iln'y a pas d'hors text(e)")—that minimize human freewill and agency, and force man to imagine humanity as 1) prefabricated construct (Benjamin) or 2) the simulation of an imagined humanity (Baudrillard).

In both cases I diagnose a supremacist *angst* by which the human being seeks to expand themselves by exercising more force on the (preexisting or drawn from themselves) external physical environment than the force that such environment exercises on them. Yet the harder they push, the stronger the resistance they find (Hegelian humanist version of Newton's Third Law of Motion; the more the human draws from themselves, the more they need to add). The hybrid model (conceptualized by Haraway through the metaphor of the cyborg) that proposes a midway (Anglo-Saxon *middle-earth*, the location of humanity) between nature and artifice, or self and other, is still based on their essential difference and does not resolve the humanist paradox. The critical posthumanist approach proposes paradox as a practical critical model: it takes the cyborg hybrid as a naturalized reality (by means of suspension of disbelief) for practical reasons, while pointing at its artificial character (disbelief) for critical reasons.

This model is familiar to all fictional representation (essentially Cervantine), and makes *critical* self-consciousness the defining quality of the posthuman subject. In terms of Quantum Physics, it describes the wave behavior of light as uncertainly particular (resolves the wave-particle paradox through uncertainty, and is therefore objectivist and relativist). It is also a reflection of the parliamentary political model by which citizens accept the law they make as natural (just) while they also accept that it can be both *enforced and questioned*. This model for justice (or moral order) is also utilitarian in that it enforces the numerical superiority that dissimulates the democratic underlying metonymy by disregarding difference and minimizing the individual subject (while this individual subject still remains the basis of democracy). The resulting minimization dissimulates the qualitative impact of the individual by the rhetorical figure that guarantees their quantitative

participation in democracy. Aesthetically considered, the democratic model dissimulates its rhetorical artifice to justify itself by the apparent naturalization of a quantitative metonymy. The result is the aesthetic devaluation of quality in favor of a quantitative leveling or uniformization of differential individuality.

The Romantic Subject or genius, the Napoleonic, Nietzschean hero or his evolution or involution towards the totalitarian leader in twentieth-century populist regimes—both at the left and right of an imagined center—is also erased from the aesthetic and political ideal (resulting in the current model of the political leader as an everyday (wo)man; a quantitatively representative rather than qualitative, leading political figure). Against this necessary prosthetic naturalization, critical posthumanism proposes critical self-detachment (disbelief) as the last paradoxically artificial den of the human, individual subject in the hope that double negation cancels the double deviation into a positiv(ist) result. Critical posthumanism demands a self-conscious use of rhetoric that acknowledges the rhetorical quality of rhetorical artifice. The critical posthumanist subject acknowledges their (moral and amoral) *responsibility* in *necessarily* inflicting damage on their traumatized self.

3. TRAUMA

a storm is blowing in from Paradise

W. Benjamin, 1940

Trauma narratives (notice the nature/artifice oxymoron in the phrase) are articulated around a similar paradox that confronts the subject with the naturalized artifices of human identity and memory. The difference in this case lies in the fact that trauma studies make a case of time and space as variables in a more visible (less dissimulated) way than the synchronic/ubiquitous approaches of Christianity (eternalist) and Modernity (universalist). The difficulty of narrating human identity along temporal difference is also based on Hegelian aesthetics in the sense that the present subjective identity is defined against the remembered past and imagined future that the human subject draws from themselves. The dissimulation of this artifice suspends the disbelief in the naturalization of the present self, but also renders this self as lacking, since the dissimulated past and future haunt them as remembered ghosts or promises respectively (either utopian or dystopian). The dissimulation of both artifices has been theorized by LaCapra as forms of discursive (historicist, ultimately narrative) acting-out trauma that include dislocation and compulsive iteration of past damage in the here-now and the promise of redemption in the future. In both cases, the present self is necessarily rendered as traumatized or lacking an original (remembered) or

resulting (projected)[10] subjective identity the naturalization of which is artificially dissimulated.

Trauma studies appear in this post-humanist context as an expression of the social dystopia that represents a technologically oppressed human self, matching naturalized utopias. These naturalized utopias represent the past or future humanist freedom of the Hegelian, Romantic Spirit that Theodor W. Adorno would theorize as the promise of art or the artistic *promise*. The very word "trauma" is a biological metaphor that metonymically extends to the subjective sphere through the discursive path of psychoanalysis, to the social sphere through the discursive path of Marxism, or to the scientific-technological sphere through the mechanicist path of Julien Offray de La Mettrie's machinical model for the soulless Man. Deprived of Soul, the humanity of the mechanical (merely biological) human self is found in the mind, which is taken to be the physical and relational (social) location of reason.[11] The mechanicist metaphor allows bridging a gap between the physical damage inflicted on the body and the psychological damage inflicted on the mind—where the Freudian self still resides.

This model replaces the moral imperative of sin given by God (identifying the natural and legal, physical and discursive) through the medical metaphor of health. While the physical model premises that traumas (loss of health) exist and can seek the restoration of health in relation with the (discursive, socially constructed and then naturalized by iteration of the rational and universal proportion of the aural number) Vitrubian model of human perfection (masculinity, ability, youth, and functionality among other vectors), mental health is based on the construction of a naturalized simulacrum that is displaced from the present traumatized (subtracted) self by locating it at some arbitrary and vaguely defined moment in the past and/or future. The past self is thus constructed from the present as an idealized whole of the human self (that Hegel would, however, still deprive of consciousness, just like Freud did with the id) that haunts (like the perfect model of old King Hamlet the Father) the present, traumatized, liminal self (marked by the loss that this self-simulacrum causes in them).[12]

The possibility of the project to restore mental health (and by extension, social health) after physical (and historical) trauma finds two paths for completion.

---

10 In both cases, imagined, artificial, metonymical.

11 Unsurprisingly, the humanist rational model can also be traced back to its ancient Greek roots through the metaphor of the human body as the personification (naturalization) of aristocratic social organization (mind-heart-guts).

12 e.g. Prince Hamlet as a modern self is already a cyborg, a psychologically dystopian (mad) monster that cannot naturalize himself back to completion (mental health) because he needs the artificial ghost of his father to (be)come Prince (not king) Hamlet.

One is the naturalization of the artifact, which does not resolve trauma, but rather heightens it. LaCapra typifies this path as narrative of redemption or destruction.[13] The other one is incorporation/restoration of trauma to the self as part of the self, a critical self, a cyborg hybrid that does not restore health, but performs a healing function through a discursive prosthesis that acknowledges its artificial character. This discursive prosthesis also incorporates (back) that internal difference to the re-constitution of the Hegelian Spirit, which makes a new prosth-et(h)ical and pro(ae)sthetic Sublime and serves as critical model for critical posthumanism. While this cyborg gains organic function, it still remains cybernetically self-conscious. It is not naturalized (dissimulated), but artificially discursive, and *intra-acts* rather than *inter-acts* in the construction of a self that can only look back at difference (become determinate) in retrospect (like Benjamin's 1940 interpretation of Klee's *Angelus Novus* in his 9th thesis on the philosophy of history).

Yet for critical posthumanism, the ethical or moral issue is ultimately unresolved, since the prosthetic proportion remains similarly undetermined (not undecidable or unknowable), except retrospectively. The moral issue or idea of sin is still rooted in the Christian (Jewish) frame of freewill—which posthumanist ecology has recently reformulated as "agency"—and a causalist, scientific frame that is the ultimate limit through which the (post)human self seeks self-consciousness: the future or horizon of events. Once more, the prosthetic discursive technology of the past, and present demanding pressure of a linear conception of time (that is traced in causal, social Darwinist, and liberal evolutionism as a continuation of biblical eternalist predestination) technologically pushes (looks back at) the postMan from the Unknown, Sublime future.

Democratizing or relativizing ethics does not solve the question of quality (proportion) because even psychoanalytic desirability (*id*) is based on a dissimulated, naturalized construct that the posthuman Spirit cannot suspend in disbelief anymore. Humanist solutions involve utopian/dystopian dissimulation, while the critical posthumanist option should incorporate (all?) the still undetermined possibilities that are faced by the Modern tragic hero at the intra-active (present) moment of indecision between amoral freewill and the tragic notion of destiny.

---

13 Shakespeare would tragically choose the last one as the only possible way to achieve the former, anticipating Hegel and Friedrich Nietzsche. Thus, Prince Hamlet must also die and become Horatio's ghost, while president George Bush Jr. would seek to restore national health after 9/11 through the war against international terrorism; promising to heal the World Trade Center trauma with poisonous *pharmaka*.

4. INTRA-ACTION AND ITERATION

Going back now to Barad's agential realist model and its problem with iteration, while the constructed nature of historical discourse is not particularly brought into LaCapra's discussion between acting-out (repetition) and working-through trauma, the incorporation of critical distance and empathic unsettlement to processes of working-through are elements that also incorporate time to the trauma narrative equation. The critical distance allowed by the passing of time does not only evidence a change in perspective in relation with past events, but also a suspicion about the supposed reliability of remembered memories as much as of the supposedly detached critical distance of the here-now. Since both are suspicious of incorporating artifice to the naturalized narrative of traumatic experience, the critical distance that detaches the traumatized self from their past experience allows them to look at that their past self as (an)Other narrated self that exists in the same plane as perpetrators, thus causing in them empathic unsettlement in the process of positioning the subject's present point of view in relation with their past Other. The narrated past self is split from the narrative voice by virtue of the narrative artifice of which the past self is already an indeterminate part; a narrative artifice that the present narrative voice draws out of *itself* to determine its (post)human identity as *it* works through trauma in the here-now.

The naturalization of the rhetorical artifice that acts out past/distant traumas as if they were occurring in the here/now ultimately targets the aesthetic Sublime that incorporates the physical other to the narrated self. This aesthetic Sublime has been theorized as a psychological effect of trauma (Caruh 1996) or in Marxist terms, as the social-material, super- and infrastructural conditions that silence the individual and collectives selves (Pederson 2014; Gibbs 2014; Whitehead 2004), and as a form of the Unutterable Sublime. In contrast with this, the narrative self that works through trauma is returned their humanity by virtue of a critical distance and empathic unsettlement that incorporates both iteration and agency in a complementary relation to the narrative phenomena. This narrative self will retain their humanity as long as they resist the temptation to naturalize it and acknowledge in the artifice that determines their humanity, a reciprocity (in terms of intra-active complementarity) that was previously (interactively) granted to other humans only.

5. *BLEEDING EDGE* AND *IN THE SHADOW OF NO TOWERS*. INSTANTIATIONS OF CRITICAL POSTHUMANIST NARRATIVE TRAUMA

Bleeding Edge and *In the Shadow of No Towers* are two literary products that share a common critical posthumanist view of the narrative self that emerges from

the narrative of the particular traumatic events of 9/11. It could be argued that 1) while the 9/11 trauma is the main thematic component (object of imitation) of both novels, both also articulate the narration of the subjectivities that experience such events, and that 2) both do that through the instrumental use of critical posthumanism (Herbrechter 2013). In both cases, theme and voice (narrative object and subject) are also complementary in their diffractive (iterative and agential, fractal) narrative determination, which includes narrative artifice as the instrumental medium in their diffractive phenomena. Their determination, however, can only be sensed in retrospect, since the novels offer an internal privileged view of diffraction before determination that is based on the temporary suspension of objectivist disbelief.

In the postmodernist tradition, intertextual, metafictional references typically point to the artificial, constructed quality of narrative that activates disbelief and disconnects the artificial from the human and the textual from the extratextual, causing an effect of relativist paranoid uncertainty. However, in these novels, intertextuality and metafiction are presented in diffractive, complementary, intra-active relation with the present (involving author, text and reader in their textual and extratextual intra-active contexts) narrated textuality, and the thematic object and subjective voice. The incorporation of intertextual metafiction in these novels does not only create a critical distance that denaturalizes the traumatic Sublime by pointing to its artificial quality. It also establishes an intra-active relation with the present trauma narrative in agential-iterative, complementary terms that are entangled with the extra-textual as well, conferring the critical posthumanist narrative an ethical role that makes *it* accountable.

In order to illustrate how this intra-action occurs, I bring into view the use that both Pynchon and Spiegelman make of intertextual metafiction in these novels. *Bleeding Edge* narrates the endeavors of the fictional character of the freelance fraud investigator Maxine Turnow six months before and after the attacks. The particularities that configure the character of Maxine, however, are carefully selected so that she has implausibly coincidental (overtly artificial) and privileged access to a diversity of perspectives on the 9/11 attacks, which qualifies her as an *everyman* (particular[14] but objective, in relative terms that initially seem to point to the paranoid uncertainty typically troubling the mind of Pynchonian characters). Also in a typically Pynchonian fashion, the novel's resistance to closure seems to have the double effect of suggesting that although it would not be possible for this everyman to resolve the uncertainty resulting from the relative perspectivism converging in her (Wallhead and Leissmer 2018), there is a conspiracy of some

---

14 I have analyzed the effects that the particularities of gender difference in the case of Maxine have in narrating national trauma (Fernández-Santiago 2019).

sort behind the attacks. In fact, it is suggested that it is precisely because she has access (though limited) to so many possible perspectives that it is impossible to choose just one of them.

With this approach, which Barad would qualify as typically Einstenian objectivist, the novel stands as a narrative instrument that interferes with the *mimetic* representation of 9/11 through the use of perspectivism. Although he narrative voice is that of an omniscient narrator, the perspective of the events narrated is *mainly* that of the phenomenological conditions used to portray Maxine as a character.[15] Rather than reflecting the events as they happened, the character of Maxine is evidenced as a narrative artifact that deflects such events, so that readers are forced to calculate the deviation of an imagined original narrative vector, and actively engage in (identify with) the mental processes through which the main character constructs the narrative. Yet I would like to emphasize that this perspective is *not the only one* rendered in the novel, which will make a significant difference. But I come back to this below.

In The Shadow of No Towers also represents the 9/11 attacks from the perspective of its main character, although, in this case, the narrative voice is an autobiographical projection of Spiegelman himself, who reconstructs his personal experiences of the attacks as he directly and indirectly experienced them through mass media. Although Spielgeman's construction of narrative voice in this case is autobiographical, the overtly caricaturesque features that he uses to depict himself in his novel (occasionally as a mouse in intertextual reference to *Maus*), together with the pressing relevance that he gives to the role of mass media in the overtly artificial *live* broadcasting of the falling towers and later contribution to constructing nationalist narratives of destruction and redemption, make a case of not dissimulating the rhetorical artifice deflecting the vector of an ultimately unutterable, traumatic Sublime. Like in *Bleeding Edge*, Spiegelman problematizes the interference that his own narrative voice causes in representing an event, the actuality of which—though untraceable to its totally mimetic, transparent account—is not questioned.

Going back to the italization of the adverb "mainly" mentioned above, although more subtle in Pynchon, the exception to the Einstenian, objectivist solution to the relativist uncertainty caused by narrative artificial interference with mimesis makes half of Spiegelman's novel, and extends to the design of the front and back covers of his work. Spiegelman's use of intertextual material is obvious from the first page, where he collages 1901 actual news from *The World* reporting a conspiracy to murder President William McKinley with his drawing of one of the

---

15 The use of perspective as the distinguishing difference between mimesis and narration has been theorized by Schmid (2010: 6-7).

Twin Towers in flames, while in the last page, the news from the early twentieth century fade in the background to make room for early twenty-first century, 9/11 related headlines. This frame is suggestive not only of history repeating itself, but also of mass media's dissimulated, artificial (naturalized), sensationalist rendering of the events. That the intention behind this overtly intertextual composition is to make mass-media sensationalism partly accountable for historical repetition is made clear by Spiegelman himself when he relates Pulitzer-Hearst's "distorted reporting of the Spanish-American War--America's first colonialist adventure" to their newspaper "fierce circulation war" (Spiegelman 2004: 11).

The thematization of the impact of mediation in narration is a crucial metafictional feature of Spiegelman's art that can be traced back to *Maus* (Spiegelman 2003). In his narration of surrogated trauma, as well as his first-person witnessing of 9/11, the narrative (and pictorial) construction of the community and personal post-traumatic self is overtly artificialized by the cumulative interference of diverse media and discourses (economic, political, historical, psychological, social, graphic, journalistic, fictional) with the ultimately unutterable (objective) mimesis of the traumatic Sublime. This perspectivist approach to narration is necessarily paradoxical in that it renders an image of the human that is doubly traumatized by the loss caused by the extratextual, historical trauma and the instrumental amputation of the artificial form that mediates and makes narration possible.

That Spiegelman calls attention to the double artificiality in the narration of, and through, the self is specially obvious when he dedicates ten pages of the total twenty-three that make the novel, to a "Comic Suplement," where he reproduces the actual plates of late nineteenth and early twentieth-century comic supplements published in diverse New York papers at the time (the Katzenjammer Kids, The Kinder Kids, Hogan's Alley and its Yellow Kid, the Happy Hooligan, the Kinder Kids, Upside Downs, Little Nemo, Bringing Up Father, and Krazy Kat) together with a two-page introduction to contextualize their history and relevance. What is so interesting in this supplement is not only that by juxtaposing his own graphic art to the New York comic classics, he is calling attention to the fact that his own work is part of this comic tradition. This also comprises a double-edged (also paradoxical) interpretation that points at the paradoxical relation between the artificiality of caricature and its allegorical, universal character.

Still more interesting though, is the fact that his selection of plates has the uncanny effect of advancing the diverse thematic elements of his narrative of 9/11 (terrorism and nationalism, the nightmarish falling of towers, the threat of the Muslim world, the war scare, the upside-down verticality of the crumbling towers, the shared traumatic experience of victims and perpetrators, and the city

of New York): "I tell you, some of those century-old crumbling newspaper pages seem like they were drawn yesterday!" (2004: 11), he comments. The pervading presence of these comic supplements is also interspersed in Spiegelman's own drawings and text (falling shoes, Spiegelman as Happy Hooligan or having dreams like Little Nemo, Bringing Up Father watching the 9/11 attacks live on TV, the upside-down Bush-led crowd, the Tower Twins, and amongst them, also mice).

The use that Spiegelman gives to this overtly metafictional intertextual pervasiveness suggests an intention beyond the mere problematization of the constructiveness of memory and the paranoid effects of its resulting uncertainty, which also seem to go beyond the fatalistic stance that renders history as cyclical. Moreover, the pervasiveness of these intertextual references suggests an active role in the construction of Spiegelman's narrative, which is not only relativized by constructing it against them, but *through* them, and which also narrates them as it adds a restrospective, fractal dimension to their original construction. Rather than interacting with each other with the ironic detachment that separates them in the typical postmodern tradition, they intra-act with each other in their entangled narrative determination. Rather than rendering the individual (artist) a helpless victim of the unavoidable historical and discursive causes that he narrates himself in, or the naturalized almighty architect (name-giver) of an artificial work, the intra-active relation suggested by Spiegelman's graphic novel makes *him*[16] accountable for his agential contribution to phenomenal definition, but in intra-active entanglement with equally agential textual and extratextual participants. He is no more a natural Man defined against the Machine-man or cyborg-monster either in the utopian or dystopian traditions, but a continuum of diffractive agencies interacting in a phenomenon where self, others and instruments are determined. And each of the agencies entangled in this phenomenon is accountable for future as well as past determinacies.

In the Shadow of No Towers does not only point to the artificial quality of memory and of the traumatized, transhuman, self-defining and defined within narratives of victimization and/or redemption. In doing so, it also points to the agential accountability of all the participants involved in their diffractive determination. The sense of awe at the unutterable, traumatic Sublime is replaced here by the conscious awareness of the participants' complementary contributions to their *actual* definitions. Intra-active definition makes it difficult to distinguish between victims and perpetrators and establishes a relational distance between the here and there, as well as past and present that is not mechanically trapped

---

16 There seems to be no difference between the naturalized author, the author function and the narrative voice in the novel.

in acting-out, but agentially open to/entangled with temporal, geographical and subjective otherness.

The interspersion of the Comic Suplements throughout the novel cannot be interpreted solely as 9/11 historically and narratively acting out past, unresolved traumas, but as a critical reflection on the intra-active accountability that previous redemptive/apocalyptic determinations have on 9/11, and of the reciprocally accountable determinations that present narratives make of past traumas. To Spiegelman, the obvious, caricaturesque artificiality of the early twentieth-century comic supplements renders a more realistic (mimetic) account of 9/11 than the live broadcasting of the falling towers or his obsessive revisitation of the attacks, because they allow to establish a critical distance from them (the comic supplements become comic complements). If this critical distance cannot possibly render an objective narration of traumatic events beyond relativistic uncertainty, it can certainly account for their intra-active determinacy. In this sense, it can be argued that *In The Shadow of No Towers* renders a fictional narrative of what LaCapra defines as working-through traumatic experience. The traumatic, unutterable Sublime is here replaced by the moment of indefinition where human agency is rendered accountable. There is a most Shakesperean, tragic sense in this that connects twenty-first century critical posthumanism to early-modern humanism and against classical tragedy and its uncritical, causal obsession with natural destiny.

In Pynchon's novel, the revision of postmodernist metafictional intertextuality is more subtle, though not less effective. The artificially perspectivist narrative arrangement of the novel through which implausibly privileged and multiple points of view converge in the character of Maxine is constructed through intertextual references with the diverse conspiracy theories sensationally proposed by mass media after the attacks along the years. Its effect is typically deconstructivist, pointing at the uncertainty that non-closure causes through meaning deferral and to the ultimate impossibility to mimetically represent the traumatic event of 9/11. Through this prism, the unutterabiltiy of this traumatic Sublime is represented by the frustrated compulsion to explain the traumatic moment and its circumstances through inconclusive, uncertain, different perspectives. The traumatic Sublime remains ultimately unutterable because the artificiality of its narrative interferes with, deflects or blocks the view. This perspectivist objectivism pervades most of the narrative in the novel.

Yet the narrative voice in *Bleeding Edge* exceeds the points of view that converge in its main character. This narrative excess is conveyed through subtle though obvious intertextual references to two post WWI and WWII trauma literary masterpieces: T. S. Eliot's *Waste Land* (1922), and Spiegelman's *Mouse*.

89

Obvious references to Eliot's poem include action beginning and ending in "the cruelest month," or the comparison of lighted panels in a passing train to Tarot cards that, like the ones in Eliot's poem, only make sense within the context of the novel.[17] They also include the walking crowds of undone ghosts in chapter 28, with similar "crowds drifting slowly out[18] into the little legendary streets" (312); chapter 29, with the crowds of "zombies" who are "still walking around stunned" (321) as they take their children to school after the attacks; chapter 31, when Maxine's guru acknowledges he is "seeing people in the street who are supposed to be dead" and rhetorically wondering whether we are "seeing some wholesale return of the dead?" (339); and chapter 39, where "the legion of traumatized souls coming across the bridge, dust-covered, smelling like demolition and smoke and death, vacant-eyed, in flight, in shock" (445). All of these unmistakably evoke lines 62-65 from "The Burial of the Dead:" "A crowd flowed over London Bridge, so many,/I had not thought death had undone so many./Sighs, short and infrequent, were exhaled,/And each man fixed his eyes before his feet." (35)

Maxine's encounter with Vip Epperdew in DeepArcher after the attacks makes her ask him "do you remember me?" since "[s]he is not sure he recognizes her" (405), which reproduces the encounter with the poet in "The Burial of the Dead" with his fellow-soldier Stetson, who, like Vipp, also fails to answer his rhetorical question. While Eliot's poetic voice imagines "the Dog [. . .] dig[ging] up [. . .] again" […] "[t]hat corpse you planted last year in your garden" (35), in chapter 37 of the novel, both dog and Stetson merge in Windust's apartment when Maxine addressed the alpha dog that is feeding at Windust's corpse: "Don't I remember you from Westminster last year, Best in Category?" (409). Finally, the falling towers that Eliot uses to symbolize the fall of civilization as a result of human *hybris* in "What the Thunder Said": "Le Prince d'Aquitaine a la tour abolie" (51), haunt Pynchon's narrative with the same uncanny quality that the Comic Suplements haunt Spiegelman's graphic novel.

References to Spiegelman's *Maus* in the novel are also as subtle as unmistakable. In Chapter 24, Maxine's orgasm as she has sex with war-criminal and Lester's possible executioner, Windust, takes place with her simultaneous vision of "the wronged soul" of the former in the suggestive shape of a mouse. Then, during the first night right after the attacks,

---

17 "The Scholar" pointing at revelation, "The Unhoused" suggesting the souls of the departed ones, "The Warrior Thief" in clear reference to Windust, "The Haunted Woman" (439) as Maxine herself, and finally "The Unwelcome Messenger" (440) from hell, who is Windust's ex-wife Xiomara.
18 Out of the Italian palazzo where the end-of-the millenium thematic gathering proleptically anticipates the fall of the Twin Towers.

> Maxine dreams she's a mouse who's been running at large inside the walls of a vast apartment building she understands is the U.S. [. . .] she has been attracted by what she recognizes as a sort of human *mousetrap*[19] [. . .] a multilevel event space of some kind, at a gathering, maybe a party, full of unfamiliar faces, fellow mice, *but no longer exactly, or only, mice*[20] [. . .] and this can only be analogous to death. (Spiegelman 2014: 318-319)

Unlike *In The Shadows of No Towers*, *Maus* is mainly concerned with the artificial mediation of narrative in the representation of memory, be it public or personal. The obviously artificial representation of victims as mice and perpetrators as cats, denaturalizes the essentialist premises of racism that justify the holocaust. But it is through the unreliability of his father's report of the events and of the official accounts of the holocaust as they are confronted to each other, and to the change of medium in representation from supposedly unmediated tape recording to the obviously mediated comic format, that his concern for representing traumatic individual and collective memory is evidenced. In the above passage from *Bleeding Edge*, the Jewish victimist paranoia that haunts Spiegelman's *Mouse* is complemented in Maxine's dream with the critical reflection that it was not only victims (mice) who were trapped in the holocaust trauma, but also perpetrators (cats). Since Spiegelman's allegory is intertextually inserted in the novel to extend to 9/11, Pynchon seems to be implying that some of the victims of the 2001 terrorist attacks were also perpetrators and the other way round. Similarly, the simultaneity of Maxine's orgasm with the vision of Lester's corpse in the shape of a mouse establishes a possible causal relation between them, or at least makes her participant in his execution.

Despite the long critical tradition in trauma studies that links traumatic memories to the repressed unconscious, I would hesitate to explain these passages through Maxine's psychological processes. Instead, I would appeal to a long literary allegorical tradition that uses the motif of dreams or vision to either avoid censorship or enlarge the Real term (intensify the effect) of the allegorical comparison. The first purpose (avoiding censorship) connects with Joshua Pederson's social explanation of textual blanks (vs. Caruh's psychological one), and in the case of *Bleeding Edge*, points to the repressed accountability of the United States in mass media accounts of the attacks. In Pynchon's novel, the second purpose entangles WWII and 9/11 in a discursive (historical and literary) continuum that allows the US to gain perspective on its own responsibility in the international policies that ultimately led to the attacks.

---

19 Title of chapter 6 in Spiegelman's novel.
20 My italics.

In both cases, the obvious artificiality of the allegorical visions that Maxine draws from herself allows her to determine the distinctiveness of her humanity in the particular and ongoing traumas of postcolonial politics, while it also permits her to see that such humanity is entangled with, and partly accountable for, the traumas through which herself and others are intra-actively determined as victims and perpetrators.

To the critical eye trained in Pynchon's narrative strategies, the shift from relativist, objectivist uncertainty to intra-active complementarity cannot be missed. While in his previous works metaficitonal intertextuality served to portray characters paranoically trapped (victimized) in the artificial discourses that often instrumentalize them as functions of their narrative structures, in *Bleeding Edge* Maxine is made accountable for her intra-action with such narratives. Although she lacks the objective perspective that would give her the total, Sublime account of unretrievable truths or memories, the uncertainty resulting from the artificially composite (cyborgian), paradoxical perspectivism that haunts her as much as Pynchon's previous characters is now determined by her particular accountability in the intra-active narration of her traumatic self. In Maxine, as well as in Spiegelman's narrative self in *In the Shadow of No Towers*, the Hegelian transhuman Spirit whose transcendental humanity is suspended in disbelief is replaced by the critical distance rendered by accounting for the self's agency in artificially drawing the other from the human self. One cannot miss the shadow of sin in the imperative of agential accountability, although in the case of critical posthumanism, the law that makes the human subject a sinner remains as indeterminate as the human subject themselves until the moment they become accountable.

In both novels, the effect of intertextual references goes beyond the merely metafictional into intra-active accountability, where some previous texts intra-act with the novel and the other way round, giving an entangled view of history and literature where the poet—and not only the characters—is agentially accountable, partly responsible and victim. They cease non-closure uncertainty through intra-active, accountable determination to prevent acting out paranoid perspectivism. The Hegelian ironic detachment that dissimulates accountability for drawing artificial otherness out of the self by rhetoricizing paradox, becomes literalized by the critical posthumanist model that dissolves the humanist (traumatic, self-mutilating) metonymy and returns artifice to the agential nature of the self.

6. FURTHER REFLECTIONS

The relation between trauma and the narrative construction of the traumatized self involves reconsidering the nature of memory as mediating and mediated

interface between the past traumatic event(s) and the present traumatized subject. The mediation of voice has been theorized as one of the distinguishing features of narrative against the mimetic and expressive qualities of drama and lyrical poetry by narratological criticism. Although mediation is instrinsic to any kind of representation, its discursive dissimulation is a matter of degree. Roman Jakobson (1960) defined the poetic function that typifies literary works as a device that calls attention to this dissimulation, while Hegel conditioned poetic quality to the dissimulation of its heightened artificiality. According to the latter's standards, narrative would be placed at the bottom of the poetic scale. The poetic devices that naturalize artifice target the Spiritual Sublime by which human beings define themselves against artificial otherness. Yet poetic value does not lie in eradicating artificiality from poetry, but in its dissimulation. According to this equation, the more obvious the artifice, the more valuable its dissimulation is and the more Spiritual humanity is.

In parallel development with postmodernist literary devices that evidence poetic artificiality, the development of trauma narrative problematizes the artificiality of narrative voice while attempting to naturalize it by establishing a metaphor that compares the body and the mind (i.e. the amputation of a member is compared to the amputation of a memory). The same humanist (Vitrubian) model that naturalizes the proportionality of the human body as *healthy* and serves to exclude other models of humanity from the humanist ideal, and that also extends to the social model that oppresses forms of humanity that deviate from such model (the colored, the disabled, the uncivilized, women) enforce trauma on this difference by naturalizing health. When the naturalized proportionality of the Vitrubian body is extended to the human mind, forgetfulness (a most healthy defense mechanism of the mind) becomes a symptom and a cause of psychological trauma. By heightening the difficulty in dissimulating artifice in trauma narrative, these narratives target an aesthetic sublime that LaCapra qualifies as redemptionist or apocalyptic and a correspondingly enlarged image of humanity.

Critical posthumanism is challenging this paradigm by denaturalizing the artificial in the construction of the human and incorporating it to a reconceptualization of the human that can be called posthuman only to the extent that it overcomes naturalization. By reconceptualizing the supplementary quality of artifice in the humanist paradigm as complementary, the binary liminality of a humanist definition of Man that is based on self-amputation is replaced by entangled determination of Man that is based on intra-action. This also replaces self-consciousness as the de-fining quality that makes human beings different from non-human otherness, with the agential accountability that determines human beings as entangled with non-human agencies.

The literary text is one of these non-human agencies that the human being is entangled with. It demands human agential accountability and (most intriguingly) should be found intra-actively accountable in return. The complementary nature of intra-action places accountability at the moment of indetermination and does not resolve the problem of iteration (aesthetic model) except in retrospective comparison, which is the moment of judgment. As I find it, indeterminacy is the posthumanist Sublime, the present horizon of events that is limitless in indeterminacy but intra-actively entangled and accountable.

REFERENCES

Barad, K. 2007. *Meeting the Universe Halfway. Quantum Physics and the Entanglement of Matter and Meaning*. Durham and London: Duke University Press.

Caruh, C. 1996. *Unclaimed Experience: Trauma, Narrative and History.* Baltimore, MD: John Hopkins University Press.

Derrida, J. 1981 (1968). Plato's Pharmacy. In *Dissemination*. Chicago: The University of Chicago Press. Trans. B. Johnson. 61-171.

Eliot, T. S. 1998 (1922). *The Waste Land*. New York: Signet Classic.

Fernández-Santiago, M. 2019. Memoria (in)mediática y trauma continuado. Identidad nacional bajo el prisma femenino en *Al Límite*, de T.R. Pynchon. In *Mujer, Memoria e Identidad*. Granada: Comares. 93-112.

Gibbs, A. 2014. *Contemporary American Trauma Narratives.* Edinburgh: Edinburgh University Press.

Hegel, G. 1977 (1807). *The Phenomenology of the Spirit.* Oxford: Oxford University Press. Trans. A. Miller.

Hegel, G. 1975 (1835-38). Lectures on Fine Art. In *Hegel's Aesthetics: Lectures on Fine Art, Vol. 1*. Oxford: Oxford University Press. Trans. T. Knox. 25-32, 75-81.

Herbrechter, S. 2013. *Posthumanism: A Critical Introduction*. Lodon: Bloomsbury.

Jakobson, R. 1960. "Closing Statements: Linguistics and Poetics". *Style in Language*. Ed. T. A. Sebeok. Cambridge Massachusetts: MIT Press. 350-377.

La Mettrie, J. 1961. *El Hombre Máquina (L'homme machine).* Buenos Aires: Eudeba. Trans. J. Cappelletti.

LaCapra, D. 2014 (2001). *Writing History, Writing Trauma*. Baltimore: John Hopkins University Press.

Pederson, J. 2014. Speak, Trauma: Towards a Revised Understanding of Literary Trauma Theory. *Narrative, 22* (3): 333-353.

Pynchon, T. 2014. *Bleeding Edge.* London: Vintage.

Schmid, W. 2010. *Narratology. An Introduction.* Berlin and New York: de Gruyter.

Spiegelman, A. 2003. *The Complete Maus.* London: Penguin Books.

Spiegelman, A. 2004. *In the Shadow of No Towers.* New York and Toronto: Random House.

Wallhead, C. and M. Leissmer. 2018, January. Accommodating Different Conspiratorial Views on 9/11 through Ambiguity in Bleeding Edge. *Critique. Studies in Contemporary Fiction,* 59 (4): 397-418.

Whitehead, A. 2004. *Trauma Fiction.* Edinburgh: Edinburgh University Press.

Wolf, S. 2010. *Narratology: An Introduction.* Berlin and New York: de Gruyter.

A CORPUS-BASED APPROACH TO THE LEMMATISATION OF OLD ENGLISH SUPERLATIVE ADVERBS[1]

Yosra Hamdoun Bghiyel
Universidad de La Rioja
yohamdou@unirioja.es

ABSTRACT. *The aim of this article is to discuss the lemmatisation process of Old English adverbs inflected for the superlative from a corpus-based perspective. This study has been conducted on the basis of a semi-automatic methodology through which the inflectional forms have been automatically extracted from The York-Toronto-Helsinki Parsed Corpus of Old English Prose and The York Toronto-Helsinki Parsed Corpus of Old English Poetry whereas the task of assigning a lemma has been completed manually. The list of adverbial lemmas amounts to 1,755 and has been provided by the lexical database of Old English Nerthus. Additionally, the resulting lemmatised list has been checked against the lemmatised forms compiled by the Dictionary of Old English and Seelig's (1930) work on Old English comparative and superlative adjectives and adverbs. Through this comparison it has been possible to verify doubtful forms and incorporate new ones that are unattested by the YCOE. This pilot study has implemented for the first time a methodology for the lemmatisation of a non-verbal class and can be further applied to those categories that are still unlemmatised, namely nouns and adjectives.*

Keywords: Old English, lemmatisation, superlative adverbs, corpus linguistics, lexicography.

YOSRA HAMDOUN BGHIYEL

UN ENFOQUE BASADO EN CORPUS PARA LA LEMATIZACIÓN DE LOS ADVERBIOS SUPERLATIVOS DEL INGLÉS ANTIGUO

RESUMEN. *Este artículo tiene como objetivo analizar el proceso de lematización de los adverbios en grado superlativo del inglés antiguo desde un enfoque basado en corpus. Este estudio se ha realizado siguiendo una metodología semiautomática mediante la cual el proceso de extracción de formas flexivas de The York-Toronto-Helsinki Parsed Corpus of Old English Prose y de The York Toronto-Helsinki Parsed Corpus of Old English Poetry ha sido automático, mientras que la tarea de asignación de lema ha sido llevada a cabo manualmente. El listado de lemas consta de 1.755 formas y ha sido proporcionado por la base de datos léxica del inglés antiguo Nerthus. Asimismo, los resultados obtenidos del proceso de lematización han sido cotejados con las formas atestiguadas por el Dictionary of Old English y por la obra de Seelig (1930) sobre los adjetivos y adverbios en grado comparativo y superlativo del inglés antiguo. A través de este estudio comparativo ha sido posible verificar formas dudosas e incorporar nuevas atestiguaciones que no han sido registradas por el YCOE. Este análisis piloto ha implementado por primera vez una metodología para la lematización de una clase no verbal que puede aplicarse al resto de categorías que todavía no han sido lematizadas, en concreto los nombres y los adjetivos.*

Palabras clave: inglés antiguo, lematización, adverbios superlativos, lingüística de corpus, lexicografía.

1. AIMS AND RELEVANCE OF THE RESEARCH

This article deals with the lemmatisation of the Old English superlative adverbs. Lemmatisation is understood as the process by which a group of words are morphologically related and reduced to a lemma or headword, including both the predictable and the unpredictable forms. Lemmatisation is a necessary task in the field of Old English lexicography, and of historical linguistics in general, as there is not, for the moment, a fully lemmatised corpus or dictionary that compiles a systematic inventory of the Old English lexicon. Several reasons explain this fact; one of the most convincing arguments that explains the inconsistent spelling variation is the diversity of dialects (Kentish, West Saxon, Mercian and Northumbrian) and the absence of a written standard of the language.

One of the pending tasks historical corpus linguistics must tackle is precisely to increase the amount of grammatically annotated material. However, as Claridge (2008: 254) points out, this proves quite challenging in a historical language as Old

English due to aspects such as form and usage differences and the high internal variability. In addition to this, the limited amount of Old English texts that have been preserved, together with the difficulties in accessing some of this material, which may exist exclusively in the form of a manuscript, reduce the possibilities of finding evidence of less frequent grammatical phenomena.

This study follows one of the current lines of research of the *Nerthus* Project, which centres on the lemmatisation of the Old English lexicon. A few studies have already been conducted that tackle the lemmatisation of Old English verbs, including strong verbs (Metola Rodríguez 2015, 2017), preterit-present, anomalous and contracted verbs (García Fernández 2018, fc.) and weak verbs (Tío Sáenz 2019). Although substantially different methodologies, in all three cases the lemmatising task involves a semi-automatic procedure that requires an eventual manual revision and evaluation of the results.

Within this context, the pilot study presented here is conceived as a first attempt to lemmatise a non-verbal category, more specifically adverbs inflected for the superlative. A methodology has been devised to this aim that can be applied to the rest of categories that are not fully lemmatised yet, these are nouns and adjectives.

This work mainly contributes to identifying a lemma for all the inflected forms that are tagged as superlative adverbs by the *York-Helsinki Parsed Corpus of Old English Prose* (Taylor *et al*., eds., 2003) *and Poetry* (Pintzuk and Plug, eds., 2001). Furthermore, the comparison of the results with other sources has enriched the study by providing mutual feedback. One of these sources is *The Dictionary of Old English* (DOE), only available for letters A-I, which represents a valuable lexicographical source as it attests a vast amount of inflectional forms and has been elaborated on the basis of a corpus containing one example, at least, of every surviving text in this language. The other is a secondary source, the work by Seelig (1930). It consists of a compilation of adjectival and adverbial forms in the comparative and the superlative that have been grouped together under the adequate lemma.

This study is grounded on the fields of lexicography and corpus linguistics, two disciplines that bear an intimate relationship due to the mutual feedback they obtain. It is common knowledge among the scholars of this area that a quality lexicographical work must be necessarily based on a corpus. Many scholars have addressed this close connection. Faaß (2017), for instance, attaches utmost importance to the contribution of corpus linguistics to electronic dictionaries as it permits the analysis of language in natural contexts. Besides, this author draws attention to the fact that corpora should be digitalized for the sake of a greater

accuracy in data description (Faaß 2017: 124). Last but not least, another key aspect is the convenience of having fully annotated corpora, namely morphologically, syntactically and semantically, that render a valuable tool for lexicographical purposes.

Given this background, the remainder of the paper is organized as follows. Section 2 summarizes the main information regarding the description of the adverbial system and their formation. Section 3 offers a description of the sources that have been utilised in both the extraction and lemmatisation processes. Section 4 deals with the methodological steps that have been followed and the decisions made in the lemmatisation process. Section 5 discusses the results of the analysis. The paper closes with the main conclusions of the study.

2. AN OVERVIEW OF THE OLD ENGLISH ADVERBIAL SYSTEM

Old English is the term coined to allude to the vernacular language spoken in Great Britain and attested in manuscripts previous to 1100. It is a Germanic language, more specifically a West Germanic one, sharing group with other languages such as Old High German, Old Saxon and Frisian.

The period known as Old English comprises around 600 years (5th-11th centuries), although the majority of texts that are preserved date back to the late 9th and 11th centuries. Four main dialects existed at that time, namely Kentish, West Saxon, Mercian and Northumbrian. It is precisely the presence of this variety of dialects that makes Old English spelling system particularly complex. Besides the coexistence of different dialects, the abundant vernacular literary activity also contributed a significant variation in orthography and inflexion. In this context, West-Saxon was instituted as the standard written language as most of the manuscripts of that time belong to this dialect.

This language is characterized by a rich inflectional system with a close relation holding between word form and word function (Smith 2009: 22). Mitchell and Robinson, in turn, prefer to describe Old English as a "half-inflected language" (1985: 62) as it preserves only four cases of the eight that were present in Indoeuropean. Moreover, prepositions are often found introducing phrases in an oblique case, a circumstance in which the use of the preposition seems unnecessary.

As a synthetic language, the function of a word is marked through inflectional endings. In the case of adverbs, the only inflection they may undergo is that corresponding to the comparative and the superlative degrees. The typical

adverbial endings expressing degree are *-or* and *-ost*, although there are also other possibilities, these are *-ar* and *-ur* for the comparative and *-ast, -est* and *-ust* for the superlative.

The adverbial lexicon represents roughly a five percent of the total of Old English words. Adverbs amount to 1,755, a considerable low figure if compared with nouns, for example, which constitute half of the Old English lexicon, or with verbs and adjectives, adding up to twenty percent each. As in Present Day English, Old English adverbs were used as modifiers of adjectives, verbs and other adverbs.

Adverbs were mostly created through the addition of suffix *-e* to an adjective, which corresponds to the ending that indicated the instrumental case. For instance, *glæd* 'joyous, glad' > *glade* 'joyously, gladly'; *sār* 'sore' > *sāre* 'sorely'. Ending *-e* was lost by the end of the 14th century, as a result a number of adjectives and adverbs are formally alike. An example is *ānwille*, which is both an adjective ('obstinate, stubborn') and an adverb ('wilfully, obstinately'); something similar occurs with *dēore*, meaning 'dear, beloved' as an adjective, and 'dearly; with kindness' when it is an adverb.

Many adverbs originate in adjectives ending in *-lic*, which have been added suffix *-e* eventually. For instance, adjective *nāhtlic* 'worthless' gave rise to adverb *nāhtlice* 'worthlessly'; in like manner, *rȳnelic* 'mystical' creates adverb *(ge)rȳnelice* 'mystically', hence *-lice* became a typical ending that was appended to adjectives to form adverbs (*rōtlīce* 'glad, cheerfully' < *rōt* 'glad, cheerful').

A few adverbs, and also adjectives, form the superlative through a double suffixation process (Fulk 2018: 240). In these cases, there is an *-m-* right before the superlative suffix. For instance, both *eall**mǣst*** 'almost' and *ende**mest*** 'equally' undergo double suffixation. In this regard, Campbell (1959: 278) observes that this double suffixation is especially common in inflected adjectives that originate in an adverb.

A number of adverbs experience mutation in the root vowel when they form the comparative or superlative, being this mutation the only evidence of degree. An example is *eald* 'old' – *yldra* (comp.) – *yldest* (superl.). A few adverbs undergo suppletive comparison, that is, the stems of the positive and of the comparative or superlative forms is not the same; this is the case, for instance, of *wel* 'well' – *bet* (comp.) – *betst* (superl.).Attending to their formation process, adverbs can be divided into two groups: basic and non-basic. Regarding the first group, no productive morphological process is involved. Examples of basic adverbs, also called 'monomorphemic' (Fulk 2018: 237), are *nŪ* 'now', *oft* 'oft', *under* 'under', *yme* 'around', etc. Non-basic adverbs constitute roughly 90% of the

adverbial lexicon. Non-basic adverbs include zero derived/converted[2], affixed and compound adverbs[3]. Zero derivation affects, approximately, a 10% of the adverbs. This process consists of category extension and semantic modification without formal change. Examples of zero derived adverbs are *tōheald* (adv.) 'inclined, forward, in advance manner' < *tōheald* (adj.) and *unnēah* (adv.) 'not near, far, away from' < *unnēah* (adj.). The most numerous group of adverbs, around 70% of the total, encompasses affixed adverbs. These have been created either through prefixation or suffixation. Examples of affixed adverbs are ***sāmh**āl* 'unwell, weakly' (< *hǣl* 'well, safe, whole'), ***ymb**ūtan 'around, about, outside, beyond'* (< *ūtan* 'from outside'), *sorglīc**e*** 'miserably, grievously' (< *sorglic* 'sorrowful, miserable') and *wynn**um*** 'joyfully, beautifully (< *wynn* 'pleasure, gladness'). Finally, compound adverbs amount to sixty-four and have been created by joining two lexeme stems of the same or different category. Compound adverbs are, for instance, *ādunweard* 'downwards' (< *ādūn* 'down' + *weard* 'towards') and *hysewīse* 'like young men' (< *hyse* 'young man' + *wīse* 'wise, manner').

A group of adverbs are subject to suppletive comparison (Fulk 2018: 240), which means that the resulting comparative and superlative forms have a different stem from that of the positive adverb. Examples of adverbs undergoing suppletive comparison are *yfle* 'evil' > *wiers - wierst*; *wel* 'well' > *bet/sēl - bet*(*e*) *st/best/sēlest*.

3. SOURCES

The study presented here is framed within the *Nerthus* Project, one of whose current research interests is the lemmatisation of the Old English lexicon. To do so, different sources are required.

To start with, the York-Toronto-Helsinki Parsed Corpus or York Corpus of Old English (henceforth YCOE), which is divided into prose and poetry, has provided the data of analysis. The YCOE is a 1.5 million-word corpus which is both morphologically and syntactically annotated. The annotation draws on the system used by the Penn-Helsinki Parsed Corpus of Middle English. Figures 1 and 2 below showcase the fragment annotated *Saga me hwilc sunu wræce ærest his fæder on hys moder innoðe* [Ad:12.1.31_ID] both morphologically and syntactically:

---

2 The difference between zero derivation and conversion lies in the fact that the former entails a formal contrast between the source and the derived term that has an effect on the whole inflectional paradigm, while in the case of conversion the rest of the paradigm is not necessarily affected (Martín Arista 2011).

3 All the information related to the classification and quantification of adverbs per formation process draws on Maíz Villalta (2012).

<T06110002400,12.1>_CODE $Saga_VBI me_PRO hwilc_WADJ^N sunu_N^N wr+ace_VBDS +arest_ADVS^T his_PRO f+ader_N on_P hys_PRO$ moder_N^G inno+de_N^D ._. coadrian,Ad:12.1.31_ID

Figure 1. POS (Part of Speech) annotation in the YCOE.

(IP-MAT-SPE (VBI $Saga)
    (NP (PRO me))
    (CP-QUE-SPE (WNP-NOM-1 (WADJ^N hwilc) (N^N sunu))
        (IP-SUB-SPE (NP-NOM *T*-1)
        (VBDS wr+ace)
        (ADVP-TMP (ADVS^T +arest))
        (NP (PRO$ $his) (N f+ader))
        (PP (P on)
        (NP-DAT (NP-GEN (PRO$ hys) (N^G moder))
            (N^D inno+de)))) (. .)) (ID
            coadrian,Ad:12.1.31))

Figure 2. PSD (Parsed) annotation in the YCOE.

As aforementioned, the YCOE constitutes the source of the data. The inflectional forms (superlative adverbs in this case) together with their tags have been extracted from this corpus in order to be lemmatised. At this juncture it must be remarked that the totality of the inflected forms belongs to *The York-Helsinki Parsed Corpus of Old English*, as no evidence of superlative adverbs has been found in its poetry counterpart.

Besides, in order to lemmatise forms, it has been necessary to have a reliable list of lemmas "under which elements of the corpora containing the word forms of the same lexeme are represented" (Burkhanov 1998: 122). This list has been retrieved from *Nerthus*, a lexical database of Old English storing around 30,000 predicates free of context marking. This database draws on three main sources: Hall-Meritt's *A Concise Dictionary of Anglo-Saxon* (and the *Supplement*) constitutes the primary basis as it has guided the spelling of both the headwords and the alternative spellings. To a lesser extent, *Nerthus* is based on *An Anglo-Saxon Dictionary* by Bosworth-Toller[4] and on Sweet's *The Student Dictionary of Anglo-Saxon*.

---

4 Including Toller's *Supplement* and Campbell's *Addenda*.

Three fields of *Nerthus* database are of interest for this study, these are predicate, spelling variants and predicate translation. The field "spelling variants" does not contain independent predicates or morphologically contrastive words but variants of the predicate they refer to (Martín Arista 2010: 10). The field "predicate translation" provides an equivalent of the source term in Present Day English as offered by the standard dictionaries of reference. Figure 3 below illustrates how this information is offered by the *Nerthus* database:

Figure 3. Fields extracted from *Nerthus* database.

The lemmatisation task has required the support of other sources, especially in those cases in which lemma assignment was particularly complicated. Seelig's (1930) work, titled *Die Komparation der Adjektiva und Adverbien im Altenglischen*, has contributed to both verifying and completing the analysis. This work basically consists of a compilation of Old English adjectives and adverbs in the comparative and the superlative, as attested in a number of texts listed at the beginning of the book, and organized under a common lemma. The second chapter of this work addresses adverbs and is divided into three subchapters on a morphological basis. Firstly, Seelig brings together all the adverbs that undergo regular comparison, being the most numerous group. The second group gathers all the adverbs whose comparative entails root vowel change. An example is adverb *ēaðe, ēðe, iðe* 'easy', which has attested the comparatives *ǣð, ēað, ēð, īeð, īð* and *ȳð* and the superlatives *ēaðost, ēaðust, ēaðusð, ēðest, īðesð, ȳðǣst, ȳðast* and *ȳðost*. The third group of adverbs is composed of those subjected to irregular comparison, i.e. the comparative and superlative are created out of a different stem from that of the positive. Examples of irregular comparison are adverbs *wyrse* 'worse' (< *yfle* 'bad') and *bet* 'better' (< *wel* 'well').

The Dictionary of Old English (henceforth DOE) has been the main lexicographical source of reference in this study as it is, for the time being, the most complete source in what regards the number of attested inflectional forms in each entry as it is based on a collection of texts that comprise, at least, one copy of every surviving text in Old English. However, there is a major drawback, which is the fact that the DOE has only published headwords starting with A-I. The entries in the DOE include grammatical information of the headword, namely part of speech, gender and grammatical class. In addition to the different attested spellings of the headword in the corpus, each entry also provides the inflectional forms, dialectal variations, the number of occurrences in the corpus and the meaning accompanied by textual citations.

The Dictionary of Old English Corpus (henceforth DOEC) is an essential reference for scholars interested in the study of Old English as it compiles over 3 million words of this language in a more than 3,000 texts belonging to the years 600-1150. As stated in the previous paragraph, it is the source that supplies the dictionary with written evidence about the lexical stock of the Old English language. A simple search in the corpus allows to obtain all the hits corresponding to the searched word, together with the short title of the text in which it appears and the Cameron number.

4. METHODOLOGY

Lemmatisation is commonly understood as "the reduction of inflectional word forms to their lemmata, i.e. basic forms, and the elimination of homography" (Burkhanov 1998: 122). According to this author, this process "involves the assignment of a uniform heading under which elements of the corpora containing the word forms of same lexeme are represented" (1998: 122).

The lemmatisation process is divided into three main stages: extraction, lemma assignment and validation. This process is highly dependent upon the approach adopted: in a full-form approach, the decision of lemma assignment falls on the author, whereas from a paradigm-based perspective, words that are paradigmatically related share the same lexeme or lemma. This research adopts the second methodology, as the objective is to gather both the predictable and unpredictable forms under the same lemma.

To start with, the first step in the lemmatisation process is the extraction of the material that will be lemmatised next. This material consists of a list of adverbial lemmas and a list of inflectional forms. The former list has been automatically retrieved from the Old English database *Nerthus* by exporting the field called "predicate" exclusively of those predicates that are adverbs. Additionally, two other

fields have been exported, these are "spelling variants" and "predicate translation", as they contain helpful information to carry out this task. By way of illustration, Table 1 includes a few adverbial predicates together with their alternative spellings, if any, and the translation.

Table 1. List of adverbial lemmas extracted from *Nerthus*.

Predicate	Alternative_Spellings	Predicate_Translation
cēne 2	*cȳne 2*	*in warlike wise*
(ge)bēotlīce		*in a threatening manner, threateningly (BT)*
(ge)blīðe 2		*joyfully, gladly*
(ge)brægdenlīce	*(ge)bregdenlīce*	*cunningly, deceitfully (DOE)*
(ge)cwēmlīce		*graciously, kindly, humbly, satisfactorily*
(ge)cyndelīce		*naturally (DOE)*
(ge)dīegollīce	*(ge)dēgollīce, (ge)dēagollīce, (ge) dēogollīce, (ge)dȳgollīce, (ge)dīgollīce (BT), (ge)dīgolīce (BT), (ge)dēgelīce, (ge)dēglīce, (ge)dēgullīce, (ge)dīegellīce, (ge)dīgellīce, (ge)dīgle, (ge)dīhlīce*	*secretly; softly (of the voice)*
(ge)ðwǣrelīce	*(ge)ðwǣrlīce (BT)*	*in accord (Sweet)*
(ge)dwollīce		*foolishly, heretically; erroneously, ignorantly, stupidly (BT)*
(ge)ðyldelīce	*(ge)ðyldiglīce (BT), (ge)ðyldelice (BT)*	*patiently, quietly*
(ge)ðyldiglīce		*patiently (Sweet)*
(ge)dyrstiglīce	*(ge)dyrstelīce*	*boldly, daringly (BT)*

Regarding the list of inflectional forms, this has been retrieved from the YCOE. This corpus is annotated with both POS (Part-of-Speech) and PAS (parsed) labels. At this stage of the process, only the morphological information, i.e. POS labels, will be used. To be more precise, the list of inflectional forms consists of all the forms which have been tagged with the label ADVS (superlative adverb).

The methodology for the systematic extraction of all the attested inflectional forms corresponding with the label ADVS begins by launching a preliminary search on the POS files. Next, the POS file is opened in the Notepad ++ text editor to follow a step by step procedure to ensure uniformity during the extraction procedure. Then, a number of adjustments are made: symbols +a, +d and +t are replaced with æ, ð and þ, respectively; spaces are replaced with mark paragraphs,

resulting in a column which is arranged in alphabetical order; punctuation marks, text codes and other undesired information are eliminated. Afterwards, the list that has been obtained divided in texts is copied into a single Excel file. Inflectional form and tag are separated into two columns and two additional fields are appended to the right, these are the text code and the text genre[5] (prose or poetry). By storing the material in this way, it is possible to have access to a comprehensively organized inventory of forms that allows for both quantitative and qualitative analyses. Searches can be also launched that are restricted by tag, text code or genre, permitting a variety of approaches in this regard. A sample is provided in Table 2.

Table 2. Sample of extracted superlative adverbs from the YCOE.

Inflectional form	Tag	Text	Genre
æryst	ADVS^T	cowsgosp.o3	PROSE
andgitfullicast	ADVS	coboeth.o.02	PROSE
andgitfullicost	ADVS	Coprefcura	PROSE
beorhtost	ADVS	coboeth.o.02	PROSE
firrest	ADVS^L	coorosiu.o2	PROSE
fyrmest	ADVS	cocuraC	PROSE
fyrmest	ADVS^T	codocu3.o3	PROSE
nyhst	ADVS^T	comart3.o23	PROSE
nyhst	ADVS^L	coorosiu.o2	PROSE

As observed in the second column, there are some tags that further specify the type of adverbial: ADVS^T stands for temporal superlative adverb and ADVS^L means locative superlative adverb. In the table above, the forms *æryst* and *fyrmest* are examples of the first type, whereas *firrest* is a locative. This information proves particularly useful when two forms are alike but have different tags. Consider the case of *fyrmest*, a form that may be just a superlative or convey a temporal meaning. Something similar occurs to the form *nyhst*, which may be locative ('near, nigh; about, almost, nearly') and temporal ('lately').

Once the material is conveniently arranged, the next stage of the process consists of assigning a lemma to the inflectional forms. This process is yet far from being automatic. Table 3 below illustrates how it takes place. As a novelty, an additional column has been inserted to the left of the table that includes the corresponding lemmas. In the event that the lemma list does not provide any adequate lemma for a particular form, the corresponding cell is left blank.

---

5   It must be noted that no examples of superlative adverbs have been found in poetry texts.

Table 3. A sample of lemmatised superlative adverbs.

Lemma	Inflectional Forms	Tag	Text	Genre
beorhte	*beortost*	ADVS	coboeth.o.02	PROSE
bet	*best*	ADVS	colaw2cn.o3	PROSE
beorhte	*biorhtost*	ADVS	coverhom	PROSE
beorhte	*biorhtust*	ADVS	coverhom	PROSE
fæstlice	*fæsðlicost*	ADVS	cocuraC	PROSE
fæste	*fæstost*	ADVS	coaelive	PROSE
feorr	*firrest*	ADVS^L	coorosiu.o2	PROSE
fullīce	*fullecost*	ADVS	cocuraC	PROSE
fullīce	*fullicost*	ADVS	cocuraC	PROSE

The list of inflectional forms is arranged alphabetically. In this way, all the tokens that are formally alike appear together, facilitating the task of assigning a lemma. The lemmatisation of the Old English superlative adverbs displaying regularity does not present much difficulty as the possible spelling variations are, for the most part, attested in the "alternative spellings" column from the lemma list. In a first round roughly eighty percent of the inflectional forms were assigned a lemma whereas twenty percent remained unlemmatised. These unlemmatised forms evinced some type of irregularity, therefore it was necessary to resort to additional sources to facilitate this task. The sources consulted include *The Dictionary of Old English*, available for letters A-I, which contains a fairly complete list of attested forms in each entry; also Bosworth and Toller's dictionary, although in this case the amount of inflectional forms attested is considerably inferior to the former dictionary. Besides, the main Old English grammars of reference, especially Campbell (1959), have been highly clarifying in this regard.

The third and final task in the lemmatisation process involves a contrastive analysis with the aforementioned sources. This step of the process has two main objectives: on the one hand, it permits the verification of the associations established between lemmas and inflectional forms assigned to them; on the other hand, it allows for the completion of the process in those cases in which no lemma has been assigned to a particular form or when new inflectional forms are suggested.

To illustrate this final stage of the process, Table 4 represents two different adverbial lemmas, *ær* 'previously, before that, soon, formerly' and *ēaðelīce* 'easily', and the inflectional forms (adverbs in the superlative) assigned to them by the YCOE, the DOE and Seelig.

Table 4. Attested inflectional forms belonging to the lemma *ær* in the different sources.

Lemma	YCOE	DOE	Seelig (1930)
ær	*æræst, ærast, æresð, ærest, ærost, ærst, ærust, æryst, æst, arest, erest, erost*	*ærest, æresð, aerest, æreast, æryst, æræst, ærast, ærost, ærust, æst, aerst, arest, aryst, erest, erost, eræst, earest. hærest, æres, ærets, ærist, aerist, æris, ærst, aræst,*	*ærast, æræst, æres, ærest, æresð, æris, ærist, ærst, ærest, ærust, æryst, æst*
ēaðelīce	*eaðelicost* *eaðelicust, eðelicost*	*eaþelicost, eaðelicost; eaðelicust, eaðelucust, eþelicost, eðelicost, æðelicest*	*eaðelicost, eaðelicust* *eðelicost*

As observed in this table, the DOE is the source that attests a considerably higher amount of inflectional forms. Starting with lemma *ær,* the DOE provides ten new forms that are not attested by the YCOE, these are *eræst, earest, hærest, æres, ærets, ærist, aerist, æris, ærst* and *aræst.* To a lesser extent, Seelig also contributes with new forms, in this case these are *æres, æris* and *ærist.* Regarding lemma *ēaðelīce,* something similar occurs. Quantitatively speaking, the DOE is the source that gathers the most complete list of inflectional forms, a total of seven. In this case, all the forms attested by the YCOE are also verified by the DOE. The DOE, in addition, provides evidence of four new forms, these are *eaþelicost, eaðelucust, eþelicost* and *æðelicest.* Two of these forms contain the letter *þ* (*eaþelicost* and *eþelicost*), creating pairs of forms such as *eaðelicost* and *eaþelicost* or *eðelicost* and *eþelicost.* This distinction is, however, not present in either the YCOE nor Seelig. As for Seelig, this author does not attest any new form for lemma *ēaðelīce.*

5. ANALYSIS AND RESULTS

In this section, the methodology previously described is applied to the superlative adverbs retrieved from the YCOE. In the first place, an overview of the results of the extraction process will be presented. Next, the lemmatised forms will be compared with the ones provided by the DOE (only for A-I adverbs) and by Seelig. The last part of this section will deal with doubtful forms and the decisions made in this regard.

A total of 1,270 forms[6] have been tagged as superlative adverbs according with the POS files furnished by the YCOE. Once these forms have been identified, the list of lemmas of the *Nerthus* database will allow for the completion of the lemmatising task. This list contains 1,755 adverbial lemmas, although only 80 have turned out to be lemmas for these forms.

The task of lemma assignment has been accomplished manually. Each inflected form is addressed individually and the most suitable lemma from the *Nerthus* list is allocated. Once adverbs are deprived of the corresponding inflectional endings, these are -*æst*, -*ast*, -*esð*, -*est*, -*ost*, -*st*, -*ust*, -*yst*, -*exð*, -*osð*, -(*e*)-*m-est*, -*or*, -*estan*, -*usð*, the resulting form does not differ much from the adverbial lemma. In fact, this procedure has succeeded in assigning a lemma to nearly all the inflected forms, yet the following seven remained unlemmatised in the first round: *eðost, leofost, liffest, liofast, suiðusð, suiðust,* and *ytemest*. These forms present a higher degree of opaqueness, resulting in doubtful or ambiguous cases that required deeper research. In a few cases, it was simply found that the morphological analysis of the YCOE was not correct. Although the list of lemmas provided by *Nerthus* has mostly proved to be suitable, it was necessary to consult other sources when it was unclear which lemma to assign. In order to fill this information gap, *The Dictionary of Old English* and Seelig's (1930) work turned out to be of valuable help.

An initial analysis of the data evinces that most of the lemmas are associated with just one inflectional form, being the number of lemmas assigned to several forms much more limited. In the case of superlative adverbs, a total of forty lemmas hold a one-to-one correspondence with an inflectional form. Examples of hapax legomena include (the lemma is given in brackets): *onlicost* (*onlice* 'like, in like manner, similarly'), *fægerost (fægre* 'softly, pleasantly, gently'), orenlicost (orenlīce* 'excessively, immoderately') and *fæsðlicost* (*fæstlice* 'firmly, certainly, stoutly'). A considerably smaller quantity of instances has been found for hapax dislegomena, that is, a lemma that is assigned to two inflectional forms. Examples of this type are *rihtost, ryhtosð* (*rihte* 'right; directly, straight'), *eapelicost, eðelicost* (*eaðelice* 'easily'), *nieðemesð, nyðemyst* (*niðer* 'down, donwards, beneath, below') and *andgitfullicast, andgitfullicost* (*andgietfullīce* 'intelligibly, sensibly, clearly, plainly, distinctly'). Diametrically opposed to these cases are lemmas *swiðe* and *ær*. Lemma *swiðe* 'very, much, exceedingly; severely; fiercely, violently; chiefly, especially, mostly' has been assigned to fifteen different forms (types) that add up to 221 tokens. Twelve

---

6   The Appendix contains the full inventory of lemmas that have been used in the analysis together with the inflectional forms lemmatised under each headword. Information about their textual occurrence is also included.

inflectional forms share lemma *ær* 'previously, before that; soon; formerly, before', which amount to 690 tokens. Both lemmas also coincide in the rich spelling variation of their inflectional forms. The following forms have been gathered under lemma *swiðe*: *swiðast, swiðest, swiðosð, swidost, swiðost, swiðusð, swiðust, swiðast, swiðest, swyðost, swyðust, swyþast, swyðor*, and *swyðost*. Of these forms, it is *swiðost* the one with the greatest amount of occurrences in the YCOE, a total of ninety-seven. As for *ær*, the forms gathered under this lemma include *arest, ærast, æræst, ærest, æresð, ærost, ærst, ærust, æryst, æst, erest, erost*. Among these forms, *ærest* turns out to be the form with the highest number of occurences, a total of 601.

Some inflected adverbs receive a specific tag that further specifies the type of comparative or superlative. Regarding the superlative, apart from ADVS, which indicates superlative degree, there are two other tags, the locative ADVS^L and the temporal ADVS^T. The YCOE has alocated the tag ADVS to 422 adverbs, ADVS^L to twenty-five forms and ADVS^T to 762. As evinced by the figures, superlatives with a temporal meaning substantially outnumber the rest of categories.

On the other hand, the set of inflectional adverbs provided by the YCOE, although constituting a fairly comprehensive list, does not collect the totality of Old English superlative adverbs. This is the reason why this study has been enhanced with the comparison of forms attested by each of these three sources, namely the YCOE, the DOE and Seelig. Table 5 below represents the procedure adopted in the lemmatisation of superlative adverbs and the subsequent comparison of sources.

Table 5. Comparing the results of the lemmatisation with other sources.

Lemma	Inflectional form	Tag	Text code	Text genre	Seelig		DOE	
					Lemma	Inflectional form	Lemma	Inflectional form
andgietfullīce	*andgitfullicost*	*ADVS*	*Coprefcura*	*PROSE*	✓	X	X	✓
beorhte	*biorhtost*	*ADVS*	*Coverhom*	*PROSE*	✓	X	✓	✓
beorhte	*beorhtost*	*ADVS*	*ConicodA*	*PROSE*	✓	✓	✓	✓
fæstlice	*fæsðlicost*	*ADVS*	*cocuraC*	*PROSE*	✓	✓	✓	✓
hāte	*hatust*	*ADVS*	*Colacnu.o23*	*PROSE*	✓	✓	✓	X

As observed in the table above, two columns have been added that correspond with information relating to the DOE's and Seelig's attestations. Symbol ✓ has been used to indicate that both the lemma and the inflectional form are attested by a source and have the same status, i.e. of lemma or of inflectional form of that lemma. Symbol X indicates that either the lemma or the inflectional form are not attested by any of the sources; this same symbol may also reveal that a

different lemma has been assigned to an inflectional form. By way of illustration, lemma *andgietfullīce* has been attested by Seelig, although this author does not list the inflectional form *andgitfullicost*. The opposite is true for the DOE; this dictionary attests the form *andgitfullicost*, however the lemma that is assigned in this case is *andgytfullīce*, an alternative spelling of the *Nerthus'* lemma *andgietfullīce*. *Beorhte* is a lemma in both sources, the only difference is that one of its inflectional forms, *biorhtost*, is not attested by Seelig. In the fourth line, it can be observed that both the lemma and the inflectional forms are included with the same status in Seelig and the DOE. Finally, *hāte* is a lemma in both sources, however *hatust* is unattested by the DOE; it appears, however, in the DOEC as a unique occurrence.

The analysis has confirmed that there is a total of 886 inflectional forms (tokens) starting with letters A to I that have been mapped into eighty lemmas. Of the total, 858 tokens (70 types) have been attested by the DOE and 768 tokens (36 types) by Seelig. Some inconsistencies found in the lemmatisation of superlatives have to do with the assignment of dissimilar lemmas by the different sources. An example of this is the form *fǣgerost*, which has been assigned *Nerthus'* lemma *fǣgre* 'fairly, elegantly', although the DOE opts for *fǣgere*. In other cases, the DOE has helped identify a lemma for those forms undergoing suppletive comparison, such as *fyrrest* (*feor* 'far, far away').

Another possible problem is the existence of two potential lemmas for one form. This occurs with *inmest*. In the headword list of reference there are two lemmas, namely *inn* 'in, into, inwards, within, inside of; inwardly' and *inne* 'in, inside, within, in-door', that can be associated to the inflectional form. A search for the form in the DOEC revealed that there is only one occurrence in the corpus, particularly in the text from the Cura Pastoralis; the citation in question is *tihð his fet sua he **inmest** mæg* (CP B9.1.3 [1149 (35.241.7)]), which is used by the DOE under the entry for *in, inn*. Consequently, the form *inmest* could be lemmatised under lemma *inn* on the basis of the DOE's criterion.

This study has discovered two inflectional forms, *andgitfullicost* and *eðost*, which have not been attested by the DOE. The lemma suggested by *Nerthus* are *andgietfullīce* 'sensibly, clearly, plainly, distinctly; intelligibly (BT)' and *ēaðe* 'easily, lightly'. In these particular cases, although the form is unattested by the DOE, this dictionary attests a lemma that has the status of alternative spelling in *Nerthus*. This analysis has also permitted the identification of forms with the status of lemma in the DOE but which are part of the inflectional paradigm in *Nerthus*. This is the case of *bet*, which is an example of suppletive comparison of the adverb *wel* 'well, abundantly; very, very easily, very much' in this database.

The study has also identified a divergence in what regards the morphological status of the following forms *eallmæst, endemest* and *fyrst*. The YCOE has tagged them as inflectional adverbs in the superlative and they have been assigned *Nerthus*' lemmas *eallmǣst* 'nearly all, almost, for the most part', *endemest* 'equally, likewise, at the same time, together' and *fyrst* 'at first', respectively. These forms are considered attested spellings rather than inflectional forms of their corresponding headwords in the DOE.

As for the inflectional forms starting with letters L to W, they add up to 293 tokens (36 types), which have been mapped into forty lemmas. By comparing the results with the forms compiled by Seelig, it can be checked that the vast majority of them have been attested by the author. There is one form that has a different status in *Nerthus* and in Seelig's work, this is *wyrs*. According to Seelig it is a lemma, whereas in *Nerthus* this form is part of the inflectional paradigm of *yfel* 'evil, ill, wicked, bad, wretched'.

This research has contributed seventeen superlative forms that have not been compiled by Seelig, although their lemma is attested by the author. These forms are: *geornlicast, geornlicest* (*geornlīce* 'openly, manifestly'), *gewissost* (*wise* 'wisely'), *hatust* (*hate* 'hotly'), *healicast* (*hēalīce* 'highly, aloft'), *hluddost* (*hlūde* 'loudly, aloud'), *længast, længest* (*lange* 'long'), *nearwlicast* (*nearolīce* 'narrowly, closely'), *raðust* (*hraðe* 'hastily, quickly'), *rihtlicost* (*rihtlice* 'justly, uprightly'), *swiðest, swiðosð* (*swiðe* 'very much'), *teartlicost* (*teartlīce* 'sharply, severly'), *ðwyrlicost* (*ðwēorlīce* 'insolently'), *ungeredelicost* (*ungerǣdlīce* 'sharply, roughly'), *widdast* (*wide* 'widely').

The manual assignment of a lemma is not always a straightforward task. It might be the case that there is no formal coincidence in the lemmas suggested by the sources consulted. In this context, the lemma suggested by *Nerthus* prevails over the rest. To illustrate this, the form *fægerost* has been associated to *Nerthus'* lemma *fægre*, a form that is attested as an alternative spelling of *fægere* by the DOE.

As occurred with *inmest*, a similar circumstance has been identified in the assignment of a lemma to the forms *suiðusð* and *suiðust*. Apparently, there are two possible options in the lemma list, these are *suð* 'southwards, south' and *sið* 'late, afterwards'; in this case, however, there is a clear difference of meaning in both candidates. The solution adopted here was to verify the meaning of *suiðusð* and *suiðust* in the citations where they appear: *ðonne ðonne hie hie selfe* **suiðusð** *eaðmedað* (CP B9.1.3 [1457 (41.301.14)]) 'Then they humbled themselves the latest' and *ðeah ða tunga* **suiðust** *mænde* (CP B9.1.3 [1517 (43.309.8)]) 'Still the tongues declare the latest'. As observed, the suitable lemma is *sið* 'late, afterwards' in both cases.

113

Three other inflectional forms required closer inspection as their lexical category is not adverbial but adjectival, these are *leofost, liffest* and *liofast*. The fact that neither *Nerthus* nor Seelig offered a suitable lemma arouse suspicion, that is why it was deemed appropriate to verify their lexical status in context. The following citations correspond to the occurrences of these forms in the DOEC: *þonne hit wære **leofost** gehealden* (WHom 13 B2.3.1 [0004 (12)]) 'and often it is more quickly lost when it is held dearest'; *min bearn **liffest** gedoan* (Ch 1510 (Rob 6) B15.6.27 [0002 (4)]) 'my child has done the quickest'; *swæ him **liofast** sie* (Ch 1510 (Rob 6) B15.6.27 [0004 (11)]) 'as it may best please them'. As evinced in the examples, they perform an adverbial function, however these are the only three occurrences that have been tagged by the YCOE as superlative adverbs, the rest being adjectives. This leads us to suggest that even if the function they fulfil is adverbial, they are adjectives. This hypothesis is supported by Bosworth and Toller's dictionary, which confirms their adjectival status.

Likewise, *endenexð*, which has been tagged as a superlative adverb by the YCOE, is an adjective. This conclusion was reaches after verifying its status in different sources. Firstly, *Nerthus* does not provide any lemma that could be assigned to this form. In addition, the DOE considers this form an alternative spelling of the adjectival headword *endēnext*.

Overall this section has presented the quantitative and qualitative results of the lemmatisation of the Old English superlative adverbs as attested by the YCOE. The lemmatising task has been fully accomplished for the totality of forms and new ones have been identified that have completed the original inventory. Finally, a comparative analysis with the DOE and Seelig has provided mutual feedback and has helped verify and refine the results of the analysis.

6. CONCLUSIONS

This article has contributed to the design and implementation of a methodology for the lemmatisation of Old English adverbs inflected in the superlative. If compared with the verbal lexicon, already lemmatised in previous works by the *Nerthus* project, adverbs present a substantially lower degree of variation and opacity, which has motivated a different methodology, more appropriate for this class.

The lemmatising methodology has consisted of three main tasks: firstly, the extraction of the 1,267 forms from the YCOE identified with the tag ADVS, which has been fully automatic; secondly, the lemmatisation of these forms through the manual assignment of a lemma from the list of headwords supplied by *Nerthus*;

finally, the comparison of the results with a lexicographical and a secondary source. This three-step procedure has thus evinced that the study is based on a combination of sources and of analytical methods that are yet far from being completely automatic.

This work has also laid bare the difficulties that this process entails and has suggested solutions. Basically, the difficulties encountered are in line with the presence of opaque forms, ambiguous forms that can be assigned more than one lemma and, to a lesser extent, forms that have been originally wrongly analysed and are not adverbs. In order to tackle these issues, additional sources have been consulted, such as Old English grammars and dictionaries of reference in the language; in other cases, doubtful forms have been analysed in context to determine their meaning and function as attested in citations.

Considering the work that has been previously developed by members of the *Nerthus* group and the study presented here, it is possible to make further advances in the lemmatisation of the pending major categories, including nouns, adjectives and non-graded adverbs. In addition, a work of these characteristics has direct implications in the field of corpus linguistics as it has proved the feasibility of lemmatising a historical corpus.

7. REFERENCES

Bosworth, J. and T. N. Toller. 1973 (1898). *An Anglo-Saxon Dictionary*. Oxford: Oxford University Press.

Burkhanov, I. 1998. *Lexicography. A Dictionary of basic terminology*. Wydawn: Wyzszej Szkoly Pedagicznej w Rzeszowie.122.

Campbell, A. 1959. *Old English Grammar*. Oxford: Oxford University Press.

Claridge, C. 2008. "Historical corpora". *Corpus Linguistics. An international Handbook*. Eds. A. Lüdeling, M. Kytö and T. McEnery. Berlin: Mouton de Gruyter. 242-254.

Faab, G. 2017. "Lexicography and corpus linguistics". *The Routledge Handbook of Lexicography*. Ed. P. A. Fuertes-Olivera. Abingdon: Routledge. Accessed 15 May 2019, Routledge Handbooks Online. 123-425.

Fulk, R. D. 2018. *A Comparative Grammar of the Early Germanic Languages*. Amsterdam/Philadelphia: John Benjamins Publishing Company. 237-240.

García Fernández, L. 2018. "Preterite-present verb lemmas from a corpus of Old English". *Verbs, Clauses and Constructions: Functional and Typological Approaches*. Eds. P. Guerrero Medina, R. Torre Alonso and R. Vea Escarza. Newcastle: Cambridge Scholars Publishing. 59-76.

García Fernández, L. (fc.). *The lemmatisation of the verbal lexicon of Old English on a relational database. Preterite-present, contracted, anomalous and strong VII verbs.* PhD Dissertation, Department of Modern Languages, University of La Rioja.

Hall, J. R. C. 1984 (1960). *A Concise Anglo-Saxon Dictionary.* With a supplement by H. D. Meritt. Toronto: University of Toronto Press.

Healey, A. diPaolo *et al.* (ed.). 2018. *Dictionary of Old English: A to I online.* Toronto: Dictionary of Old English Project, Centre for Medieval Studies, University of Toronto.

Healey, A. diPaolo with John Price Wilkin and Xin Xiang. 2009. *Dictionary of Old English Web Corpus.* Toronto: Dictionary of Old English Project, Centre for Medieval Studies, University of Toronto.

Maíz Villalta, G. 2010. *The Formation of Adverbs in Old English: A Functional View.* Master's Dissertation, Department of Modern Languages, University of La Rioja.

Martín Arista, J. 2010. "Building a Lexical Database of Old English: issues and landmarks". *Current Projects in Historical Lexicography.* Ed. John Considine. Newcastle: Cambridge Scholars Publishing. 1-33.

Martín Arista, J., L. García Fernández, M. Lacalle Palacios, A. E. Ojanguren López and E. Ruiz Narbona. 2016. *Nerthus V3. Online Lexical Database of Old English. Nerthus* Project. Universidad de La Rioja [www.Nerthusproject.com]

Metola Rodríguez, D. 2015. *Lemmatisation of Old English Strong Verbs on a Lexical Database.* PhD Dissertation, Department of Modern Languages, University of La Rioja.

Metola Rodríguez, D. 2017. "Strong Verb Lemmas from a Corpus of Old English. Advances and issues". *Revista de Lingüística y Lenguas Aplicadas* 12: 65-76.

Mitchell, B. and F. Robinson. 1985 (1964). *A Guide to Old English.* Oxford: Blackwell.

Pintzuk, S. and L. Plug (eds.). 2001. *The York-Helsinki Parsed Corpus of Old English Poetry.* Department of Language and Linguistic Science, University of York.

Seelig, F. 1930. *Die Komparation der Adjektiva und Adverbien im Altenglischen.* Heidelberg: Winter.

Smith, J. J. 2009. *Old English. A Linguistic Introduction.* Cambridge: Cambridge University Press.

Sweet, H. 1976 (1896). *The Student's Dictionary of Anglo-Saxon.* Cambridge: Cambridge University Press.

Taylor, A., A. Warner, S. Pintzuk and F. Beths (eds.) 2003. *The York-Toronto-Helsinki Parsed Corpus of Old English Prose.* Department of Language and Linguistic Science, University of York.

Tío Sáenz, M. 2019. "A semi-automatic lemmatisation procedure: Old English class 1 and class 2 weak verbs". *Electronic Lexicography of Old English* 1: 67-76.

8. APPENDIX. LIST OF LEMMAS AND LEMMATISED FORMS

Ǣr 'previously, beforel': *ærst* [Cocathom1.O3, Coeluc2], *æræst* [Coboeth.o.02], *ærast* [Coboeth.o.02, CochronD], *æresð* [Coboeth.o.02, Cochrond]*, ærest* [Coadrian. O34, Coaelhom.O3, Coaelive.O3, Coalcuin, Coalex.O23,Coapollo.O3, Cobede.O2, Cobenrul.O3, Coboeth.o.02, Cobyrhtf.O3, Cocanedgx, Cocathom1.O3, Cocathom2. O3, Cochdrul, Cochronc, Cochrond, Cocura.C, Codocu1.04, Codocu3.O23, Codocu3. O3, Coeluc1, Coexodusp, Cogregdc.O24, Cogregdh.O23, Coherbar, Coinspold.O34, Coinspolx, Colacnu.O23, Colaece.O2, Colaw1cn.O3, Colaw2cn.O3, Colaw5atr.O3, Colaw6atr.O3, Colsigewz.O34, Colwgeat, Comart2, Comart3.O23, Comary, Coneot, Conicoda, Conicode, Coorosiu.o2, Coinspold.O34, Coinspolx, Colsigewz.O34, Conicoda, Coorosiu.o2, Covinsal, Cowulf.O34]*, ærost* [Cogregdc.O24, Conicodc].

Andgietfullīce 'sensibly, clearly, plainly, distinctly, and intelligibly': *andgitfullicast* [Coboeth.o.02], *andgitfullicost* [Coprefcura.O2].

Beorhte 'brightly, brilliantly, splendidly; clearly, lucidly, distinctly': *beorhtost* [Coboeth.o.02, Conicoda, Coverhom], *beortost* [Coboeth.o.02], *biorhtost* [Coverhom], *biorhtust* [Coverhom].

Beorhtlīce 'splendidly': *gebeorhlicost* [Coverhom].

Bet 'better, of manner better': *best* [Colaw2cn.O3]*, betesð* [CocuraC]*, betest* [CocuraC]*, betst* [Coaelholm.o3, Coaelive.O3, Coapollo.O3, Coboeth.O2, Cobyrhtf. O3, Cochdrul, Cochrond, CocuraC, Codicts.O34, Codocu3.O3, Coinspolx, Colaw2cn. O3, Colaw5atr.O3, Colaw6atr.O3, Conicodc, Coorosiu.o2, Coverhom, Cowulf.O34].

Clǣne 'clean, clearly, fully, purely' Superlative: *clǽnost* [Cowulf.O34].

Ēaðe 'easily, lightly, soon; willingly, readily': *eaðost* [Cowulf.O34,Colaece.O2], *eaðust* [Cowulf.O34]*, eðest* [Coalcuin], *iðesð* [CocuraC]*, yðest* [coeuphr].

Ēaðelīce 'easily (BT)': *eaðelicost* [coherbar], *eaðelicust* [Cowsgosp.O3], *yðelicor* [Coalex.o23, Cogregdc.o24], *eðelicost* [Coboeth.o.02].

Eallmǣst 'nearly all, almost, for the most part': *eallmæst* [Cochronc, Cochrond].

Endemest 'equally, likewise, at the same time, together, unanimously; fully, entirely; in procession': *ændemest* [Coboeth.o.02], *endemest* [Coboeth.o.02].

Ende-nēxt 'last, final': *endenexð* [Coaelholm.o3].

Fægre 'fairly, elegantly, beautifully; pleasantly, softly, gently, kindly; well, justly; early': *fægerost* [Coverhom].

Fæste 'fast, firmly, securely; straitly, strictly; heavily (sleep); speedily': *fæstost* [Coaelive.O3].

Fæstlice 'irmly, constantly, fast, quickly': *fæsðlicost* [CocuraC].

Feorr 'far, far away, distant, remote; far back (in time); further, besides, moreover': *feorst* [Cogregdc.O24], *firrest* [Coorosiu.o2], *fyrrest* [Coboeth.o.02].

Forhæfendlīce 'continently': *forhæfendlicust* [Cochdrul].

Fullīce 'entirely, fully, perfectly, completely': *fullecost* [CocuraC], *fullicost* [CocuraC].

Fyrmest 'at first, most, very well, best': *fyrmest* [Coaelive.O3, Coboeth.o.02, Cocathom, Cochronc, Cochrond, CocuraC, Codocu3.O3, Cogenesic, Coherbar, Coinspolx, Colaece.O2,Colaw2cn.O3, Colaw6atr.O3, Colwgeat, Coorosiu.o2, Cootest.03, Coverhom, Cowulf.O34], *fyrmust* [Coherbar].

Fyrst 'at first': *fyrst* [Cochad .024].

Gearwe 'well, effectually, sufficiently, thoroughly, entirely; quickly; near': *gearost* [Cogregdc.O24].

Gehende 'near, at home; closely, in detail': *gehendost* [Coaelive.O3, Cocathom1, Contempo.O3].

Gelīce 'like as if': *geliccost* [Coverhom], *gelicost* [Coalcuin, Coboeth.o.02, CocuraC, Codicts, Coleofri.O4, Cogregdc.O24, Colaece.O2, Coorosiu.o2, Coverhom], *gelicust* [Cowsgosp.O3].

Gelōmlīce 'often, repeatedly (Sweet)': *gelomlicost* [Coorosiu.o2].

Georne 'eagerly, zealously, earnestly, gladly; well, carefully, completely, exactly; quickly': *geornast* [Coinspolx], *geornest* [Coalcuin], *geornost* [CocuraC, Coinspold.O34, Coinspolx, Colaw1cn.O3, Colaw2cn.O3, Colaw5atr.O3, Colaw6atr.O3, Cowulf.O34].

Geornlīce 'earnestly, diligently, zealously, strenuously, carefully, willingly': *geornlicast* [Coinspolx], *geornlicest* [Cowulf.O34].

Gesundiglīce 'prosperously (BT)': *gesundlicost* [Coboeth.o.02].

Grimlīce 'fiercely, severely, cruelly (BT)': *grimlicost* [Comart3.O23].

Hāte 'hotly, fervidly': *hatost* [Colacnu.O23, Colaece.O2], *hattost* [Coverhom], *hatust* [Colacnu.o23].

Hēalīce 'highly, aloft; in or to high position or rank, loftily; intensely, very': *healicast* [Cobenrul.O3].

Hearde 'hard, hardly, firmly, very severely, strictly, vehemently; exceedingly, greatly; painfully, grievously': *heardost* [Coboeth.o.02, Coorosiu.o2].

HlŪde 'loudly, aloud': *hluddost* [Coverhom].

Hraðe 'hastily, quickly, promptly, readily, immediately, soon; too soon': *hraðost* [Coboeth.o.02, Cocathom1, Coherbar], *raðer* [Cowulf.O34], *raðosð* [CocuraC],

raðost [Cochronc, Cochrond, Cogenesic, Coinspolx,Colaw2cn.O3, Colwstan1.O3, Coorosiu.o2, Cootest.O3, Cosevensl, Cowulf.O34], *raðust* [Cowsgosp.O3].

Inn 'in, into, inwards, within, inside of; inwardly': *inmest* [CocuraC].

Lāðe 'inimically, in detestation': *laðost* [Colaw6atr.O3].

Lange 'long, a long time, far': *længast* [Codocu3.O3], *længest* [Cogregdc.O24], *længst* [Cochrond].

Late 'late; slowly; at last; lately': *latost* [Cobenrul.O3, Coboeth.o.02, Cogregdc. O24].

Leng 'longer': *lengest* [Cochronc, Codicts, Coorosiu.o2], *lengst* [Colsigewz.O34].

Līðe 'in a gentle, soft, calm, mild; gracious, kind, agreeable, sweet manner': *licost* [Coorosiu.o2]

Mǣrlīce 'gloriously, splendidly; excellently': *mærlicost* [coaelive.o3, cowulf.O34].

Mǣst 'most, chiefly, especially': *mæst* [Cochronc, Cochrond], *meast* [Cochrond].

Nēah 'near, nigh; about, almost, nearly, lately': *neaxst* [Coboeth.o.02], *neahst* [Coboeth.o.02, Comart3.O23], *nehst* [Cochronc, Cogregdc.O24, Colaw1cn.O3], *nehste* [Coboeth.o.02], *nest* [Coelofri.04], *nexð* [Cochronc], *next* [Coboeth.o.02], *nihst* [Coorosiu.o2], *nyhst* [Comart3.O23, Coorosiu.o2].

Nearolīce 'narrowly, closely, briefly, accurately; strictly, stringently, oppressively; evilly': *nearwlicast* [Coinspolx].

Niðer 'below, beneath, down, downwards': *nieðemesð* [CocuraC], *nyðemyst* [Contempo.o3].

Nytwierðlīce 'in a 'useful, profitable, manner': *nyttwyrðlicost* [CocuraC], *nytweorðlicor* [CocuraC].

Oft 'above, on high; to or on the other side; from side to side, across; beyond, above (quantity)': *oftosð* [Coboeth.o.02, CocuraC], *oftost* [Coaelive, Coboeth.o.02, Cocathom2, Cochrond, CocuraC, Coinspold.O34, Coinspolx, Colaece.O2, Colaw6atr. O3, Colwsigexa.O34, Coorosiu.o2, Coprefcura, Coquadru.O23, Coverhom, Covinsal, Cowulf.O34], *oftust* [Coherbar, Coverhom].

Onlice 'in a like, resembling, similar manner': *onlicost* [Coorosiu.o2].

Orenlīce 'openly, manifestly, plainly, clearly, unreservedly': *orenlicost* [Coverhom].

Rihte 'right, due, straight (of direction, as in right on, due east), outright; precisely, exactly, just; rightly, duly, well, correctly, truly, properly, fairly, justly; directly, immediately': *rihtost* [Coinspold]*, ryhtosð* [CocuraC].

Rihtlīce 'justly, uprightly, virtuously; properly, rightly, regularly; correctly, precisely': *rihtlicost* [Cobyrhtf, Cocathom1, Codocu3.O3, Coinspold.O34, Coinspolx, Contempo.O3].

Scortlīce 'shortly, briefly, soon': *sceortlicost* [Coaelholm.o3].

Sēl 'better, more effectually, rather, sooner, in preference': *selest* [Cobenrul.O3, Coboeth.o.02, Coherbar, Colaece.O2, Coverhom], *selost* [Coaelive.O3, Colaw1cn. O3, Colaw2cn.O3, Colaw6atr.O3, Colsigewz.O34, Colwsigexa.O35, Contempo.O3, Coquadru.O23]*, selust* [coherbar]*, soelest* [Codocu2.O12].

Seldor 'more seldom, less frequently': *seldost* [Coboeth.o.02].

Sīð 'late, afterwards': *siðestan* [Colawine.Ox2], *suiðusð* [CocuraC]*, suiðust* [CocuraC]

Smalum 'little by little': *smalost* [Colaece.O2].

Smēalīce 'closely, thoroughly, accurately; subtlely': *smealicost* [Coboeth.o.02].

Stīðlīce 'forcibly': *stiðlucest* [Coneot].

Sweotollīce 'clearly, precisely, plainly, visibly, openly': *sweotelicost* [Coorosiu. o2], *sweotolost* [Coboeth.o.02], *swiotelecost* [Coverhom], *swiotolusð* [CocuraC].

Swīðe 'very much, exceedingly, severely, violently, fiercely': *swiðast* [Coalex. o23, Comarvel.o23], *swiðest* [Coaelholm.o3, cochad.024], *swiðosð* [CocuraC], *swidost* [cobenrul], *swiðost* [Coaelholm, Coaelive.O3, Cobenrul, Coboeth.O.02, Cocathom1, Cocathom2, Cochdrul, Cochronc, Codicts, Coepigen.O3, Coeuphr, Cogenesic, Cogregdc.O24, Coherbar, Colaece.O2, Comarvel.O24, Comary, Coorosiu.O2, Cootest, Coprefcath1.O5, Copreflives, Cosevensl, Coverhoml], *swiðusð* [CocuraC], *swiðust* [coaelholm, cobenrul.o3, Coboeth.o.02, cocathom1, cogregdC.o24, coherbar, Coverhom], *swiðast* [Colacnu.o23], *swiðost* [Coaelive. O3,Cobenrul,Coboeth.O.02, Cocathom1, Cochronc, Cogregdc.O24, Coherbar, Colacnu.O23, Colaece.O2, Comart3.O23, Coorosiu.O2, Cowulf.O34], *swiðust* [Cobenrul, Coboeth.O.02, Colaece.O2], *swyðost* [Coaelholm, Coaelive.O3, Coalex. O23, Cocathom2, Cochronc, Cogregdh.O23, Coinspolx, Colaw2cn.O3, Comargat, Cosevensl, Cochrond, Coherbar, Coinspold.O34, Colaw6atr.O3, Cootest, Cowulf. O34], *swyðust* [Cobenrul], *swyðast* [Cowulf.o34].

Teartlīce 'sharply, severely (BT)': *teartlicost* [cobenrul].

Tēonlīce 'in a manner that causes harm or trouble, grievously, miserably (BT)': *teonlycost* [conicodA].

Tulge 'strongly, firmly, well': *tylgest* [Cochad.024].

Ðwēorlīce 'insolently': *ðwyrlicost* [cogregdH.o23].

Ufor 'higher, further away, further up; later, posterior, subsequent': *ufemest* [coaelive.o3]*, yfemest* [Coboeth.o.02].

Undēore 'cheap': *undeorest* [cobenrul].

Ungerēdlīce 'sharply, roughly, violently': *ungeredelicost* [Coboeth.o.02].

Ūt 'out; without, outside': *ytemest* [cobenrul, cowsgosp.o3].

Wǣrlīce 'truly': *wærlicast* [cowulf.o34].

Wel 'well, abundantly; very, very easily, very much; fully, quite; nearly; indeed, to be sure': *wel* [cowulf.o34].

Weorðlīce 'with distinction, gloriously; befittingly (BT)': *wurðlicost* [coapollo.o3].

Wyrs 'worse': *wierst* [CocuraC], *wyrest* [conicodC].

SOME UNEXPECTED BUT CONSPICUOUS SHORTCOMINGS IN TONI MORRISON'S LAST NOVEL[1]

AITOR IBARROLA-ARMENDARIZ
Universidad de Deusto, Bilbao
aitor.ibarrola@deusto.es

ABSTRACT. *In the last five decades, Toni Morrison's fiction has covered such intricate topics as the impact of the past on the present, the damage produced on bodies and minds by different types of abuses, and the power and perils of small communities. She revisits some of those themes in her last novel,* God Help the Child *(2015), but this time zooms in more closely on the topics of child abuse and colorism – an internal racism of blacks against those with darker skin shades.* God Help the Child *proves innovative because the story is set in present-day fictional California, where the rate of child molestation – especially against black children – is just overwhelming. This article intends to show that, despite Morrison's audacious narrative form and storytelling skills, there are some evident shortcomings in the structure and characterization of the novel that are not to be found in her earlier works.*

Keywords: Toni Morrison, *God Help the Child*, narrative form, shortcomings, child abuse, color consciousness.

ALGUNAS DIFICULTADES INESPERADAS, PERO NOTORIAS, DE LA ÚLTIMA NOVELA DE TONI MORRISON

RESUMEN. *Las novelas de Toni Morrison han abordado temas tan complejos como la influencia del pasado en el presente, las secuelas que distintos tipos de maltrato dejan en cuerpos y espíritus, y las bondades y peligros de las comunidades pequeñas. La autora retoma algunos de esos temas en su última novela,* La noche de los niños *(2015), pero se centra sobre todo en el maltrato de menores y el "colorismo" – un racismo interno de los afroamericanos hacia aquellos que tienen la piel más oscura. Lo novedoso de esta novela es que tiene lugar en la California actual, donde las cifras de abuso de menores – en especial de niños negros – son escalofriantes. El principal objetivo de este artículo es mostrar cómo, a pesar de la destreza y la audacia narrativa de Morrison, el lector descubre una serie de puntos débiles en la estructura y los personajes que son poco habituales en la autora.*

Palabras clave: Toni Morrison, *La noche de los niños*, forma narrativa, debilidades, maltrato infantil, conciencia de color.

> The pity is that the book itself [*God Help the Child*] never struggles to answer the questions it poses and keeps these men at the margins. / There are many other characters I'd also like to know more about, whose strategies and coping mechanisms and pleasures I wanted to understand, but the novel withholds so much information.
>
> Kara Walker, "Flesh of My Flesh"

1. INTRODUCTION

Toni Morrison, who passed away in August 2019 at the age of 88, has been widely recognized as one of the most gifted African-American authors when it comes to portraying the experience of Black Americans. Through narrative voices which are at once compelling and vexing, Morrison depicted that experience at very distinct historical junctures. In the eleven novels she published over five decades, Morrison's fiction delved into intricate topics such as the pressure that a traumatic past exerts over the present time, the deep scars that all sorts of abuses leave on human bodies and minds, and the dangers and virtues of small rural communities. In all her novels, blackness is seen as a locus of pain and humiliation, but also of resilience and solidarity (see Mitchell 2014: 250-251).

Not only is she a master in depicting the Black experience, but her novels present her readers with arduous dilemmas, since she is likely to make them thick

with ellipses, discontinuities and both inner and external bedlam. As Linden Peach has rigthly explained, Morrison's oeuvre "extends the dimensions of narrative, [as] we have to place a greater value than previously on incompleteness, disruption, confusion, contradiction, internal inconsistencies and unfulfilled expectations" (1995: 20). In Peach's opinion, these features emerge to a great extent as a result of "the distortion of self created by the imposition of Euro-American cultural ideals on black people" (27).[2] This concern was ever-present in Morrison's earlier fiction and dictated not only the fate of many of her unforgettable characters but, also, the unusual structure of her narratives. Her last novel, *God Help the Child* (2015), also delves into the consequences of the imposition of those white cultural ideals, but they are seen to receive a new treatment now that has somehow divided her audience.

Although *God Help the Child* resumes some of the prickly topics she had already dealt with, she focuses more closely here on the themes of child abuse and *colorism* – an internal racism shown by some African-Americans against those with darker skin color.[3] Obviously, this was not the first time that Morrison decided to scrutinize the issues of childhood traumas and their effects on adults. To mention just a few examples, one should recall Pecola Breedlove in *The Bluest Eye* (1970), Milkman Dead in *Song of Solomon* (1977) or, more recently, Frank Money in *Home* (2012), all of whom lived through dreadful experiences in infancy that profoundly marked their lives. What seems new in *God Help the Child* is the fact that the main plot takes place in fictional contemporary California, where, to the surprise of most readers, the rate of children's exposure to physical violence and molestation – especially if they are black – is just astounding. This can be easily confirmed by looking at the figures published by the "National Survey of Children's Exposure to Violence," which show that more than sixty percent of all children are victims of violence from birth to the age of seventeen and thirty-eight percent witness some type of violence during their childhood (National Center 2010). These rates skyrocket in the case of African-American children as "Black youth are three times more likely to be victims of reported child abuse or neglect, three times more likely to be victims of robbery, and five times more likely to be victims of homicide" (2010). In his book *Between the World and Me* (2015), Ta-Nehisi Coates offers all kinds of illustrative examples of how black bodies are humiliated, reduced, and destroyed from the tenderest stages of their childhood.

---

2 Many of the reviews of Morrison's works gathered in Nellie McKay's *Critical Essays on Toni Morrison* refer very explicitly to the pernicious effects that the imposition and perpetuation of certain standards and values of the white society has had on the Black population – especially on Black women. See also Keita (2018: 44-48).

3 For a more thorough description of this type or racism, check Jakira M. Davis' (2015) MA thesis. This scholar focuses more specifically on the topic of colorism in African-American literature written by women, with special emphasis on the works of Morrison and Trethewey.

Nearly all the characters in Morrison's novel – be they black or white – have been victims of some form of misdeed during their childhoods and the *scars* left by those psychological wounds are most visible in the two protagonists: Lula Ann Bridewell (or just "Bride") and Booker Starbern.[4] As a young girl, Bride was the target of her mother's contempt and she suffered the prejudice of the latter's color-consciousness (or *colorism*) as a result of her lighter skin color, which prevented her from showing any warmth toward a girl "so black she scared me" (Morrison 2015: 3). Although Bride grows up to become a successful cosmetics designer, it is evident that she never managed to work through her mother's rejection and, every time she runs into any difficulty, her feelings of insecurity and vulnerability will resurface again (cf. López Ramírez 2017: 183). Likewise, Booker is also deeply agitated by a case of paedophilia and multiple murders which left him without his beloved elder brother, Adam, at a very early age. Due to his increasing resentment toward his family, deriving from their decision to move on with their lives after Adam's death, Booker is described by his aunt, Queen Olive as a "a leaver" (2015: 146).

As mentioned above, the reception of Morrison's novel has been evenly divided between those scholars and reviewers who have considered it "too contrived" and "frustratingly flawed" (see Charles 2015; Gay 2015; Hutchinson 2015) and those others who, like Kakutani, believe that "it attests to her ability to write intensely felt chamber pieces that inhabit a twilight world between fable and realism, and to convey the desperate yearnings of her characters for safety, and love, and belonging" (2015).[5] In a similar line, Martín-Salván praises "the revelatory structure of the novel" (2018: 610) concerning childhood traumas and racial tensions, while she also affirms that it retains Morrison's talent for disruption and lack of closure (621). On the other hand, Lionel Shriver contends in the *New Statesman* that *God Help the Child* lacks the moving, brave, and provocative qualities of her earlier works due to some arbitrary turns in its plot (2015). In a like manner, David Ulin argues that the novel "reads like a set of talking points, archetypes and illustrations, with little of the messy complexities of experience" (2015). In the pages below, some of the reasons that may explain such divergent judgments are considered to try to make a more accurate estimation of the overall literary merit of the novel.

---

4   The article by R. M. Prabha (2016) included in the list of references offers an in-depth analysis of the various types of abuses (physical, negligent, emotional, etc.) that these two characters suffer in Morrison's novel. Besides, Prabha revisits several earlier works by Morrison in which the abuse of children is also significantly dwelt upon.

5   For another positive appraisal of *God Help the Child*, see Charlotte Anrig's article in the *Harvard Crimson* (2015). This critic underlines the immense dexterity with which Morrison represents the damaged psychology of abuse victims, as well as the terrible consequences of this type of crime on its sufferers.

Thus, the main aim of this article is to demonstrate that, despite the unquestionable narrative skill of the author, which becomes evident in her audacity to use very different styles – with constant shifts in point of view and language register – one must come to the conclusion that the themes covered in the novel are far too complex and intricate to be fully explored in this slim volume. As Bride's mother – who, ironically, prefers to be called "Sweetness" instead of "mom" by her daughter – finally admits in a revealing passage of the novel: "What you do to children matters. And they might never forget" (43). As the next section of the article shows, this is one of the central ideas that *God Help the Child* tries to establish most intently. Nevertheless, as Ellen Akins has observed, although this is the kind of material of which great novels are made, "here it seems cursory, a slapdash admixture of plot and explanation with the occasional redeeming image or burst of inspired language" (2015). The third part of this article contemplates the unstable balance the reader experiences between the indisputable virtues of the writing and the conspicuous shortcomings of the narrative.[6] In the closing section, some final conclusions about these tensions are drawn.

2. A FEW NOTES ON THE INNOVATIVE ELEMENTS IN *GOD HELP THE CHILD*

As mentioned earlier on and as the very title of the novel suggests, Morrison has decided to focus her attention on the theme of child abuse and maltreatment. Prabha notes that "In Morrison's last novel, many mothers are seen to be neglecting their children. Child abuse cuts a sharp wound through Morrison's *God Help the Child*. The novel is a brisk modern day tale with shades of the imaginative cruelties visited on children" (2016: 23). What is most disturbing to the reader is that practically no character is free from the deep psychological wounds inflicted on their personality by some harrowing incidents they experienced during their infancy.[7] These incidents may range from the emotional blackmail and negligence of parents to the most gruesome instances of physical and sexual violence. Readers are dismayed by the realization that the ramifications of the problem often spread into the most recondite places of the characters' minds in such a way that no home or family can be considered a safe haven for even the youngest children. Nevertheless, what is unique about this novel is that the writer does not put much

---

6   Kathryn Kulpa has also noted that although reviews of the novel were generally respectful, they were also rather mixed in nature with some critics underlining its strengths in dealing with very contemporary topics, while others complained that those topics were clearly "under explored" (2016: 230).

7   Ron Charles (2015), David Ulin (2015) and other reviewers of the novel have all claimed that it is a bit "suspicious" that none of the main characters of the novel has had a happy childhood, which could make the readers surmise that there is a degree of "authorial manipulation" in bringing all those troubled lives together within the same narrative.

emphasis on racial difference, at least concerning the degree of vulnerability of the different families regarding these types of aggressions. This means that the innocence of white children is as threatened by these despicable conducts as that of black minors and, in this regard, the examples of Brooklyn, Bride's colleague at Sylvia, Inc., and Rain are really illuminating. While it is true that racial prejudice may still emerge in the activities of those adults in charge of the protection of the children's safety – teachers, nurses, police officers, etc.–, Morrison understands that it is other factors such as poverty, social exclusion, religious fanaticism or other social disgraces that most significantly underpin this problem (cf. Drake *et al.* 2011).[8]

In Evelyn Schreiber's opinion, the burden of the cultural trauma caused by slavery is present in Morrison's earlier novels and "characters in various generations work through personal and contextual layers in unique ways" (2010: 1-2). It seems undeniable that in works such as *Song of Solomon* (1977) and *Beloved* (1987) circumstances force most of the characters to struggle against the blatant signs of hate, exploitation and racial segregation to which they are exposed as a result of their skin color at different historical junctures. Sam Durrant has said on this point that "Underneath the dark skin that is the biological signifier of race lurks the racial memory of having been identified as less than human, a memory that lodges itself in the flesh precisely because it is a memory of having been reduced to flesh" (2004: 96). Logically, one would expect things to be significantly different in a novel set in California – probably the most multiethnic and diverse state in the US[9] – at the outset of the 21st century. Thus, when Bride tells Booker about her mother's preference for lighter skin shades, he retorts rather offended that "Scientifically there is no such thing as race, Bride, so racism without race is a choice. Taught, of course, by those who need it, but still a choice. Folks who practice it would be nothing without it" (2015: 143). Since this kind of knowledge is now generally accepted and substantial social changes have taken place since the Civil Rights Movement in the 1960s (cf. Chafe 2003: 481-524), it is evident that the burden of the historical-cultural trauma that the protagonists of *God Help the Child* may carry is surely much lighter. Nevertheless, they are faced with several related

---

8   In the article "Post What? Disarticulating Post-Discourses in Toni Morrison's *God Help the Child*", Delphine Gras contends that, although the plot of Morrison's novel takes place in a supposedly post-racial historical period, the fact is that the female black body is still at this time the main victim of abuses and reification. As Gras states, "the legacy of slavery still dictates the way Black female bodies are seen and treated in twenty-first-century America" (2016: 1).

9   For more information on this topic, see Lee Hubbarb's article on the rapidly increasing ethnic diversity of the State of California included in the References. This journalist focuses his attention on the growing presence of minority groups in domains such as education, politics, and the media, all of which have substantial incidence on the power structures.

problems that they are compelled to wrestle with and that they find formidable to overcome (see Keita 2018: 49-52).

When one examines the cases of Bride and Booker, it is clear that skin color is at the very root of the childhood traumas that they endure. Mashaqi and Al Omari maintain in their analysis of the novel that it "shows how black people, and children in particular, are still suffering from marginalization in the modern American society" (2018: 178). On the one hand, Lula Ann Bridewell is rejected by her parents when she is still a baby due to her extremely obsidian skin color: "Midnight black. Sudanese black" (3). Bride's mother, Sweetness, is deeply infected by the notion – still extant among some African-Americans – that a distinctly black skin color is a signifier of an inferior and subsidiary social standing.[10] As soon as Bride is born, her mother is convinced that her life will never be the same thereafter: "It didn't take more than an hour after they pulled her out from between my legs to realize something was wrong. Really wrong!" (3). And, of course, this turns out to be some sort of self-fulfilling prophecy, since from that very moment Sweetness is going to be distrusted and, eventually, abandoned by her husband. He wrongly assumes that his wife has been unfaithful to him, and Sweetness's life takes an implacable downturn. Each time her voice is heard in the novel, it is to air her excuses and guilty feelings concerning the reasons that pushed her to treat Lula Ann in such a cold manner and to avoid displaying any sign of love or affection toward her at all costs. But, of course, there was an astonishing social pressure to pass for a particular type of Black:

> Some of you probably think it's a bad thing to group ourselves according to skin color—the lighter, the better—in social clubs, neighborhoods, churches, sororities, even colored schools. But how else can we hold on to a little dignity? How else can you avoid being spit on in a drugstore, shoving elbows at the bus stop, walking in the gutter to let whites have the whole sidewalk, charged a nickel at the grocer's for a paper bag that's free to white shoppers? Let alone all the name-calling. (4)

On the other hand, Booker Starbern also lives under the unbearable burden of his childhood memories inevitably linked to the kidnapping and subsequent murder of his elder brother at the hands of a pedophile. Thinking about the horrors that Adam must have gone through before his kidnapper and abuser put an end to his life only makes the misery of his loss even worse. But two key circumstances need to be borne in mind to understand the true extent of his grief. What makes Booker exasperated is the reaction that he observes in the authorities and the community as a whole when his brother goes missing: "When the police

---

10 For additional information about this little-known social phenomenon, see the Introduction and the first chapter of Jakira M. Davis' MA thesis (2015: 1-16). Davis moves on to analyze the effects of colorism on Black women's self-image as shown in different literary works.

responded to their plea for help in searching for Adam, they immediately searched the Starberns' house—as though the anxious parents might be at fault. They checked to see if the father had a police record. He didn't. 'We'll get back to you,' they said. Then they dropped it. Another little black boy gone. So?" (114). Another aspect that Booker has trouble accepting is the semblance of normalcy that his own family fabricate just a few weeks after they have attended Adam's funeral. He cannot understand how his parents and his siblings can even think of returning to their daily activities and resume their family routines – "Booker thought their joking strained and their made-up problems both misguided and insulting" (116-17) –, when he himself is going through a true nightmare. Thus, it is not surprising that years later, when the molester and serial murderer has been arrested and Booker is studying at university, he feels utterly alienated from his family and decides to sever the weakened ties that kept him connected to them: "When he visited his and Adam's old bedroom, the thread of disapproval he'd felt during his proposal of a memorial [to his murdered brother] became a rope, as he saw the savage absence not only of Adam but of himself. So when he shut the door on his family and stepped out into the rain it was an already belated act" (125).

Both Bride and Booker leave their respective families behind – one to become an executive in a cosmetics firm and the other to turn into an intellectual and occasional musician – when they realize that their childhood traumas are a burden too heavy to carry.[11] After they meet accidentally and fall for each other almost instantly, they remain together for six months during which their lives are replete with pleasures that would have been previously inconceivable. Nevertheless, the romance comes to an unexpected and sudden conclusion when Booker abruptly decides to leave after telling Bride: "You not the woman I want" (8). This happens soon after Bride informs him that she was preparing some gifts for to a child abuser who was being released from prison after completing a long sentence. In the closing paragraph of this section, more space will be devoted to the role played by this alleged criminal, Sofia Huxley, in Bride's life. As the novel moves on, it becomes increasingly clear that the chasm stretching between the two lovers is intimately related to the traumas that they both suffered in infancy. Neither of them seems to have fully recovered from them and the rest of the novel recounts their strenuous efforts to heal those wounds and to come together again, despite their mutual resentment. As Walton Muyumba rightly points out, "the characters Bride and Booker must learn how to draw up *their* respective

---

11 Morrison's novel may be read as a paradigmatic example of what has been referred to these last few decades as *trauma fiction*. Both in terms of content and form, *God Help the Child* contains many of the ingredients that the reader expects to find in this type of literature: repressed memories, unhealed psychological wounds, guilty feelings, etc. See also Keita, who argues that "love and loss constitute the fulcrum of the traumatic experiences of Bride and Booker" (2018: 48).

womanhood and manhood in order to fulfill the promise of their affair" (2015; emphasis in original).

However, as has been observed previously, the cases of children who have been either victims or witnesses of abuses are not restricted to the main characters, nor to any definite racial group. Brooklyn, Bride's best friend and closest co-worker at the cosmetics company, is a very revealing example. Her predator was "hiding" in her own home – which is quite typical in cases of child abuse, as the data gathered in poor neighborhoods of urban areas show (National Center 2010). Brooklyn feels really proud of a gift that she has had since she was a little girl, which consists of being able to foresee how people are going to behave under certain circumstances: "Like when the landlady stole the money lying on our dining room table and said we were behind in the rent. Or when my uncle started thinking of putting his fingers between my legs again, even before he knew himself what he was planning to do" (139). As is to be expected, like many other characters in the novel, Brooklyn chooses to pull out of her dysfunctional family when she is an adolescent, for she realizes that her possibilities of coming out unharmed from such a noxious context are practically nil: "I ran away, too, Bride, but I was fourteen and there was nobody but me to take care of me so I invented myself, toughened myself. I thought you did too except when it came to boyfriends" (140). This last comment shows her resentment of Bride's decision to begin her life anew with Booker.

When Bride finally decides to go in search of Booker – using an overdue notice from a pawn and repair shop –, she has a car accident on a dark and scarcely-traveled rural road, and a white girl called Rain helps her. Bride has broken her ankle in the crash and needs to stay with Rain's surrogate parents, a pair of hippies named Steve and Evelyn, for a month and a half.[12] During this period of time, Bride becomes Rain's best friend and confidant, and she hears how the girl's mother forced her into prostitution until she hurt one of her mother's clients at the age of six and Rain was thrown out of the house: "'He stuck his pee thing in my mouth and I bit it. So she apologized to him, gave back his twenty-dollar bill and made me stand outside.' […] 'She wouldn't let me back in. I kept pounding on the door. She opened it once to throw me my sweater'" (101-2). Like in Brooklyn's case, Rain was also a victim of her closest kin. Despite Steve's and Evelyn's best efforts to assist Rain in recovering from those terrible experiences at home and, later, on the streets, it is apparent that the girl has serious problems

---

12 In his review of Morrison's novel in *The Telegraph*, Leo Robson (2015) reads the book through a mythical-symbolic prism, establishing a cogent connection with Ovid's *The Metamorphoses*. Obviously, it is in this part of the novel, when Bride is outside her natural milieu, that her transformation – both physical and psychological – accelerates and becomes most apparent.

communicating with them, so Bride comes as a new opportunity for her to be able to express her intense pain: "She's a cat now and I tell her everything. My black lady listens to me tell how it was" (104).[13]

Last but not least, there is also the case of Sofia Huxley, a Primary School teacher who was accused by Bride and a group of other children of molesting some of her students. Nevertheless, the reader soon realizes that Bride's accusation was false and that she was just trying to attract her mother's attention after so many years of neglect. As she was still very immature and in so much need of her mother's affection, Lula Ann testified against Huxley during the latter's trial, without fully realizing the serious consequences of this step. Fifteen years later and after having barely managed to survive in prison, it is not surprising that Sofia should react the way she does to Bride's visit and her attempt to amend the mistake she made as a girl: "I blanked. My fists took over as I thought I was battling the Devil. Exactly the one my mother always talked about—seductive but evil. As soon as I threw her out and got rid of her Satan's disguise, I curled up into a ball on the bed and waited for the police" (70). What seems most interesting about this violent episode is the torrent of memories that return to the former teacher – which include scoldings and punishments – in a home where her parents were true religious zealots. The long list of adults who were maltreated as children in the novel could be made even longer. *God Help the Child* offers more than enough evidence to attest that, as many experts have concluded, "the trauma children experience when they are exposed to physical, sexual, and emotional violence harms their ability to mature cognitively and emotionally, and it scars them physically and emotionally well into their adult lives" (Defending Children 2012: ii).

3. STRENGTHS AND SOME EVIDENT SHORTCOMINGS IN MORRISON'S LAST NOVEL

Although the later novels by Toni Morrison seem rather short and modest in comparison with some of her earlier works of fiction, several reviewers contended that they are still able "to pack an emotional wallop" and they show "a new urgency […] to tell the story itself, without embellishment and ornamentation" (Umrigar 2015: np). Surely, that urgency is manifest in *God Help the Child*, since the writer manages to squeeze many of the horrors of the childhood traumas of at least seven characters in under two hundred pages. There is little need to clarify that the difficult theme itself requires the crude language and highly-emotional

---

13 Several reviewers (Gay 2015; Moore 2015: 70) have argued that the relationship between Bride and Rain is only very shallowly and vaguely sketched in the novel so that the mutual trust that they develop in that short stretch of time seems rather unconvincing. Others have read it as just a fairy tale or a fable (see López Ramírez 2017: 174-176).

style that Morrison uses throughout most of the novel. In order to capture the experiences of those deeply-hurt characters – and to do it often in their own words –, high levels of terseness and precision become necessary. And yet, as will be seen below, the reader frequently has the impression that many of the characters and their profound changes in the novel would have called for more space and elaboration in order to be properly developed. In this regard, Muyumba and other analysts have complained that "with so many speedy narrative turns, the author risks missing some requisite details" (2015).

By quickening and significantly compressing the action of the novel, Morrison is giving up a substantial part of the narrative talent that characterized most of her earlier works. Still, scattered throughout the novel, notable instances of the author's storytelling skills emerge which provide a few gleams of light and warmth to a mostly dark and sinister story about the pain accumulated by characters whose sense of selfhood has been severely damaged. One example takes place when we are told Booker's recollections of the last time he saw his adored brother, Adam, just before he was kidnapped by the child molester who eventually killed him:

> The last time Booker saw Adam he was skateboarding down the sidewalk in twilight, his yellow T-shirt fluorescent under the Northern Ash trees. It was early September and nothing anywhere had begun to die. Maple leaves behaved as though their green was immortal. Ash trees were still climbing toward a cloudless sky. The sun began turning aggressively alive in the process of setting. Down the sidewalk between hedges and towering trees Adam floated, a spot of gold moving down a shadowy tunnel toward the mouth of a living sun. (115)

Curiously, some of these mesmerizing passages crop up in Part III of the novel – the section recounting Booker's backstory –, which is narrated from an omniscient third-person perspective. This is partly predictable because this section is not so affected by the turbulences that trammel the narrations of most of the characters. As Muyumba sees it, "Booker's narrative is the novel's most accomplished section. Few writers, regardless of gender, can address the vagaries of black masculinity as sensitively, insightfully, and elegantly as Morrison" (2015). Analogous examples of the sensitivity and lucidity with which the author handles the tribulations of Black masculinity can be found both in *Song of Solomon* and *Home*. While it is true that Morrison's bewitching use of the language becomes most apparent in this part of the book, it must be admitted that the other sections – narrated by Sweetness, Bride, Brooklyn, Sofia and Rain – manage to successfully capture many of the nuances of the different characters' changing emotions. Some reviewers (Kakutani 2015; Evaristo 2015) have praised the author's ability to get under the characters' skin and to render their experiences in highly idiosyncratic language registers. For instance, the indignation that Sofia feels in prison, when

she realizes that child abusers – which, of course, she is *not* – are perceived as the worst possible criminals, becomes apparent in the following passage:

> We were at the bottom of the heap of murderers, arsonists, drug dealers, bomb-throwing revolutionaries and the mentally ill. Hurting little children was their idea of the lowest of the low—which is a hoot since the drug dealers could [*sic*] care less about who they poison or how old they were and the arsonists didn't separate the children from the families they burned. And bomb throwers are not selective or known for precision. (66)

In spite of the unquestionable relevance and momentousness of the theme and the diverse perspectives on it present in the text, the reader may feel at different stages of the plot that Morrison is forcing the situations in order to get her message across ("What you do to children matters" [43]) more clearly. For instance, the sections in which Sweetness and Bride squabble about the motives that spurred the former to show such a cold attitude toward her daughter and the effects that such behavior had on the latter may sound rather factitious. As Earl Hutchison has remarked, "The parade of contrivances continues [later on in the novel] with a car accident in which Bride winds up in the woods in the company of hippie outcasts. These tragedies are so grossly exaggerated that you need a scoreboard to try and make sense of where this is going" (2015). Obviously, the fact that most of the characters carry the heavy burden of their respective pasts, as well as their difficulty in reacting to the behaviors and words of others in more natural ways, may help us accept some of these occurrences and unlikely coincidences. Nonetheless, the reader may still feel that some of the essential traits of the characters are not sufficiently dwelt upon and that many of their reactions would have deserved much more exhaustive treatment.[14] For example, one is quite astonished by Brooklyn's adverse attitude toward Booker from the beginning of the novel – even before the latter rejects her sexual advances – or, perhaps even more confounding, there is Sweetness's fixation with darker skin colors, which surfaces recurrently in the novel: "I wasn't a bad mother, you have to know that, but I may have done some hurtful things to my only child because I had to protect her. Had to. All because of skin privileges. At first I couldn't see past all that black to know who she was and just plain love her. But I do. I really do" (43). The scarcity of important information regarding the past of most of the central characters does not help the reader much in terms of establishing the motivations and the radical transformations that they are seen to undergo throughout the story. In this regard,

---

14 Several reviewers of the book (Charles 2015; Robson 2015) have concurred that, while it is true that the author's intention of trying to understand her characters is one of the main engines of the narrative, in the end it becomes one of its major weaknesses as it is evident that in most instances her explanations of "the causes and motives tend towards simplicity" (Robson 2015).

Gay concludes her review in *The Guardian* stating that "*God Help the Child* is the kind of novel where you can feel the magnificence just beyond your reach. […] The story carries the shape of a far grander book, where the characters are more fully explored and there is far more at stake" (2015).

Probably, Sweetness's consternation upon witnessing how people react when they first see her baby girl would have needed some clarification about the antecedents that have turned her into the woman she is, deeply conscious of her skin color: "I did the best I could and didn't take her outside much anyway because when I pushed her in the baby carriage, friends and strangers would lean down and peek in to say something nice and then give a start or jump back before frowning. That hurt" (6). The reader could assume that Sweetness's perceptions are biased by some prejudice she must have developed in the past, but even if that were so, her distortions of reality still seem a bit preposterous.[15] The same thing may be said about the close bond that is built between Bride and Rain in just a few weeks, which could be partly explained by the fact that both of them have gone through harrowing experiences in the past. And yet, once again, a more meticulous analysis of their friendship would have been desirable to really understand why Bride should decide, without much hesitation, to risk her own life in order to protect Rain's from the attack of some rednecks: "My black lady saw him and threw her arm in front of my face. The birdshot messed up her hand and arm. We fell, both of us, her on top of me. I saw Regis duck down as the truck gunned its engine and shot off" (105).

On the other hand, it is also quite inevitable to consider the inclusion of a number of elements of magical realism in the novel, which have given rise to rather divergent responses among critics. Readers are quite amazed to discover that, soon after Booker decides to abandon her life abruptly, Bride's body begins to show symptoms of metamorphosing into that of a young girl: she loses her pubic hair, the tiny holes in her ears disappear, her breast becomes flatter, etc. "Had her ankle not prohibited it, she would have run, rocketed away from the scary suspicion that she was changing back into a little black girl" (97). Evidently, this physical regression could be symbolically interpreted as the reemergence of some of the traumas that she had lived through as a girl (cf. López Ramírez 2017: 183). As a matter of fact, the protagonist keeps discovering these changes in her physiognomy as memories from her infancy, which had been long dormant or repressed, return to her during her recuperation from the accident. But Ellen Akins

---

15 Fernanda Moore (2015) and other analysts have indicated that many of the inconsistencies they find in the novel derive precisely from these highly subjective – and generally biased – judgments that many of the characters make of reality. From these readers' perspective, these characters sometimes seem to live in utterly different fictional worlds.

has viewed these forays into the *uncanny* as rather "opportunistic" (Akins 2015), since they do not appear to be sufficiently integrated into the different sections narrated by Bride in the novel. According to Charles, in a like manner, while in prior works by Morrison the supernatural elements and "surreal touches seem evocative and weirdly natural", in this novel they become "clunky symbols" that are quite often "needlessly explained" (2015).[16] These elements have very little to do with the superb use of magical realism in novels such as *Song of Solomon* or *Beloved*, in which the supernatural elements are linked to the collective consciousness of her people and to her attempts to enhance the readers' perception of reality and history (see Simal 1997: 317-318).

To conclude this section, it must be said that whereas there are aspects of the plot which the author reiterates – sometimes almost obsessively –, there are other key questions that remain only shallowly examined and that somehow cripple the structure of the novel. Even though at the outset of this article certain discontinuities and ellipses in Morrison's narratives were praised as one of her greatest contributions to the development of fiction writing in recent times, the aforementioned *slights* seem to be of a different nature here. Rather than enticing the reader to complete aspects of the plot that have intentionally been left inconclusive, what readers encounter in *God Help the Child* is a series of incongruities that make them have doubts about the cohesion and verisimilitude of the story. Several episodes could be appraised here with a view to illustrating this point: there is Sofia Huxley's trial for child abuse or the protagonist's, Lula Ann Bridewell's, pregnancy near the end of the novel. It has already been mentioned that Bride's statement against her teacher during the trial was a lie that she invented in order to gain her mother's affection: "I lied! I lied! I lied! She was innocent. I helped convict her but she didn't do any of that. I wanted to make amends but she beat the crap out of me and I deserved it" (153). But, what the novel never clarifies is what pushed the other children to lie in their depositions as well: Were all of them also victims of traumas similar to those of Lula Ann? How does one explain that sort of collective hysteria – other mothers call her "devil" and "bitch" (16) during the court action – if she was innocent? Even more perplexing is the question of Bride's pregnancy, for it determines to a great extent the happy ending of the novel. Once Booker has scattered Queen's, his rebel aunt's, ashes into the brook, and after holding an informal ceremony in her honor, he walks back to Bride's Jaguar, where she manages to gather enough courage to confess that she is pregnant: "You heard me. I'm pregnant and it's yours" (174). Most readers

---

16 In her review of the novel in *The New York Times*, Kara Walker (2015) also complains about certain "moralizing" and didactic detonations present in it. Furthermore, this author finds it rather strange that the changes experienced by Bride's body throughout the story are only perceived by the protagonist, without any of the other characters apparently noticing those striking transfigurations.

would read this sudden revelation as a culmination of the recovery process of their damaged identities that both protagonists have experienced – assisted by Queen Olive – in the last stretch of the novel (see López Rámirez 2017: 186). However, this reading would overlook some important incidents in the early stages of the story that seriously problematize that "happy ending" of the novel. On the one hand, there is Bride's revengeful attitude and behavior after Booker abandons her: "My life is falling down. I'm sleeping with men whose names I don't know and not remembering any of it. What's going on? I'm young; I'm successful and pretty. Really pretty, so there! Sweetness. So why am I so miserable?" (53). Bride's confused reaction to Booker's leaving does not only throw some doubt on the paternity of the baby that she carries in her womb, but it also shows the depth of the wounds that both of them sustain, and which are likely to reopen again at any moment. Queen's reflections regarding the future of the couple – in the light of her own experiences as a mother of several children – could be read in this sense as sort of premonitory:

> They will blow it, she thought. Each will cling to a sad little story of hurt and sorrow—some long-ago trouble and pain life dumped on their pure and innocent selves. And each one will rewrite that story forever, knowing the plot, guessing the theme, inventing its meaning and dismissing its origin. What waste. She knew from personal experience how hard loving was, how selfish and how easily sundered. […] Youth being the excuse for that fortune-cookie love—until it wasn't, until it became pure adult stupidity. (158)

4. CONCLUSIONS

In spite of the aforementioned weaknesses and inconsistencies, it must be admitted that Toni Morrison showed great ambition and audacity in trying to tackle difficult issues that, besides being very urgent under the current circumstances, also demand a profound knowledge and understanding of the complexities of the human mind. In this regard, there is no denying that there are passages of *God Help the Child* which demonstrate the author's high aspirations both in terms of the themes she explores and the narrative and stylistic qualities of the writing. Bernardine Evaristo has claimed that her writing is "as fresh, adventurous and vigorous as ever" and that her "new novel challenges the assumption that writers lose their mojo once they reach a great age" (2015). The description of the beginning of the fire at Queen's mobile home provides a good idea of the merits of those gifts:[17]

---

17 This passage is full of reverberations of the scene in *Sula* in which the dress of the protagonist's mother, Hannah, bursts into flames when she is trying to light a fire. One can easily observe the consistency of Morrison's style by comparing both prose passages.

It began slowly, gently, as it often does: shy, unsure of how to proceed, fingering its way, slithering tentatively at first because who knows how it might turn out, then gaining confidence in the ecstasy of air, of sunlight, for there was neither in the weeds where it had curled.

It had been lurking in the yard where Queen Olive had burned bedsprings to destroy the annual nests of bedbugs. Now it traveled quickly, flashing now and then a thin red lick of flame, then dying down for seconds before springing up again stronger, thicker, now that the way and the goal were clear: a tasty length of pine rotting at the trailer's pair of back steps. Then the door, more pine, sweet, soft. Finally there was the joy of sucking delicious embroidered fabric of lace, of silk, of velvet. (164)

Very few writers have the talent to penetrate the minds and the yearnings of the characters, and even of some objects – the fire, in this case –, revealing the kind of understanding and empathy that Morrison demonstrates in these lines. Not only is the fire described here as possessing a mind of its own, with all its cautions and delights, but it is turned into one of the key figures in this part of the novel, making an important turning point in the plot.

In the same line, it is also unquestionable that Morrison has great dexterity in structuring her works in such a way that the messages she wishes to convey become crystal clear. The denouement of this novel, for example, is fraught with all the nuances and ambiguity that characterize her best fiction, since after Bride tells Booker about her pregnancy, the reader feels both the impulse to interpret this fact as an evident sign of new hopes for the couple and the temptation to see the shadows that Sweetness seems to throw on the revelation: "A child. New life. Immune to evil or illness, protected from kidnap, beatings, rape, racism, insult, hurt, self-loathing, abandonment. Error-free. All goodness. Minus wrath. / So they believe" (175). The novel concludes with Sweetness's reflections on her own mistakes as a mother and the foreseeable difficulties that Bride, her daughter, is going to face in that same role in the future: "If you think mothering is all cooing, booties and diapers you are in for a big shock. Big. You and your nameless boyfriend, husband, pickup—whoever—imagine OOOH! A baby! Kitchee kitchee koo!" (178).

Despite all the flashes of narrative inventiveness and the undeniable power that the novel reveals, it would be inaccurate – and uncritical – not to recognize that there are sections of the book which rush to rather simple-minded explanations and use clichéd metaphors to substantiate some of the unexpected twists in the plot. As some experts and reviewers have remarked, the book is more like a sketch drawn by bringing together improvised brushstrokes than a thoroughly designed and deeply meditated artwork (cf. Akins 2015; Gay 2015). In Lionel Shriver's opinion, what could have become a superb long novella, "proceeds

with a peculiar aimlessness, even arbitrariness, leaving the strong impression that this and that were simply made up willy-nilly and didn't hew to an overarching purpose" (2015). Even though some specialists have said that *God Help the Child* could be viewed as an attempt on the author's part to make her oeuvre come full circle (Evaristo 2015), by revisiting many of the themes that she had already explored in her earliest works, it is impossible not to notice that her last novel is plagued by certain weaknesses that were not previously present. Bearing in mind Morrison's felicitous reputation and her huge stature as a writer, with a remarkable career of over forty years, it is not easy to decipher what sort of influences – personal, editorial, cultural or of a different kind – may have interfered in the making and publication of *God Help the Child* to cause some unexpected weaknesses. What seems undeniable is that her last novel exhibits a number of imperfections that may baffle the most attentive readers, even if it still retains some of the recognizable features of her narratives.

REFERENCES

Akins, E. 2015. "Review: *God Help the Child*, by Toni Morrison". *The Star Tribune*, 17 April. <http://www.startribune.com/review-god-help-the-child-by-toni-morrison/300300341/> (Accessed 19 May 2016)

Anrig, C. L. R. 2015. "*God Help the Child* a Mature Morrison Child". *The Harvard Crimson*, 21 April. <https://www.thecrimson.com/article/2015/4/21/god-help-the-child/> (Accessed 19 May 2016)

Chafe, W. H. 2003 (1986). *The Unfinished Journey: America since World War II*. Fifth Edition. Oxford and New York: Oxford University Press.

Charles, R. 2015. "Toni Morrison's familiar, flawed *God Help the Child*". *The Washington Post*, 14 April. <https://www.washingtonpost.com/entertainment/books/toni-morrisons-familar-flawed-god-help-the-child/2015/04/14/6cde0cfe-dec6-11e4-a500-1c5bb1d8ff6a_story.html?utm_term=.f7a14fe2083a> (Accessed 19 May 2016)

Coates, T.-N. 2015. *Between the World and Me*. New York: Spiegel & Grau.

Davis, J. M. 2015. *Colorism and African American Women in Literature: An Examination of Colorism and its Impact on Self-Image*. Unpublished MA thesis. The University of Mississippi, Oxford, MS, USA.

Defending Children. 2012. "Report of the Attorney General's National Task Force on Children Exposed to Violence". R. Listenbee, J. Torres, *et al*. Department of Justice. <https://www.justice.gov/defendingchildhood/cev-rpt-full.pdf> (Accessed 14 October 2016)

Drake, B., Jolley, J. M., Lanier, P., Fluke, J., Barth, R. P. and M. Jonson-Reid. 2011. "Racial Bias in Child Protection? A Comparison of Competing Explanations Using National Data". *Pediatrics* 127 (3) (March): 471-478.

Durrant, S. 2004. *Postcolonial Narrative and the Work of Mourning: J. M. Coetzee, Wilson Harris, and Toni Morrison*. Albany, NY: State University of New York Press.

Evaristo, B. 2015. "*God Help the Child* review–'Toni Morrison continues to improve with age'". *The Guardian*, 19 April. <https://www.theguardian.com/books/2015/apr/19/god-help-the-child-review-toni-morrison> (Accessed 19 May 2016)

Gay, R. 2015. "*God Help the Child* by Toni Morrison: Review–'Incredibly Powerful". *The Guardian*, 29 April. <https://www.theguardian.com/books/2015/apr/29/god-help-the-child-toni-morrison-review-novel> (Accessed 19 May 2016)

Gras, D. 2016. "Post What? Disarticulating Post-Discourses in Toni Morrison's *God Help the Child*". *Humanities* 5 (80). http://www.mdpi.com/2076-0787/5/4/80/pdf (Accessed 14 October 2016)

Hubbarb, L. 1999. "The Multi-ethnic Majority in California". *San Francisco Gate*, 6 July. <http://www.sfgate.com/news/article/The-multi-ethnic-majority-in-California-3076697.php> (Accessed 14 October 2016)

Hutchinson, E. O. 2015. "Review: *God Help the Child* by Toni Morrison". *Chicago Tribune*, 16 April. <http://www.chicagotribune.com/lifestyles/books/ct-prj-toni-morrison-god-help-the-childe-20150416-story.html> (Accessed 19 May 2016)

Kakutani, M. 2015. "Review: In Toni Morrison's *God Help the Child,* Adults Are Hobbled by the Pain of the Past". *The New York Times*, 16 April. <https://www.nytimes.com/2015/04/17/books/review-in-toni-morrisons-god-help-the-child-adults-are-hobbled-by-the-pain-of-the-past.html?_r=0> (Accessed 19 May 2016)

Keita, F. 2018. "Conjuring Aesthetic Blackness: Abjection and Trauma in Toni Morrison's *God Help the Child*". *Africology: The Journal of Pan African Studies* 11 (3) (February): 43-55.

Kulpa, K. 2016. "Review: *God Help the Child* by Toni Morrison". *Magill's Literary Annual 2016*: 228-231.

López Ramírez, M. 2017. "'Racialized Beauty': The Ugly Duckling in Toni Morrison's *God Help the Child*". *Complutense Journal of English Studies* 25: 173-189.

Martín-Salván, P. 2018. "The Secret of Bride's Body in Toni Morrison's *God Help the Child*". *Critique: Studies in Contemporary Fiction* 59 (5): 609-623.

Mashaqi, S. A. and K. A. Al Omari. 2018. "A Postcolonial Approach to the Problem of Subalternity in Toni Morrison's *God Help the Child*". *International Journal of Applied Linguistics & English Literature* 7 (1) (January): 177-183.

McKay, N. 1988. *Critical Essays on Toni Morrison*. Twayne's Critical Essays on American Literature. Farmington Hills, MI: G K Hall & Co.

Mitchell, K. 2014. "Belief and Performance, Morrison and Me". *Toni Morrison: Forty Years in the Clearing*. Ed. C. R. Gillespie. Lanham, MD: Bucknell University Press. 245-262.

Moore, F. 2015. "God Help the Reader: Review of Toni Morrison's *God Help the Child*". *Commentary Magazine*, Literature Section, 1 April: 69-70.

Morrison, T. 1970. *The Bluest Eyes*. New York: Holt, Rinehart and Winston, Inc.

Morrison, T. 1977. *Song of Solomon*. New York: Alfred A. Knopf.

Morrison, T. 1987. *Beloved*. New York: Alfred A. Knopf.

Morrison, T. 2012. *Home*. New York: Alfred A. Knopf.

Morrison, T. 2015. *God Help the Child*. New York and Toronto: Alfred A. Knopf.

Muyumba, W. 2015. "Lady Sings the Blues. Review of Toni Morrison's *God Help the Child*". *The Atlantic*, 23 April. <https://www.theatlantic.com/entertainment/archive/2015/04/morrison-review-god-help-the-child/391197/> (Accessed 19 May 2016)

National Center for Victims of Crime. 2010. "Action Partnership on Interventions for Black Children Exposed to Violence and Victimization." *NCVC*. <https://www.victimsofcrime.org/our-programs/other-projects/youth-initiative/interventions-for-black-children's-exposure-to-violence/black-children-exposed-to-violence> (Accessed 14 October 2016)

Peach, L. 1995. *Toni Morrison*. Palgrave Modern Novelists. New York: St. Martin's Press.

Prabha, R. M. 2016. "Child Abuse in Toni Morrison's Fiction". *International Journal on Studies in English Language and Literature* 4 (7): 20-28.

Robson, L. 2015. "*God Help the Child* by Toni Morrison, review: 'innately forgiving'". *The Telegraph*, 17 April. <http://www.telegraph.co.uk/culture/books/bookreviews/11541648/God-Help-the-Child-by-Toni-Morrison.html> (Accessed 19 May 2016)

Schreiber, E. J. 2010. *Race, Trauma, and Home in the Novels of Toni Morrison*. Baton Rouge, LA: Louisiana State University Press.

Shriver, L. 2017. "Toni Morrison Picked the Wrong Subject in *God Help the Child*". *New Statesman*, 15 April. <http://www.newstatesman.com/culture/2015/04/lionel-shriver-toni-morrison-picked-wrong-subject-god-help-child> (Accessed 15 October 2017)

Simal, B. 1997. "Magic Realism in Toni Morrison". *Many Sundry Wits Gathered Together*. Eds. S. G. Fernández-Corugedo *et al*. A Coruña: Servicio de Publicacións de Universidade da Coruña. 313-318.

Ulin, D. L. 2015. "Review: The magic is missing in Toni Morrison's *God Help the Child*". *Los Angeles Times*, 23 April. <http://www.latimes.com/books/jacketcopy/la-ca-jc-toni-morrison-20150426-story.html> (Accessed 19 May 2016)

Umrigar, T. 2015. "Book Review: *God Help the Child* by Toni Morrison". *Boston Globe*, 18 April. <https://www.bostonglobe.com/arts/books/2015/04/18/book-review-god-help-child-toni-morrison/MGA5UlhUJ9vG7dseNPnHGO/story.html> (Accessed 19 May 2016)

Walker, K. 2015. "Flesh of My Flesh. Sunday Book Review of *God Help the Child* by Toni Morrison". *The New York Times*, 13 April. <https://www.nytimes.com/2015/04/19/books/review/toni-morrisons-god-help-the-child.html> (Accessed 19 May 2016)

AN ANALYSIS OF THE PRAGMATIC FUNCTIONS OF HISPANICISMS IN HEMINGWAY'S *DEATH IN THE AFTERNOON*[1]

José Antonio Sánchez Fajardo
Universidad de Alicante
jasanchez@ua.es

ABSTRACT. *This paper seeks to explore the pragmatic functions of the Spanish-induced loanwords, or hispanicisms, used in the novel* Death in the Afternoon *by Hemingway. These borrowed words have been manually extracted and through the software kit AntConc, each occurrence or word token was examined to determine the prevalent pragmatic motivation in each text string: 'ideational', 'expressive' or 'textual'. Findings suggest that unadapted borrowings are most widespread, and the vast majority of them correspond to ideationally or referentially motivated loanwords. The assimilation of new referents (i.e., nonexistent in English cultural frames), particularly those related with bullfighting jargon, is linked to the general stylistics of travelogues. Expressive and interpersonal motivations are less frequent, but they might reflect the vernacularization of travel writing and the extended use of euphemisms through lexical borrowing. Alternatively, textual motivations are regularly found through the use of synomyms, co-hyponyms and paraphrases, which are intended to ensure text clarity and coherence.*

Keywords: hispanicisms, pragmatic functions, lexical borrowing, codeswitching, travel writing, Hemingway.

JOSÉ ANTONIO SÁNCHEZ FAJARDO

ANÁLISIS DE LAS FUNCIONES PRAGMÁTICAS DE LOS HISPANISMOS EN *DEATH IN THE AFTERNOON* DE HEMINGWAY

RESUMEN. *El artículo tiene como objetivo investigar las funciones pragmáticas de los hispanismos usados en la novela* Death in the Afternoon *de Hemingway. Estos préstamos se extrajeron manualmente y mediante la aplicación informática AntConc, se procedió a examinar cada palabra caso para determinar qué motivación resulta más predominante en el texto: 'referencial', 'expresiva' o 'textual'. Los resultados demuestran que los préstamos crudos predominan y que la gran mayoría corresponden a préstamos referenciales. La asimilación de nuevos referentes (o sea, inexistentes en el marco cultural de los pueblos de habla inglesa), en particular aquellos relacionados con la jerga de las corridas de toros, refleja la estilística general de las crónicas de viajes. Las funciones expresivas o interpersonales son más escasas, pero podrían indicar la 'vernacularización' de la escritura de viajes y un uso extendido de préstamos léxicos con función eufemística. Por otra parte, las motivaciones textuales quedan visibles a través de sinónimos, cohipónimos y paráfrasis, que garantizan claridad y coherencia en el texto.*

Palabras clave: hispanismos, funciones pragmáticas, préstamo léxico, cambio de código, literatura de viajes, Hemingway.

1. INTRODUCTION

There is a large volume of published studies describing story techniques, narrative voice, or semiotics in Hemingway's works (Lewis 1984; Benson 1998; Donaldson 1999; Mandel 2002; Bloom 2005; del Gizzo and Curnutt 2020), and they all accentuate the modernist style of his stories in the literary landscape. Hemingway's words and idioms are intended to strike readers "as if they were pebbles fetched from a brook" (Wilson 1939 qtd in Stewart 2001: 11), thus entailing a sense of semantic preciseness and lexical novelty. *Death in the Afternoon*, which is now considered his most personal book (Stanton 2005: 110), synthesizes how "his virtuosity and innovation are put to essentially poetic use" (Stewart 2001: 103), through word choice and lexical borrowing. *Death in the Afternoon* has been traditionally regarded as a non-serious novel, in which bullfighting is overtly romanticized (McCormick 1998: xii); and the experiences of death and violence are examined, not as a bloodshed festivity, but as a populist celebration (Baker 2016: 1-2). Being essentially a piece of travel writing or travelogue, the novel offers a detailed account of bullfighting and explores the mystique of *matadors*. The text is intended to persuade

readers into the morals of these violent acts: what is seemingly "barbarous and cruel" (Hemingway 1996: 2) can reflect the eternal dichotomy of *good and bad*. The controversial nature of the book is reflected in Hemingway's 'Bibliographical note':

> The present volume, *Death in the Afternoon*, is not included to be either historical or exhaustive. It is intended as an introduction to the modern Spanish bullfight and attempts to explain that spectacle both emotionally and practically. It was written because there was no book which did this in Spanish or in English. The writer asks the indulgence of competent aficionados for his technical explanations. When a volume of controversy may be written on the execution of a single suerte one man's arbitrary explanation is certain to be unacceptable to many. (487)

Although most preliminary research on the novel has been focused on the moral reinterpretation of the text through, say, the formulaic use of violence-acknowledgment or courage-appraisal (Kinnamon 1959; McCormick 1998; Messent 2004), very little is currently known about the stylistic devices that Hemingway used in the writing process, particularly the use of hispanicisms. As expected, the text is fraught with Spanish-based loanwords and/or code-switches that are introduced to guide readers into the exact denominations of bullfighting. However, a closer look at these Spanish-driven instances shows that they might have been intentionally chosen to convey a specific pragmatic function; for instance, whilst *paseo* is used to signify an unknown referent in English, *cojones*[2] ('testes') appears to convey a different type of motivation, an expressive one. Expressive motivations are presupposed to instantiate words with new connotations and nuances.

This study therefore set out to assess the pragmatic functions of hispanicisms in *Death in the Afternoon*, based on Rodríguez González's (1996) examination of such pragmatic functions in a reversal process: anglicisms in Spanish. The pragmatic functions that are central to this study are grouped into three general categories: ideational, interpersonal (or expressive) and textual. It is hypothesized that the pragmatic functions of hispanicisms can reflect their literary use as stylistic and referential devices in travel writing. But are these Spanish-induced loanwords predominantly used to import new realities and referents in Hemingway's travel writing? By carrying out a systematic and empirical revision of all the occurrences (or word tokens) of Spanish loanwords extracted from the novel, the study is intended to shed light on the value of hispanicisms as pragmatic operators of cultural novelty and meaning construction.

---

2   All the examples used throughout the article are found in section 7.1 (Annexes), and they are all accompanied with an authentic example of their first occurrence in the novel.

This paper is structured as follows. Section 2 begins by laying out the theoretical dimensions of the research, particularly the categories of pragmatic functionality and the processes of codeswitching and lexical borrowing. Section 3 is concerned with the methodology used for this study. In section 4, the main findings of the research are presented and discussed, focusing on the typology of the aforementioned functions and the quantitative and qualitative depiction of these results. The discussion of the findings is illustrated with authentic examples taken from the novel. The conclusions of the paper are drawn in section 5. Finally, a compilation of all the extracted hispanicisms is offered in section 7, in which the first recorded usage of the word/phrase and its frequency in the novel are also provided in a table.

2. THEORETICAL BACKGROUND

To date, several studies have investigated the corollary that "borrowing is a phenomenon of monolingual cultures, while code-switching is a feature of bilingual or multilingual cultures" (Meechan-Jones 2011: 258). Nonetheless, the alternation of forms and modes can operate on similar continuum-based strategies, which explains why the concepts of codeswitching and lexical borrowing are discussed in this section. Although this paper centers on lexical borrowing, some brief comments on the communicative functions of codeswitching are also introduced in this section to have a better understanding of the pragmatic motivations underlying contact speech forms in general.

Generally acknowledged as a label used to name a concept being transmitted from one language into another (Grant 2015), lexical borrowing constitutes the most visible linguistic category that depicts language contact and cultural amalgamation. However, not all language-contact forms are restricted to lexis and morphological changes. Lexical borrowing can also include roots, collocations and grammatical processes (Daulton 2019), and it is commonly examined through the level of semantic indirectness, as shown in Figure 1. Whereas direct lexical borrowings are morphologically visible (loanwords, hybrids and false loans), indirect ones (calques and semantic loans) resort to native words and morphemes to construct new meanings. This study focuses on loanwords (e.g. *corrida*, *caril*) because this type of lexical borrowing is the most common in the corpus (see section 4), and hence the most illustrative speech forms of pragmatics-induced constructions. Loanwords are differentiated through the level of integration in the recipient language: adapted and non-adapted ones, the latter lacking formal and semantic integration so that hispanicisms remain recognizably Spanish in the target language (Pulcini *et al*. 2012: 6).

TYPES OF LEXICAL BORROWINGS

direct — indirect

direct: loanword, false, hybrid
loanword: non-adapted, adapted

indirect: calque, semantic loan
calque: loan translation, loan rendition, loan creation
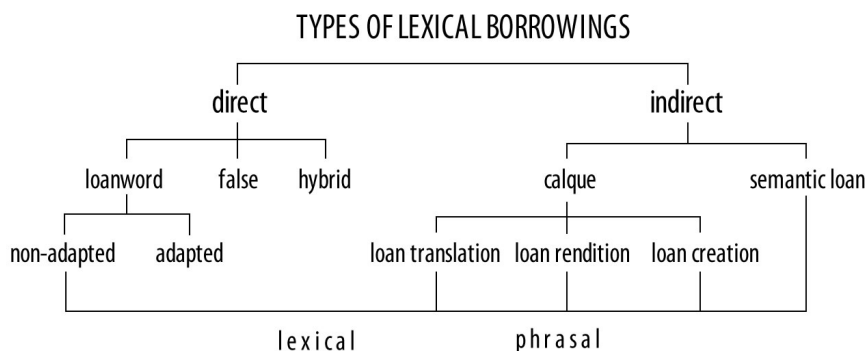
lexical — phrasal

Figure 1. Direct and indirect lexical borrowings (Pulcini, Furiassi and Rodríguez González 2012).

Although lexical borrowing and codeswitching essentially stem from languages in contact, their differences (not necessarily their motivations or functions) rely on the types of speech forms realized in the text:

> [C]ode-switching may be defined as the juxtaposition of sentences or sentence fragments, each of which is internally consistent with the morphological and syntactic (and optionally, phonological) rules of its lexifier language […] borrowing is the adaptation of lexical material to the morphological and syntactic (and usually phonological) patterns of the recipient language. (Poplack and Meechan 1995: 200)

Awareness of the process of codeswitching (CS) is not recent, having possibly first been described by Haugen as the use of *unassimilated* words from another language by bilingual speakers (1956: 40). The existing literature on CS is extensive and focuses particularly on Poplack's (1983) description of regular switching points in interlinguistic codes, being reflected on a number of classifications and theories which result from "a skillful manipulation of two language systems for various communicative functions" (Bullock and Toribio 2009: 4). A key study on the communicative functions of code-switches was that of Appel and Muysken (2005), in which six functions were found in the resulting clauses: referential, directive, expressive, phatic, metalinguistic and poetic. These functions, which are also extrapolated to lexical borrowings, are based on Jakobson's (1960) framework and are mostly dependent on the correlation between lexico-syntactic changes and speech acts. The relevance of this framework to lexical borrowing lies in the possibility of adapting communicative functions to lexis. Although the pragmatic

functions of switches are also restricted by the extent to which speakers are exposed to both codes, this classification corroborates the relevance of discursive analysis in CS. This explains why a considerable amount of literature has been published on spoken language (e.g. Zentella 1997; Silva-Corvalán 2001; Anderson and Toribio 2007), particularly in neighboring areas in which bilingual contributions are regularly driven by social and linguistic constraints.

However, in recent years, there has been an increasing amount of literature on the analysis of CS and linguistic borrowing in written texts, especially in literary works (e.g. Montes-Alcalá 2012, 2015). These works resorted to some of these aforementioned strategies to embed characters with a more realistic perspective, particularly in US-based contexts. Other studies have centered on the use of hispanicisms in travel writing, and how these code-switches are used by English-speaking authors to effectively convey linguistic trends and communicative strategies (González Cruz and González de la Rosa 2006, 2007). The truth is that bilingualism is not a prerequisite for novelists to use code-switches and borrowed words as communicative tools. English-speaking authors, regardless of their level of Spanish, make use of these contact speech forms to help readers grasp a more natural understanding of the Spanish-based (or Latino) reality that characterizes some of their characters. In the novel that is analyzed here, only instances of lexical borrowing are explored due to the monolingual trait of the society it represents. The novel does not describe a bilingual (Spanish/English) setting, but it does resort to myriad lexical borrowings that are conveniently used by the author to describe realities that are unknown to English speakers.

Research on spoken and written CSs has allowed for finer-grained frameworks for examining contextualized lexical borrowings. Rodríguez González's (1996) classification of pragmatic functions is not necessarily restricted to lexical borrowing, but it can also be implemented in the analysis of code-switches. This classification is based on Halliday's (1978) components on the semantic level of language (ideational, interpersonal and textual) to assess how target-language speakers use these metafunctions. A major contribution by Rodríguez González's (1996) study is the use of Halliday's metafunctions in the analysis of anglicisms in Spanish. The present study uses Rodríguez González's classification to explore the case of hispanicisms, particularly loanwords, in written texts.

The first category is 'ideational', which characterizes a borrowing that is needed to signify a phenomenon, process or object that is not linguistically represented in a target language. Also, ideational borrowing can show a great deal of cultural traits, and therefore become a source of cultural and referential import, e.g. *peseta* ('former Spanish currency'), *caril* ('a go-and-come bull'). The second category is 'interpersonal' or 'expressive', and it is usually "fulfilled with by words

and expressions that are stylistically marked and have an emotive connotation" (Rodríguez González 1996: 111). Rodríguez González's expressive category does not fully coincide with Halliday's interpersonal function, for the latter is intended to maintain social relations between the speaker and the listener. Both categories agree on how the semantic value of words adapts to the expression of attitudes and judgments. In this case, the attitudinal value of these loanwords predominates, as opposed to the necessity of borrowing new denominations (i.e., ideational), e.g. *cojones* ('testes'), *maricón* ('faggot'). This typology is particularly explored in literary works as characters of different cultures might be given the chance of using their native tongue to express emotions that entice them with a certain cultural frame or group membership. The third and last category is 'textual' and refers to "the function that language has of creating text, of relating itself to the context –to the situation and the preceding text" (Halliday 1978: 48). This category is highly functional as it is used to qualify those loanwords that are meant to imbue texts with high clarity and coherence, e.g. the use of synonyms *matador* and *bullfighter* throughout the novel.

3. METHODOLOGY

There are two research stages in this study: (i) data gathering and (ii) data analysis. The former consisted in manually logging all the hispanicisms in the novel and their corresponding co-texts. The latter involved an interpretative and quantitative analysis of said words/phrases to determine which pragmatic function predominates, according to Rodríguez González's (1996) classification of pragmatic functions of borrowed words. This classification provides an empirical framework that is objectively linked to contextualized borrowings. Only Spanish-induced lexical borrowings, particularly loanwords, are processed. Code-switches are the result of Hemingway's literary choice to endue the text with more vivid Spanishness, not necessarily aimed to describe bilingual interactions that can be communicatively relevant to the plot.

Once the data are processed, loanwords and pragmatic functions are correlated through the author's intentionality in a given context to clearly identify the stylistic devices that are present in this type of literary text. To guarantee a more precise analysis of the data, a digitalized version of the novel has been processed through *AntConc* software to determine the number of word types and tokens under scrutiny, and to extract their corresponding text strings. This is important since a word type might have various pragmatic functions. Hence, each token has been annotated and examined manually, so the quantitative findings on pragmatic functions are token-based, rather than type-based. This part of the analysis can

also show some more detailed information on the multifunctional nature of some of these borrowings on the level of pragmatics and stylistics.

4. FINDINGS AND DISCUSSION

A number of hispanicisms (word types), 127 to be precise, have been extracted from the novel (see section 7.1). This number does not include place (*Zaragoza*) or personal (*Joseito*) names. Also, various short dialogues in Spanish have not been used in the analysis as their characters were not exactly using loanwords or code-switches but they were Spanish speakers who communicate in their mother tongue. Hence, these occurrences are not relevant to this research as no language-contact motivations are found, as seen in (1).

(1) "Qué tal?" asks one of the banderilleros.

"Son grandes," says the picador.

"Grandes?"

"Muy grandes!"

Interestingly, the vast majority of the lemmas are unadapted loanwords (or crude), i.e., words that have not undergone any graphemic changes, e.g. *ayudado*, *brindis*. Only few examples of adapted borrowings have been found: *cape* (< *capa*), *castanet* (< *castañeta*), *cajon* (< *cajón*), *caril* (< *carril*), *espectaculo* (< *espectáculo*), *peon* (< *peón*). The first two are English words of Spanish origin that were first attested in 1758 and 1647 respectively (MWD11). The other examples show minor orthographic changes that facilitate their integration into the English spelling system: the omission of tilde (as in *cajón*) or a letter from a two-consonant cluster (as in *carril*). The adapted nature of these borrowings is a questionable tagging, for the adapted spelling of these lemmas could have been caused by misspelling and not necessarily by intentional orthographic modification. In fact, recent studies have shown that Hemingway's works are riddled with errors (Trogdon 2020). An interesting observation is the Spanish ungrammaticality of some of the borrowings, which can remain unchanged to fit into the English syntax, as in the case of *torear* in the following excerpt: "Matadors torear with the cape now as never before [...]" (176). In the given utterance, the plural of *matador* complies with the English grammatical rules (*matadors*) because the word already existed in English. An even more bizarre case is the noun *banderilla* which is functional-shifted into the verb *banderilla* and used as a base for an English past form, as in *banderilla-ed* (see complete example in section 7.1). These ungrammatical adaptations are intended to facilitate semantic import cross-

linguistically as English-speaking readers are presented with a contextualized usage of neologisms.

Calques are scarce and the only example attested in the novel is *civil-guard* (< *guardia civil*). The far superiority of unadapted loanwords might correlate with the travel writing style, whereby borrowings are expected to enrich texts with foreig*ness* and exoticism (Rodríguez González 1996: 125), and calqued translations would break this norm. The use of a detailed "explanatory glossary" (379-463) at the end of the novel is also meant to reinforce the instrumentality of the book as travel guidance for those who wish to delve into the mysteries of bullfighting in the early 20th century Spain. Although the glossary is not central to this study, it is worth noting that Hemingway employs intuitive and explanatory entries to get readers engaged with the jargon. Each sense is accompanied with either an example of the technical word in a sentence, a literal translation of the word in Spanish, or a full account of the connotations that a specialized/technical term conveys.

A total of 2,363 occurrences of 127 hispanicisms have been manually disambiguated. Each occurrence was tagged in compliance with one of the categories, i.e., the predominant pragmatic function. To determine the predominant metafunction (denotative, expressive or textual), each lexical borrowing was examined in context to assess whether (i) the concept has no linguistic representation in English (ideational); (ii) the loanword conveys a certain attitude towards a referent or quality (expressive); or (iii) the hispanicism coexists with other English words to guarantee coherence and clarity (textual). A general analysis of pragmatic functions reveals that most of the hispanicisms are driven by ideational or referential motivations (78.5 %), whilst expressive and textual ones are found in lower proportions (6.3 % and 15.2 % respectively). These findings corroborate the predominance of referential metafunction in the novel, which is also linked to the intrinsic nature of travel writing as a "condition in which "discovery" remains a potential reality" (Mewshaw 2005: 2). Discovery here is understood as the act of unraveling foreign realities and concepts, which explains why travel texts are fraught with new referents and denominations. In the next sections, the three categories (ideational, expressive or textual) are explored in detail to better understand their literary implications in the novel.

4.1. IDEATIONAL MOTIVATIONS

As expected, this category is the most frequent, owing to the nature of travel writing as a means of bridging referential gaps between the author and readers. Even Hemingway refers to the need to import some of these loanwords, as in (2), for there are no 'brief' and exact equivalents in English that can give readers a less ambiguous notion.

> (2) Everything that is done by the man in the ring is called a "suerte". It is the easiest term to use as it is short. It means act, but the word act has, in English, a connotation of the theatre that makes its use confusing. (p. 16)

Most of the hispanicisms are used throughout the text to make direct reference to English equivalents of bullfighting jargon. These denotative semantic values are not difficult to distinguish as their co-texts are regularly used within a rephrasing construction, as shown in examples (3) and (4), particularly on their earliest occurrences in the novel.

> (3) When the man awaits the charge of the bull it is called killing recibiendo. (p. 237)

> (4) […] the dates coincide with the national religious festivals and the times of the local fairs or ferias which usually commence on the Saints day of the town. (p. 37)

This first-time occurrence does not necessarily imply a replacement of the English equivalent for the Spanish jargon. The words *torero*, *matador* and *bullfighter* coexist in the text, which implies that the ideational type does not prevail in some excerpts. However, in some cases, the substitution is closely observed, and the new Spanish-origin loanword is used instead. Example (4) shows the first occurrence of *feria* and their corresponding English equivalent (*fair*). As seen in examples (5) and (6) below, *feria* is mostly preferred. This usage is perfectly understandable if the hispanicism is used within a broader non-native frame, such as *feria in Sevilla* < *Feria de Sevilla* (4) and *feria in May* < *Feria de Mayo* (5).

> (5) Aside from the novilladas and the two subscription seasons at Madrid the best place to see a series of bullfights in the early spring is at the feria in Sevilla where there are at least four fights on successive days. (p. 37)

> (6) Cordoba has the only other feria in May where more than two bullfights are given and its dates vary, but on the 16th there is always a bullfight at Talavera de la Reina […] (p. 39)

The denotative value of this type of borrowings is occasionally rendered by the principles of language economy and semantic inadequacy. In other words, English translations can be too lengthy or wordy, as shown in example (7), which leads users to prioritize the Spanish loanword as a more suitable stylistic choice (*novillada* 'bullfight with young bulls'). Likewise, such translations or paraphrases do not always show the referential qualities or properties of the objects and actions, which might explain why Spanish loanwords are preferred over their English equivalents on such occasions. Example (8) shows that *pundonor* ('a point of honor', MWD11) constitutes a nonexistent abstraction in English-speaking contexts,

whose closer paraphrase does not fully describe the semantic components of the word's denotation. Although *pundonor* has been limited to the concept of honor in English, its use in the novel is also acknowledged by the author to reflect some of the features that the word conveys in Spanish:[3] *self-respect* or *probity*.

> (7) At the novilladas, too, besides the study of technique, and the consequences of its lack you have a chance to learn about the manner of dealing with defective bulls […] (p. 20)

> (8) In Spain honor is a very real thing. Called pundonor, it means honor, probity, courage, self-respect and pride in one word. (p. 91)

Unlike nouns, Spanish-origin verbs are less frequent as their word forms might entail more drastic changes in their inflectional morphemes or tense conjugation. Surprisingly, Hemingway resorts to full or hybrid forms to maintain the denotational value of the Spanish referent. These actions can involve long paraphrases, which are rather inexact in the expression of a full sense. An example of a full (or unadapted) form is *torear* (9), which keeps the infinitive inflection of Spanish to fit into the English syntactic frame. Alternatively, *banderilla-ed* (10) is more complex as it undergoes first a process of conversion or functional shift (nonexistent in Spanish); and second, the addition of *-ed*, an inflectional morpheme used to form in this case the past participle of the regular weak verb *banderilla*. Despite the grammatical violations that such changes can demonstrate in both languages, the denotational traits of the concepts are stressed, in keeping with the relevance of pragmatic motivations in the novel.

> (9) Belmonte invented the technique. He was a genius, who could break the rules of bullfighting and could torear, that is the only word for all the actions performed by a man with the bull, as it was known to be impossible to torear. (p. 68)

> (10) Bulls that take up a querencia against the barrera cannot be banderilla-ed by the use of the quarter or the half-circle method of running across the line of the bull's charge […] (p. 196)

The quantitative prevalence of ideational or referential motivations in the novel proves that travel writers intend to give freshness to the foreign scenario that is depicted, i.e., bullfighting in Spain. In doing so, the introduction of several jargon words and technicalities implies that borrowed words carry a great deal of cultural value and referential newness. The glossary elaborated by the author corroborates the number of novel or technical terms that are introduced throughout the text. However, these new words are not used ad hoc: not only are they intended to

---

3 The word *pundonor*, of Catalan origin (< *punt d'honor*) means 'a feeling that drives a person to keep his/her good name and to better onself' (DLE23) [Translation is mine].

familiarize English-speaking readers with the new reality of bullfighting, but also to embed the text with a sense of Spanishness.

4.2. EXPRESSIVE MOTIVATIONS

Whereas ideational or referential motivations are used to denote nonexistent realities or referents in the target language, expressive or interpersonal ones can be regarded as "stylistic" (Bookless 1982) because borrowings undergo connotational (or stylistic) markings. This *unfair* quality can be easily objected as the stylistic markings can trigger semantic shift or polysemy or "giving rise to a distribution of usages between the native and the foreign term" (Rodríguez González 1996: 112).

In the novel, this type of motivation is especially observed in those units that are unrelated to bullfighting jargon, namely *maricón* ('faggot') and *fiesta* ('party').[4] The former (11) might convey some kind of euphemistic function as the dispreferred terms are avoided. Although *maricón* is defined in the glossary section by Hemingway as "a sodomite, nance, queen, fairy, fag, etc." (417-418), the author does not resort to any of these expletives as he intends to (i) use the word as an indicator that the conversation he quotes was originally in Spanish and (ii) disguise any of the actual taboo words in English. Loanwords are, in fact, known for acting as euphemisms for "a native word or phrase that carries negative connotations" (Hoffer 2002: 19). The latter (12), on the other hand, is used repeatedly in the text to make reference to bullfighting events or spectacles. Its choice is conditioned by interpersonal motives as the word in English refers to a festive celebration. The word *fiesta* then carries positive connotations and a personal view of the celebration. The loanword is also in tandem with the Spanish-like pageantry of bullfighting he attempts to build.

> (11) One time in Paris I was talking to a girl who was writing a fictionalized life of El Greco and I said to her, "Do you make him a maricón?" (p. 205)

> (12) There is no part of the fiesta that appeals to the spectator seeing bullfights for the first time as does the placing of the banderillas. (p. 193)

Like *maricón*, the word *cojones* (literally 'testes'), as in (13), denotes a euphemistic way of expressing the vulgar saying *to have the balls*. The use of loanwords as euphemisms is based on the premise that English-speaking readers will probably get the denotation of *cojones*, but not its originally tabooed value. In other words, dysphemistic words, such as *cojones*, can come across as less offensive

---

4 *fiesta* is defined in MWD11 as a 'festival' or 'a saint's day celebrated in Spain, Latin America, and the Philippines with processions and dances'.

when used as a lexical borrowing in English (Crespo-Fernández and Luján-García 2018). Interestingly, *cojones* entered American slang word stock in 1932 (cf. Dalzell 2018), by the same time the author wrote the novel. This etymological information corroborates Hemingway's use of vernacular English, in which journalism and film-making might have had a great influence. Talking films in particular are thought to have "enabled him to use slang words in the knowledge that they were getting every day less obscure" (Connolly 1983: 63). *Maricón* and *cojones* are a vivid representation of how language is intended here to gain more expressive, sociolectal traits that pertain to a newly-born popular culture.

> (13) Goya did not believe in costume but he did believe in blacks and in grays, in dust and in light, in high places rising from plains, in the country around Madrid, in movement, in his own cojones, in painting, in etching, and in what he had seen […] (p. 205)

One might expect that these Spanish-origin loanwords complement (*fiesta*) or disguise (*maricón*, *cojones*) the actual denotations of the words in a native context. On the sociolinguistic level, they are not necessarily restricted to a certain sociolect; the author instead appropriates them as effective stylistic devices to guarantee connotational representation. A clear-cut example of this connotational framing is *hombre* (15), which the author defines as 'very much of man', and the words *courage* and *bravery* are present explicitly in the glossary entry. This expressive hispanicism contrasts with *hombre* (14), which is rather used as a pragmatic marker (vocative) to embed the conversation with a more Spanish-like context, and why not, a more vernacular realization of speech.

> (14) "What do I want with exercise, hombre? What do I want with strength? (p. 157)

> (15) I thought that year he hoped for death in the ring but he would not cheat by looking for it. You would have liked him, Madame. Era muy hombre. (p. 82)

The aforementioned examples of expressive motivations bring out an interesting feature that distinguishes them from the ideational ones, which is the existence of a referent in the target language.[5] Expressive or interpersonal motivations denote already-existing realities in English, but their use implies a connotational or attitudinal choice by speakers. For instance, the import of *cojones* is not intended to fill a conceptual gap, but to name the taboo term in English with a Spanish dysphemism.

---

5   The existence of a referent in the process of lexical borrowing has also been associated with the concept of 'cultural borrowing', which has been used as a means of examining the extent to which a language has been 'penetrated' by a neighboring one. (cf. Sánchez Fajardo 2018)

4.3. TEXTUAL MOTIVATIONS

Textual motivations are deeply connected with how words co-occur in each context (syntagmatic relations), rather than word substitution (paradigmatic relations). This function guarantees clarity and cohesion in the text, which is why co-occurrences and syntagmatic features are relevant. The fact that texts are purposefully arranged for the sake of cohesion and coherence implies that authors resort to wide-ranging fundamentals: (i) language economy, (ii) near-synonymy, (iii) Romance-origin borrowing and (iv) translation couplets.

Firstly, language economy, or 'simplification' (Rodríguez González 1996: 116), is a recurrent principle that dictates how word choice might be dependent on text format. Whereas native periphrases or explanatory utterances might be avoided by the author, loanwords are used to fit the plain stylistic perspective. For instance, in (16) *cuadrilla* is not explained through a Spanish periphrasis because 'a group of bullfighters (banderilleros and picadors) led by a matador' would be simply unnecessarily lengthy. The author defines the term in the glossary but opts for using the hispanicisms in the novel without denotational specifications. Stylistically speaking, it would be textually inappropriate to use periphrases that explain unadapted or 'untranslated' borrowings.

> (16) Meantime the two matadors (it is inferred that this is a six-bull fight) who are not killing retire with their cuadrillas into the callejon or narrow passage way between the red fences of the barrera and the first seats. (p. 60)

Secondly, Spanish-induced loanwords might co-exist with near-synonyms in the text to ensure full understanding of the borrowed reality. For example, the words *matador* and *bullfighter* are near synonyms in (17). Although English *bullfighter* appears to be a generic form (hypernym) for Spanish *matador*, *picador* or *banderillero*, it is used here as a synonym of *matador*. Although this contextual synonymy denotes a violation of referential traits as *matador* should have been used in all the occurrences where it fits, *bullfighter* and *torero* constitute synonymic pairs (or perhaps cohyponyms) that are meant to provide texts with more lexical precision.

> (17) The quite, pronounced key-tay, from being merely an act of protection for the picador, performed as quickly, as valiantly and as gracefully as possible has now become an obligation on the matador performing it after he has taken the bull out to pass the bull with the cape in whatever style he elects, but usually in veronicas, at least four times as closely, as quietly and as dangerously as he is able. A bullfighter is now judged, and paid, much more on the basis of his ability to pass the bull quietly, slowly and closely with the cape than on his ability as a swordsman. (p. 174)

Thirdly, the use of hispanicisms referring to bullfights and Spanish realities might have prompted the writer to introduce a number of coinages of Romance origin such as *aficionado*, *vista* or *virtuoso*. The risk of adopting these Italian or French borrowings is that they might exist in English with a different meaning originating then a polysemic clash. This is the case of *vista* (18), which is a word of Italian origin meaning *view* or *prospect* (MWD11), not *sight* as it is meant in the example below. The effects of polysemic clash here are of little avail. The fact that English *vista* has been semantically extended, or *enriched*, by introducing the Spanish sense *sight*, is textually compliant with the other syntagmatic constituents of the utterance.

> (18) He showed he was a good banderillero, an excellent dominator with the muleta, with much intelligence and vista in handling of the bull, but with a lamentably bad style with the cape and an utter inability to kill properly or even decently. (p. 230)

Lastly, the so-called *translation couplets* (Rodríguez González 1996: 118) are perhaps the most recurrent textual mechanism that is used to ensure clarity of expression. A translation couplet is made up of a native unit (English) and a loanword (Spanish) and as expected, it is meant to aid readers in the understanding of texts. This pairing could certainly cause loanwords to lose their differentiating referential values, but their usage is meant to make texts more accessible to travel-writing readers. For instance, *killer/matador* and *novillada/apprentice fight* constitute translation couplets in (19) and (20) respectively, in which *matador* denotes a type of *killer*, that of bulls, and *novillada* is defined as a type of fight. Their synonymic framing can be helpful to comprehend the denotation of a loanword unknown to readers. A different type of translation couplets consists of a full phrase rather than a one-word equivalent in English. This is especially common when English equivalents are insufficient, and a paraphrase compensates the referential gap in the language. In (21), the author opts for a full explanation of what *illegal capea* stands for by defining all the cultural components of the word: "town-square bullfights with used bulls".

> (19) Each matador or killer, has a cuadrilla, or team, of from five to six men who are paid by him and work under his orders. (p. 26)

> (20) Therefore to really start to see bullfights a spectator should go to the novilladas or apprentice fights. (p. 16)

> (21) I have seen such bulls fought, in violation of the law, in provincial towns in improvised arenas made by blocking the entrances to the public square with piled-up carts in the illegal capeas, or town-square bullfights with used bulls. (p. 19)

The alternation of couplets through the semantic and stylistic devices of syntagmatic relations is used discretionally. Being a piece of travel writing, the novel does not limit to one textual principle only. However, most of the loanwords being textually motivated are present in either of these two instances: they have been explained at their earliest occurrences or they are accompanied with synonyms or co-hyponyms. Nonetheless, all these strategies contribute to "[creating] a foreign atmosphere, while providing the text with a freshness, a vividness and greater authenticity" (Rodríguez González 1996: 123).

5. CONCLUSION

The contribution of this study has been to confirm the types of pragmatic motivations or functions found in the novel *Death in the Afternoon* by Hemingway. One of the more significant findings to emerge from the study is that ideational motivations are far more frequent in the novel, which is linked to the intrinsic nature of travel writing as an account of exoticism and foreigness. In this case in particular, the author manages to acquaint readers with new concepts and realities through both a detailed glossary of Spanish-origin terms and (mostly unadapted) loanwords co-occurring with native constructions. As to textual functions, the use of paraphrases or translation couplets can help readers assimilate these new realities more easily, but these strategies are not always found throughout the text. Instead, the author might resort to textual devices such as cohyponymy and synonymy to guarantee such understanding.

As opposed to the textual principles of language economy, clarity or simplification, interpersonal/expressive motivations are not quantitatively relevant here. Interpersonal functions are related to connotational and evaluative values, making expressive terms less illustrative (or referential). However, the cases extracted in the study explain how the author imports some of these units to make language more vernacular and accessible to readers. At times, these informal words might represent a guise of taboo, thus becoming euphemistic expressions. In compliance with the linguistic nature of travelogues, unadapted loanwords are expectedly high (121 out of 127 word types); and some English word formation mechanisms, such as functional shift, are replicated to ensure that ideational traits are not lost in paraphrasing or translation (e.g. *banderilla-ed*).

The analysis of hispanicisms undertaken here has extended our knowledge of how lexical borrowing is correlated with specific communicative functions, particularly pragmatic motivations. Through the qualitative analysis of contextualized lemmas, the study not only corroborates the notion that loanwords are purposefully used by travel writers to introduce foreign concepts under generally nonnative signifiers, but also that

borrowings are strategically realized to convey euphemistic and evaluative notions. This new understanding should help to improve predictions of the impact of lexical borrowing on literary works, particularly travelogues and nonnative settings.

6. REFERENCES

Appel, R. and P. Muysken. 2005. *Language Contact and Bilingualism*. Amsterdam: Amsterdam University Press.

Anderson, T. K. and A. J. Toribio. 2007. "Attitudes towards lexical borrowing and intra-sentential code-switching among Spanish-English bilinguals". *Spanish in Context* 4 (2): 217-240.

Baker, Ch. 2016. "Hemingway's Death in the Afternoon and the Fear of Death in War". *War, Literature & the Arts: An International Journal of the Humanities* 26: 1-19.

Benson, J. J., ed. 1998. *New Critical Approaches to the Short Stories of Ernest Hemingway*. Duke University Press.

Bloom, H., ed. 2005. *Ernest Hemingway: Bloom's Modern Critical Views*. Philadelphia: Chelsea House Publishers.

Bookless, T. E. 1982. "Towards a Semantic Description of English Loan-Words in Spanish". *Quillquereme* 5 (2): 170-185.

Bullock, B. and A. J. Toribio. 2009. *The Cambridge Handbook of Linguistic Code-Switching*. Cambridge: Cambridge University Press.

Connolly, C. 1983. *Enemies of promise*. Chicago: The University of Chicago Press.

Crespo-Fernández, E. and C. Luján-García. 2018. *Anglicismos sexuales en español. El inglés como recurso eufemístico y disfemístico en la comunicación virtual*. Granada: Comares.

Daulton, F. E. 2019. "Lexical borrowing". *The Encyclopedia of Applied Linguistics*. Ed. C. Chapelle. London: Blackwell Publishing.

del Gizzo, S. and K. Curnutt, eds. 2020. *The New Hemingway Studies*. Cambridge: Cambridge University Press.

DLE23: Real Academia Española. 2014. *Diccionario de la lengua española*. 23rd ed. Madrid: Espasa Calpe.

Donaldson, S., ed. 1999. *The Cambridge Companion to Ernest Hemingway*. Cambridge: Cambridge University Press.

González Cruz, M. I. and M. P. González de la Rosa. 2006. "Language and travel: Spanish vocabulary in British travel books." *Tesserae. Journal of Iberian and Latin American Studies* 12 (2-3): 203-217.

González Cruz, M. I. and M. P. González de la Rosa. 2007. "El viaje lingüístico: una aproximación sociolingüística a la literatura de viajes". *Escrituras y reescrituras del viaje. Miradas plurales a través del tiempo y de las culturas*. Eds. J. M. Oliver, C. Curell, C. G. Uriarte and B. Pico. Bern: Peter Lang. 235-251.

González Cruz, M. I. 2017. "Exploring the dynamics of English/Spanish codeswitching in a written corpus". *Alicante Journal of English Studies* 30: 331-355.

Grant, A. P. 2015. "Lexical borrowing". *The Oxford Handbook of the Word*. Ed. J. R. Taylor. Oxford: Oxford University Press.

Halliday, M. A. K. 1978. *Language as Social Semiotic*. London: Arnold.

Haugen, E. 1956. "Bilingualism in the Americas: A bibliography and research guide". *Publications of the American Dialect Society* 26. University of Alabama Press.

Hemingway, E. 1996 (1932). *Death in the Afternoon*. New York: Touchstone.

Hoffer, B. 2002. "Language borrowing and language diffusion: An overview". *Intercultural Communication Studies* 11 (4): 1-37.

Jakobson, R. 1960. "Linguistics and poetics". *Style in Language*. Ed. T. Sebeok. Cambridge (Mass.): M. I. T. Press. 350–377.

Kinnamon, K. 1959. "Hemingway, the Corrida, and Spain". *Texas Studies in Literature and Language*: 44-61.

Lewis, R. W. 1984. "The Making of Death in the Afternoon". *Ernest Hemingway: The Writer in Context*. Ed. J. Nagel. Madison: University of Wisconsin Press. 31-52.

Mandel, M. 2002. *Hemingway's Death in the Afternoon: The Complete Annotations*. Lanham, MD: The Scarecrow Press.

McCormick, J. 1998. *Bullfighting: Art, Technique, and Spanish Society*. New Brunswick (U.S.A.) and London (U.K.): Transaction Publishers.

Mechaan-Jones, S. 2011. "Gadryng Togedre of Medecyne in the Partye of Cyrugie". *Code-switching in early English*. Eds. H. Schendl and L. Wright. 253-280.

Messent, P. 2004. "'The Real Thing'? Representing the Bullfight and Spain in Death in the Afternoon". *A Companion to Hemingway's Death in the Afternoon*. Ed. M. Mandel. Rochester, NY: Camden House. 123-142.

Mewshaw, M. 2005. "Travel, travel writing and the literature of travel". *South Central Review* 22 (2): 2-10.

Montes-Alcalá, C. 2012. "Code-switching in US Latino novels". *Language Mixing and Code-Switching in Writing: Approaches to Mixed-Language Written Discourse*. Ed. M. Sebba, S. Mahootian and C. Jonsson. London and New York: Routledge. 68-88.

Montes-Alcalá, C. 2015. "Code-switching in US Latino Literature: The role of biculturalism". *Language and Literature* 24 (3): 264-281.

MWD11: *Merriam-Webster Dictionary Online*, available at https://www.merriam-webster.com [last access: 10.01.2020].

Poplack, S. 1983. "Lenguas en contacto". *Introducción a la lingüística actual*. Ed. H. López Morales. Madrid: Playor. 183–207.

Poplack, S. and M. Meechan 1995. "Patterns of Language Mixture: nominal structure in Wolof-Frenchand Fongbe- French bilingual discourse". *One Speaker-Two languages: Cross-Disciplinary Perspectives on Code Switching*. Eds. L. Milroy and P. Muysken. Cambridge: Cambridge University Press. 199-232.

Pulcini, V., Furiassi, C. and F. Rodríguez González. 2012. "The lexical influence of English on European languages. From words to phraseology". *The Anglicization of European Lexis*. Eds. C. Furiassi, V. Pulcini and F. Rodríguez González. Amsterdam and Filadelfia: John Benjamins.

Rodríguez González, F. 1996. "Functions of Anglicisms in Contemporary Spanish". *Cahier de Lexicologie* 68 (1): 107-128.

Sánchez Fajardo, J. A. 2018. "The pragmalinguistic dimensions of cultural borrowing". *International Journal of Language and Culture* 5 (1): 112-129.

Silva-Corvalán, C. 2001. *Sociolingüística y pragmática del español*. Washington D.C.: Georgetown University Press.

Stanton, E. F. 2005. "Of Bulls and Men". *Ernest Hemingway: Bloom's Modern Critical Views*. Ed. H. Bloom. Philadelphia: Chelsea House Publishers. 109-142.

Stewart, M. 2001. *Modernism and Tradition in Ernest Hemingway's* In Our Time. New York: Camden House.

Trogdon, R. W. 2020. "Hemingway and Textual Studies". *The New Hemingway Studies*. Eds. S. del Gizzo and K. Curnutt. Cambridge: Cambridge University Press.

Wilson, E. 1939. "Hemingway: Gauge of Morale". *The Atlantic Monthly* 164: 36-46.

Zentella, A. C. 1997. *Growing up Bilingual. Puerto Rican Children in New York*. Oxford: Basil Blackwell.

7. ANNEXES

7.1 LIST OF HISPANICISMS (AND THEIR FREQUENCIES AND FIRST-TIME OCCURRENCES) EXTRACTED FROM DEATH IN THE AFTERNOON.

hispanicism	freq.	first-time occurrence (co-text)
abono	4	In some parts of Spain you will find the institution of the subscription or abono and the re-venta. (p. 36)
aficionado	12	The aficionado, or lover of the bullfight, broadly, then, to be one who has this sense of the tragedy and ritual of the fight (…) (p. 9)
alternativa	8	September may be a splendid month if there are new fighters who have only just taken the alternativa and (…) try to make names for themselves (…) (p 49)
aguacil	6	They are the aguacils or mounted bailiffs and it is through them that all orders (…) are transmitted. (p. 59)
al sesgo	2	(…) the man after passing the horn would be caught between the bull and the barrier and such bulls must be banderilla-ed on this bias or al sesgo. (p. 196)
andanada del sol	2	The cheapest seats are those nearest the roof (…) They are the andanadas del sol and on a hot day (…) they must reach temperatures that are unbelievable in a city like Valencia (…) (p. 32)
apartado	5	At a half hour past noon of the day of the fight the apartado takes place. (p. 29)
aplomado	5	See *levantado* (p. 29)
arroba	18	They say the number 20 has more horns than the 42, but the 42 weighs two arrobas (fifty pounds) more than the 16. (p. 27)
ayudado	4	See *pecho* (p. 18)
banderilla	131	When the banderillas were in (…), the crowd which had applauded ironically at every nervous move he had made knew something very funny would happen. (p. 18)
banderilla (v.)	3	Bulls that take up a querencia against the barrera cannot be banderilla-ed by the use of the quarter (…) (p. 196)
banderilla al cambio	2	This is called placing banderillas al cambio. (p. 194)
banderilla al quiebro	1	There is another variation of this called al quiebro in which the man is not supposed to lift either foot (…) (p. 194)

hispanicism	freq.	first-time occurrence (co-text)
banderillear (v.)	4	Maera could banderillear as well as Joselito (…) (p. 78)
banderillero	102	Any one who fights bulls for money, whether as a matador, a banderillero or a picador is called torero. (p. 26)
barrera	94	This red wooden fence is called a barrera. (p. 30)
burladero	4	Blanquet, standing by the White-marked burladero (…) is the only one in the audience who looks worried. (p. 322)
brindis	2	First the brindis or salutation of the president and dediction or toasting of the death of the bull (…) (p. 97)
caballero en plaza	2	See *rejoneador* (p. 26)
cabestro	4	(…) raising a cloud of dust as they moved and sending the inhabitants of villages running into their houses to slam and lock doors and look through the windows at the wide, dusty backs (…), the belled necks of the cabestros (…) (p. 108)
callejon	4	This narrow runway is called the callejon. (p. 31)
cambio	6	(…) in the cambios and in the so-called quiebros you should watch how well he waits and how close he lets the bull come before he shifts his feet. (p. 200)
cambio de rodillas	1	This pass is called a cambio de rodillas and would be imposible, or suicidal, to attempt (…) has passed from levantado to parado. (p. 146)
cape	312	Three of these men who aid him on foot with capes, and, at his orders place the banderillas (…) (p. 26)
capea	3	The aspirant bullfighters, who have no financial backing, get their first experience in capeas. (p. 22)
carne de toro	1	We all spoke of him as carne de toro, or meat for the bulls, and it didn't really make much difference (…) (p. 254)
castanet	1	It is modern rather than picturesque, no costumes (…), no phonies, no castanets (…) (p. 51)
chiquero	3	This is the sorting out of bulls doors, runways and trap doors (…) separating them and trapping them into the individual pen sor chiqueros where they are to stay (…) (p. 29)
divisa	2	They are not goaded, no divisa is placed in their shoulders. (p. 107)

hispanicism	freq.	first-time occurrence (co-text)
caril	1	The bullfighters call them round-trip bulls, go-and-come bulls, or cariles, or mounted-on-rails bulls (…) (p. 160)
cogida	2	(…) the crowd (…) now murmuring with the rush of talk that always follows a serious cogida (…) (p. 253)
cojones	4	It is a very nice symbolism but it takes more cojones to be a sportsman when death is a closer party to the game. (p. 22)
contra-barrera	2	The two rows nearest the ring, the front rows of all the seats, are called barreras and contra-barreras. (p. 31)
cornada	14	I see the bullfighters' viewpoint about killing recibiendo when they know the cornada comes in the chest. (p. 239)
corral	42	(…) the bull is herded out of the ring alive by steers to dishonor the killer, he must, by law, be killed in the corrals. (p. 21)
corrida	41	(…) and the spectator who wants to see men tossed and gored rather judge the manner in which the bulls are dominated should go to a novillada before he sees a corrida de toros or a complete bullfight. (p. 17)
corrida de toros	6	In the modern formal bullfight or corrida de toros there are usually six bulls that are killed by three different men. (p. 26)
cuadrilla	16	Each matador, or killer, has a cuadrilla, or team, of five to six men who are paid by him and work under his orders. (p. 26)
cuarteo	5	The man may start from a position so that he makes a quarter of a circle as he crosses the bull's charge, thus placing them al cuarteo.
delantera de grada	2	At your first bullfight if you are alone, with no one to instruct you, sit in a delantera de grada or a sobrepuerta. (p. 33)
delantera de tendidos	2	The third rows are known as delanteras de tendidos or the front row of tendidos. (p. 31)
descabello	16	(…) a non-Indian Mexican who is a perfect bullfighter, brave (…) and dominating every department of his art completely except the very minor one of administering the descabello or coup de grace (…) (p. 225)
desmandar (v.)	1	Bulls are still driven in that way in the provinces away from the railways and occasionally one will desmandar or unherd. (p. 108)
espectaculo	1	The chances are there will be nothing in the Madrid papers about any bullfight (…) except a small classified advertisement (…) in the column of espectaculos. (p. 36)

hispanicism	freq.	first-time occurrence (co-text)
estocada	14	(…) one estocada of Zurito's was worth many of Aguero's to watch (…) (p. 258)
faena	35	(…) sometimes simulating almost successfully the light-heartedness of a great faena. (p. 90)
farol	3	See *paseo* (p. 11)
feria	61	(…) the dates coincide with national religious festivals and the times of the local fairs or ferias which usually commence on the Saints day of the town. (p. 37)
feria de ganado	1	(…) and that night, at the feria de ganado, the whores wouldn't have anything to do with dwarf (…) (p. 273)
fiesta	15	(…) and a good public is not a public of a one bullfight fiesta where every one drinks and has a fine time (…) (p. 42)
flamenca (dancer)	1	It is very easy for the traveller in Spain seeing the flour-faced fatness of the flamenca dancers and the hardy ladies of the brothels (…) (p. 41)
galleo	1	See *gaonera* (p.176)
gamba	3	Waiter, three orders of gambas. (p. 93)
gaonera	2	I will not describe the different ways of using the cape, the gaonera, the mariposa, the farol, or the older ways, the cambios de rodillas, the galleos, the serpentinas in the detail that I have described the veronica (…) (p. 176)
gaseosa	1	In it stand the sword handlers with their jugs of water (…) the venders of cold beer and gaseosa (…) (p. 31)
grada	4	See *palco* (p. 31)
herradero	2	When a Spaniard wishes to describe the utter confusion of a bad bullfight he compares it to a herradero. (p. 115)
hombre	6	"What do I want with exercise, hombre? What do I want with strength?" (p. 157)
jota	1	(…) not the jota contests in the old red plush theatre and the wonderful boy abd girl pairs (…) (p. 272)
larga	4	Originally quites were made, preferably, by the use of largas. (p. 177)
levantado	5	The three phases of the bull's condition in the fight are called in Spanish, levantado, parado, and aplomado. (p. 146)

hispanicism	freq.	first-time occurrence (co-text)
madrileño	2	Madrileños love the climate and are proud of these changes. (p. 47)
manzanilla	1	I am never at the ring without a bottle of manzanilla (…) (p. 188)
maricón	3	"Do you make him a maricón?" (p. 204)
mariposa	5	See *gaonera* (p. 176)
matador	449	One time in Madrid I remember we went to a novillada (…) to see six tovar bulls killed by three aspirant matadors who have all since failed in their profession. (p. 17)
matador de toros	10	It is one hundred to one against the matador de toros or formally invested bullfighter being killed (…) (p. 21)
mayoral	4	(…) the very best fighting bulls of all often recognize and know the mayoral or Herder who is in charge of them (…) (p. 113)
media-veronica	2	See *media-veronica* (p. 65)
media-vuelta	2	(…) those which are nearsighted are banderilla-ed by what is called by the media-vuelta or half-turn. (p. 197)
mesa	1	This common sense that they possess is as hard and dry as the plains and mesas of Castille (…) (p. 264)
molinete	3	See *paseo* (p. 11)
monosabio	2	These two Pamplona and San Sebastian monosabios should be, but rights, policemen and policemen on the radical squad. (p. 187)
montera	1	As the matadors come in front of the president's box they bow low and remove their black hats or monteras (…) (p. 59)
morillo	10	All you can expect in a good pic now is that the picador will place his stick properly, that is drive the point into the morillo (…) (p. 188)
morucho	2	(…) there is a little fighting bull blood, called moruchos in Spanish, are often very brave (…) (p. 131)
muleta	270	The bull only goes for the percale of the cape or for the scarlet of the muleta if the man makes him (…) (p. 16)
novillada	41	Therefore to really start to see bullfights a spectator should go to the novilladas or apprentice fights. (p. 17)
paella	2	(…) they will serve you beer and shrimps and a paella of rice (…), all cooked together in a saffron-colored mound. (p. 44)

hispanicism	freq.	first-time occurrence (co-text)
palco	2	The seats of the bull ring are uncovered except for the boxes or palcos and the first gallery or grada. (p. 31)
parado	6	See *levantado* (p. 146)
pase de pecho	6	(…) in the pase de pecho the bull, having turned, comes from behind or from the side (…) (p. 209)
pase natural	2	This, for movement, is Félix Rodríguez in a pase natural on a fast charging bull. (p. 364)
paseo	8	So in bullfighting, at the start it is the picturesqueness of the paseo, the color, the scene, the picturesqueness of farols and molinetes (…) (p. 11)
patio de caballos	4	You may visit the patio de caballos and other dependencies. (p. 55)
pecho	12	Aside from the natural and the pecho, the principal passes with the muleta are the ayudados (…) (p. 210)
pelota courts	1	(…) and many villages with bells, pelota courts, the smell of sheep manure and squares with standing horses. (p. 274)
peon	18	Strictly speaking, the banderilleros, who are also called peones, are never supposed to use two hands on the cape (…) (p. 66)
peon de confianza	2	(…) Bonifacio Perea, "Boni", Bienvenida's peon de confianza or confidential banderillero. (p. 201)
peseta	41	(…) men in the crowd who earn, perhaps less than a thousand pesetas will say, and mean it truly, "I would have given a hundred pesetas to have seen Cagancho with that bull." (p. 13)
picador	153	Therefore the worse the horses are, provided they are high enough off the ground and solid enough so that the picador can perform his isión with spiked pole, or vara, the more they are a comic element. (p. 6)
poder-a-poder	1	This is called placing them poder-a-poder or force to force. (p. 194)
por alto	5	These passes are either called por alto o por bajo, depending on whether the muleta passes over the bull's horns ori s swung below the bull's muzzle. (p. 210)
por bajo	2	See *por alto* (p. 210)
propina	3	The propina is responsable for almost every horror in bullfighting. (p. 185)

hispanicism	freq.	first-time occurrence (co-text)
pundonor	3	In Spain honor is a very real thing. Called pundonor, it means honor, probity, courage, self-respect and pride in one word. (p. 91)
puntilla	10	They carry on their belts puntillas, borad-headed knives, with which they can give the gift of death to any horse that is badly wounded. (p. 187)
querencia	30	A querencia is a place the bull naturally wants to go to in the ring (…) (p. 150)
quiebro	5	See *cambio* (p. 200)
rebolera	2	Finishing a series of verónicas with a rebolera, he has turned the bull so short that he has brought him to his knees. (p. 297)
recibiendo	12	When the man awaits the charge of the bull it is called killing recibiendo. (p. 237)
recorte	4	The media-veronica that stops the bull at the end of the passes is a recorte. (p. 66)
rejoneador	2	A man who kills them on horseback with a javelin (…) is called a rejoneadoror caballero en plaza. (p. 26)
relance	3	Another way of placing the banderillas that you still sometimes see is what is called a relance (…) (p. 197)
re-venta	4	See *abono* (p. 36)
serpentina	2	See *gaonera* (p. 176)
suerte	16	(…) what they seek is honesty and true, not tricked, emotion and always classicism and the purity of execution of all the suertes (…) (p. 12)
sobrepuerta	3	The only other seats (…) where you do not see people between you and the ring, are the sobrepuertas. (p. 32)
sobresaliente	4	Ortega (…) was still an unknown novillero and acted as sobresaliente or substitute novillero (…) (p. 345)
sol y sombra	3	Seats that are in the sun when the fight commences but that will be in the shadow as the afternoon advances are called of sol y sombra. (p. 32)
sombra	1	(…) those seats that are in the shade when the fight commences are called seats of the sombra or shade. (p. 32)
suerte de varas	1	The first act, where the bull charges the picadors, is the suerte de varas, or the trial of lances. (p. 96)

hispanicism	freq.	first-time occurrence (co-text)
tauromaquia	1	For a list of 2077 books and pamphlets in Spanish dealing with or touching on tauromaquia (…) (p. 487)
tendido	4	These rows of numbered places are called tendidos. (p. 31)
tienta	1	Now what makes a bull brave is first the strain of fighting blood which can only be kept pure by conscientious testing in the tientas and second his own health and condition. (p. 124)
toreador	1	No one is called toreador in Spain. That is an absolute word, which was applied to those members of nobility who (…) killed bulls from horseback for sport. (p. 26)
torear (v.)	6	(…) the only word for all the actions performed by a man with the bull, as it was known to be imposible to torear. (p. 69)
torero	16	As a complete, scientific torero he is the best there is in Spain. (p. 84)
vaquero	4	The confidential banderilleros question the herder or vaquero who has travelled from the ranch (…) (p. 27)
vaquilla	2	The fighting cows, or vaquillas, seem to enjoy these appearances. (p. 107)
valor	35	(…) but once he spreads his legs and his long arms apart no valor can sabe him from being utterly ridiculous. (p. 87)
vara	3	See *picador* (p. 6)
veronica	45	(…) the slow passes that he made were called veronicas and the half pass at the end a media-veronica. (p. 65)
virtuoso	1	He is the living virtuoso of the descabello which is a push with the point of the sword (…) (p. 248)
vista	5	He showed he was a good baderillero (…) with much intelligence and vista in handling of the bull (…) (p. 230)
volapié	9	You may never see it because the volapié (…) is so much dangerous than the suerte de recibir (…) (p. 238)

THE QUEST FOR WHITENESS IN WILLA CATHER'S *MY ÁNTONIA* (1918) AND HENRY ROTH'S *CALL IT SLEEP* (1934)

Mireia Vives Martínez[1]
Universitat de València
mireia.vives@uv.es

ABSTRACT. *The aim of this paper is to trace the assimilation process of European immigrants to the United States at the turn of the century in Willa Cather's* My Ántonia *(1918) and Henry Roth's* Call It Sleep *(1934). Bearing in mind the historical relevance of race and whiteness in the United States, I analyse the changes performed by Cather's and Roth's protagonists in order to achieve the status of white. To this purpose, I provide a brief overview of the nature of whiteness in the United States and its epistemological changes to account for its importance within the novels. I then look at the transformations characters perform in terms of religious faith and gender norms, as well as their interaction with English and spaces to become integrated in the new land. In doing so, differences between the novels arise, but so does a subtext of violence common to the immigrant experience.*

Keywords: Whiteness, race, assimilation, migrant literature, Willa Cather, Henry Roth.

MIREIA VIVES MARTÍNEZ

LA LUCHA POR LA IDENTIDAD BLANCA EN *MY ÁNTONIA* (1918), DE WILLA CATHER, Y *CALL IT SLEEP* (1934), DE HENRY ROTH

RESUMEN. *El objetivo de este artículo es trazar el proceso de asimilación de los inmigrantes europeos a su llegada a Estados Unidos a comienzos del siglo XX a través de* My Ántonia *(1918), de Willa Cather, y* Call It Sleep *(1934), de Henry Roth. Dada la importancia histórica de conceptos como raza e identidad blanca en Estados Unidos, analizamos las transformaciones que los protagonistas de ambas novelas llevan a cabo para lograr el estatus de blancos. Partiendo del concepto de identidad blanca en Estados Unidos y los cambios epistemológicos que experimenta, señalamos las transformaciones de los personajes en lo que respecta a la religión y los roles de género, así como su interacción con la lengua inglesa y los espacios en aras a lograr dicha integración en el nuevo mundo. Un análisis de esta índole destaca las diferencias entre las novelas, pero también el subtexto de violencia común a la experiencia del inmigrante.*

Palabras clave: identidad blanca, raza, asimilación, literatura migrante, Willa Cather, Henry Roth.

1. INTRODUCTION

It is possible to argue that the notion of whiteness has been key in the larger socio-political context of the United States. Not only does it link from its origins to a history of domination and privileges that date to colonial times (Jacobson 1998: 4), but it has also been subject to political interests and epistemological changes throughout history.

Although the 1790s Naturalization Law granted citizenship to "any alien, being a free white person", the waves of European immigrants arriving between 1840 and 1920 to the New World will lead to a reconsideration and complication of the term. Matthew Frye Jacobson's *Whiteness of a Different Color* (1998) provides a valuable insight into the transformations undergone by the concept of whiteness in the scientific discourse throughout the 19th and early 20th century. As shown by Jacobson, such texts aimed at a further differentiation among races, but also within the white race, paying attention to colour, as well as facial angle or head size and shape to support their arguments.[2] Underlying

---

2   These texts often assumed a link between physical and moral traits, as seen in Samuel Morton's *Cranea Americana* (1839), where Caucasians are regarded as the most intelligent race: "[…] characterized by a naturally fair skin, susceptible of every tint; hair fine, long and curling, and of various colors. The skull is large and oval, and its anterior portion full and elevated. […] This race is distinguished for the facility with which it attains the highest intellectual endowments" (5).

this racialist, pseudo-scientific discourse lies a sense of difference connected to cultural assets such as religion: while those referred to as white in the 1790s Naturalization Law were Protestant, the first wave of immigrants who arrived in the 1840s in the United States were Irish Catholics. In other words, Protestantism granted individuals the independence and self-reliance to read and interpret, endowing them with the ability of self-government; Catholicism, on the other hand, did not.

Nonetheless, the shift in the immigrants' origins at the end of the century will lead to a further redefinition of whiteness, with Irish Catholics becoming whit*er* against the background of Chinese migration in the 1870s and Eastern and Southern Europeans at the turn of the 20th century. The inferiority of the newly arrived will be echoed, once again, in the scientific discourse of the period. For instance, John R. Commons stresses the link between religion and self-governance, as well as social class, to support such claims:

> But the peasants of Europe, especially of Southern and Eastern Europe, have been reduced to the qualities similar to those of an inferior race that favor despotism and oligarchy rather than democracy. [...] Thus it is that the peasants of Catholic Europe, who constitute the bulk of our immigration of the past thirty years, have become almost a distinct race, drained of those superior qualities which are the foundation of democratic institutions. (1907: 11-12)

However, despite Nativists' and Eugenics' claim at the time "that Southern European, Semitic and Slavic immigrants held as *poor* a claim to the color 'white' as the Japanese" (Jacobson 1998: 77), the concept of race will undergo an epistemological change during the first two decades of the 20th century. In this sense, Franz Boas' *Changes in Bodily Form of Descendants of Immigrants* (1911) could be seen as representative of a new trend which points towards the destruction of race as a biological, unflappable concept by showing the transformations in the bodies of immigrants and their children:

> [...] the bodily traits which have been observed to undergo a change under American environment belong to those characteristics of the human body which are considered the most stable. We are therefore compelled to draw the conclusion that if these traits change under the influence of environment, presumably none of the characteristics of the human types that come to America remain stable. The adaptability of the immigrant seems to be very much greater than we had a right to suppose before our investigations were instituted. (Boas 1911: 2)

Race will go in this period from being a biological category to comprehending a set of cultural and social traits (Frankenberg 1993: 13), and in the years following 1924's Johnson-Reed Immigration Act, the issue of whiteness will decay.

Yet, even if the Golden Door is gradually opened to different groups, upon their arrival in the United States, immigrants are forced to undergo certain changes to become part of this new society. In this sense, the literature of immigration is fraught with examples of such transformations.[3] In this paper I analyse the construction of and quest for whiteness in two novels on European immigration to the United States at the beginning of the 20th century: Willa Cather's *My Ántonia* (1918) and Henry Roth's modernist masterpiece, *Call It Sleep* (1934). Cather's novel depicts the journey of the Shimerdas, a Bohemian family that moves to Nebraska at the end of the 19th century. As well as documenting extensively the challenges in the life of frontiersmen and women (John 2019: 187), the text records Ántonia's transformation and coming of age. Yet, readers never get direct access to the girl's stream of thoughts, for they are always filtered through the hegemonic voice of her friend, Jim Burden, a white Anglo-Saxon boy. Meanwhile, Roth's work follows the first steps of the Schearls in the New World, a Jewish-Galician family that settles in New York at the beginning of the 20th century. Narrated from the perspective of David, an immigrant boy, this novel is at once a psychological exploration of how a child's identity is reshaped in this new environment.

These novels are the perfect example of the richness and diversity of migrant literature, given the disparity in the origin and cultural background of the characters –and their authors–, as well as the difference in the setting of the novels. In fact, the journey portrayed in each of them could not differ more from one another. Cather's work stresses the difficulties of new settlers on the West and the frontier. Due to that, a large portion of the research on *My Ántonia* has focused on the relationship between immigrants and the construction of an American national identity (see Tellefsen 1999; Goggans 2003; Brown 2005), as well as on its female protagonist and her intersectionality, that is, Ántonia's disadvantageous position because of her gender and ethnicity (see Wussow 1995; Irving 2000; Hoffmann 2002). Roth's novel, on the other hand, leaves testimony of the experiences Irish, Italians and Jews might have had in urban spaces at the beginning of the century. In the city, familial unity is opposed to material improvement, and alienation and anonymity become a continuous threat (see Abramson 1982; Maior 2017: 113). One of the aspects that has caught the attention of scholars is Roth's portrayal of the immigrant Jewish urban experience (Walden 1984; Adams 1989; Wirth-Nesher 1995; Rosenbloom 1998; Maior 2017). In this regard, many studies have delved into the use of language in the novel (Diamant 1986; Wirth-Nesher 1990; Wirth-Nesher

---

3 While Edward A. Abramson's article (1982) highlights the importance of Scandinavians, Germans, Irish, Italians and immigrants from Eastern or Middle Europe as the biggest migratory groups at the turn of the century, Dorothea Schneider (2003) adds Chinese and Japanese to the former, noting how they have also left "a relatively rich trail of documents and a literature that dates back to the beginning of the twentieth century".

2003) and into the employment of Modernist techniques to narrate such processes (Altenbernd 1989; Capell 2007; Zuckerstatter 2021).

Thus, there is no denying that the immigrant question lies at the centre of Cather's and Roth's novels. Despite their differences, both narratives depict the problems of adaptation and assimilation inherent to the immigrant experience. They both shed light on a context of general distress due to mass migration (Tsank 2018: 39), marked by the transition from one concept of race to another, and from one view on whiteness to another. The pioneers, as well as the immigrants in the city, are in a quest for success, but the looming threat of failure remains. Therefore, in both environments there is a tangible existence of dreams, courage, but also hostility, a frontier of a different nature in each case. This dichotomy is further enlarged by the ambivalent feelings towards assimilation or Americanization, for it comes with the price of losing one's own culture and language.

In the upcoming pages I will delve into the most notable transformations characters in the novels undergo for the sake of adaptation. These works have been studied against the background of mass migration and the national anxiety it caused during the first decades of the 20th century. However, neither *My Ántonia* nor *Call It Sleep* have been directly linked to the notion of whiteness. By addressing issues concerning religion, gender roles, language use and spaces in these novels, it is possible to demonstrate that the concept of whiteness lies at the core of the changes performed by characters in both narratives. Whether it is in the secluded, half-tamed landscape of Nebraska or on the streets of an overpopulated, increasingly industrialised New York, all immigrants must experience the same transformations to attain whiteness and the privileges attached to this concept. Additionally, in analysing how characters interact with their environment, it is possible to see their increasing assimilation, but also their impact on their surroundings, uncovering the multiculturality of America. Finally, in drawing a comparison between these works, I will expose the different models of assimilation proposed by each author.

2. THE ABANDONMENT OF RELIGIOUS FAITH

Although the period compressed between 1901 and 1920 constitutes a new era in the United States, two out of five American residents were still in political or social disadvantage due to ethnical or racial matters at the time (Heinze 2003: 132). As mentioned above, one of the most salient traits of immigrants was their religious faith (see Alba and Nee 2003: 282). With the question of identity at its core, immigrants clung to traditional beliefs and faith in an attempt to preserve

a solid cultural identity against the background of constant change (Hirschman 2004: 1211).

In the case of *Call It Sleep*, cultural practices connected to religion such as the "parents' desire to keep a kosher house or to send their children for religious instruction […] and celebrating Jewish holidays" (Frankenberg 1993: 217) are present in the novel. Their aim is to maintain a sense of Jewish identity. David, the narrator and child of the family, even attends cheder in order to learn "what it means to be a Jew" (Roth 2006: 207), reaffirming his identity outside the normative margins of American society.

However, even if spatially there is a Jewish community that remains cohesive in the Lower East Side, once the protagonist leaves his neighbourhood, Judaism works as a constant reminder of David's otherness and non-whiteness, alienating him. His exclusion is evidenced at the police station,[4] when American teenagers confront him,[5] or when he meets Leo: "'Davy. David Schearl.' 'My name's Leo Dugovka. I'm a Polish-American. You're a Jew, ain'tcha?'" (Roth 2006: 299). David's friendship with Leo can be considered the starting point for his assimilation, as it is his first contact with the white community. Despite being Polish and Catholic, just like Irish people against the background of slavery (Jacobson 1998: 44), Leo is constructed as white in opposition to David: "Leo belonged to a rarer, bolder, carefree world" (Roth 2006: 302). Yet, the fact that his mother works as a cleaner in a bank denotes the hierarchical structure of whiteness, where Leo and his mother stand at the bottom. Though low, Leo's position within the hierarchy of whiteness entitles him to instruct David: "'Crosses is holy […] All of 'em. Christ our Saviour, died on one o' dem.' 'Oh! (*Saviour! What?*) I didn' know'" (Roth 2006: 301).

The narrator's friendship with Leo sets his process of acculturation in motion, with David being willing to give up his community and his faith for the sake of being accepted and acknowledged by his new friend. Not only does he let him mock Jewish customs,[6] but he will go as far as to sacrifice his cousin Esther for a rosary: "'Shut up! I ain't! So if he gets her – down there – what? What'll do? I'll ask. Just ask, that's all. I'll say, give it to me, them lucky beads, c'mon! You said you would before. And now he'll give it to me. Has to.'" (Roth 2006: 345).

---

4 "'[…] Barhdee Street! Sure Barhdee! That's near Parker and Oriol – Alex's beat, Ain't that it?' 'Y'yes.' Hope stirred faintly. The other names sounded familiar. 'Boddeh Stritt.' 'Barhdee Street!' The helmeted one barked good-naturedly. 'Be-gob, he'll be havin' me talk like a Jew. Sure!'" (Roth 2006*:* 99)

5 "'W'ere d'yiz live?' 'Dere.' He could see the very windows of his own floor. 'Dat house on nint' stritt. My mudder's gonna look oud righd away.' […] 'Dat's a sheeney block, Pedey', prompted the second freckled lieutenant with ominous eagerness. 'Yea. Yer a Jew aintchiz?'" (Roth 2006*:* 246)

6 "David had described the 'Tzitzos' that some Jewish boys wore under their shirts, and the 'Tfilin', the little leather boxes, he had seen men strap around their arms and brows in the synagogue– had described them, hoping that Leo would laugh. He did." (Roth 2006*:* 302)

The relinquishing of religious faith takes place in *My Ántonia* too. While the Shimerdas are Catholic, Jim Burden, the narrator and Ántonia's friend, is Protestant. In the text, his family is portrayed as the epitome of whiteness; Mr. Burden is even described as physically white, with "snow-white beard", "bright blue" eyes, "white and regular" teeth, as well as being further characterised by "deliberateness and personal dignity" (Cather 1988: 11-12). Matching these physical and moral traits, he is also a religious man who "put on silver-rimmed spectacles and read several Psalms" (Cather 1988: 13). This character is therefore constructed under racialist ideas embodying the so-called attributes for "self-government" that supposedly characterise Protestants. In this context, the Shimerdas' Catholicism stands as a reminder of their otherness and will be diminished by the other characters. Thus, when Mr. Shimerda kneels down, crossing himself, before the Christmas tree (Cather 1988: 87), the imagery suggested is counteracted by Mr. Burden, who "bowed his venerable head, thus Protestantizing the atmosphere" (Cather 1988: 87). In fact, Mr. Shimerda's death early on in the novel entails to a certain extent the removal of Catholicism from the text. Having committed suicide, Ántonia's father cannot be buried either in the Catholic or the Norwegian cemetery. Instead, he is buried in a future cross-road of two paths, which do not intersect, as the narrator points out, "so that the grave [...] was like a little island" (Cather 1988: 119), forever excluded from America (Tellefsen 1999: 240). Even his burial is Protestantised by Mr. Burden's prayer as well as Fuchs' hymn (Cather 1988: 117-118). From this point onwards, Catholicism becomes virtually non-existent in the novel, constituting the first step in Ántonia's path towards assimilation.[7]

The First Amendment of the American Constitution that guarantees religious freedom is thus broken by its citizens in the novels. Bearing in mind the role of religious faith as a means for cohesion, the fact that it loses its relevance in the novels seems to point at the characters' estrangement from their roots, which appears to be a *sine qua non* condition for assimilation.

3. GENDER ROLES IN THE NOVELS

The process of acculturation entails not only the abandonment of certain cultural traits, but also the acquisition of new ones, including the language, norms and values of the new society (Berry 2013: 47). Cather's and Roth's protagonists will not only have to learn new social norms, but also memorise and enact them (Berry 2013: 47). This particular aspect is exemplified in the novels in the way

---

7 In a symbolic key, the death of Ántonia's father illustrates the consequences of not adjusting to the new society, for he seems to be "completely lost in this rough new country, lives in the past, having lost the will to adjust, and ends by committing suicide" (Daiches 1951: 46)

MIREIA VIVES MARTÍNEZ

they adjust their actions according to gender roles. Because of the publication date of the novels, the 19th-century ideal of the angel in the house (see Hartnell 1966) intersects with capitalism in both texts, leading to different images of womanhood.

In *My Ántonia*, Cather's protagonist seems to adhere to a more traditional view of womanhood. She begins early on in the novel helping Mrs. Burden; she "learn[s] about cooking and housekeeping" (Cather 1988: 31). During her period in Black Hawk, Ántonia will take after Mrs. Burden and Mrs. Harling. In fact, the latter is convinced that, despite the protagonist's rough manners, "[she] can bring something out of that girl. She's barely seventeen, not too old to learn new ways" (Cather 1988: 153).

In contrast to Ántonia, Lena Lingard portrays a more modern type of woman. Her experiences and hardships as a child due to poverty and isolation determine a different path for her. She will take advantage of the capitalist system to climb up the social ladder: her choice of setting up her own business contrasts Ántonia's domestic farm-life at the end of the novel; but her refusal to marry constitutes furthermore a rebellion against gender expectations and women's position within the patriarchal society:

> Well, it's mainly because I don't want a husband. Men are all right for friends, but as soon as you marry them they turn into cranky old fathers, even the wild ones. They begin to tell you what's sensible and what's foolish, and want you to stick at home all the time. I prefer to be foolish when I feel like it, and be accountable to nobody. (Cather 1988: 291)

This "self-made woman" is by no means exempt from criticism. On the contrary, she is going to be rejected due to the prevalence of traditional gender norms. In this regard, immigrant women are going to be subject to general disapproval. Against the background of Black Hawk women, who "had a confident, unenquiring belief that they were 'refined', the country girls who 'worked out' were not" (Cather 1988: 199). Instead, the hired girls –as people call them– "have a reputation for being free and easy" (Cather 1988: 207). Paradoxically enough, even if Ántonia disapproves of Lena's lifestyle, in being herself a working-class immigrant too, she is part of the group that is rejected by the wider society.

Nevertheless, it is core to remember that this narrative is told from Jim Burden's perspective. His depiction of Ántonia as a woman who adheres to a more traditional view of womanhood could be read, in Goggans words, as "the conservative social attempt to 'tell the story' of how women and minorities should behave in the new world" (2003: 157). In fact, Jim's view is contested by the protagonist herself. Just like Lena's life choices, Ántonia's decisions pose a

Journal of English Studies,
vol. 19 (2021) 171-190

challenge to traditional gender norms. For example, going dancing despite the reputation she might earn, or not being brought down when she gets pregnant by Larry Donovan. The prejudices held against immigrant women hide the fact that these characters bring a breeze of fresh air into Black Hawk. Because of that, they "[are] considered a menace to the social order" (Cather 1988: 20), for they remind American society that the Other exists and is intrinsic to America (Tellefsen 1999: 233-234).

Despite choosing different paths, it is undeniable that both Ántonia and Lena undergo a process of acculturation once they enter and settle into the new society. Drawing on the psychological notions of process, competence and performance, John W. Berry (2013) applies these terms to the process of integration carried out by immigrants and notes the relevance of the cognitive tasks of learning and memorising. To adapt themselves, immigrants must acquire cultural features of the new society, such as language, norms or values and retain those new traits. Conversely, the opposite experience to memorising – shedding or forgetting – is part of the integration process as well, "in which some […] features are selectively cast aside, often after a period of nonuse in the new society" (Berry 2013: 47). Ántonia seems to partake of this dual experience. While acquiring new traits, she also forgets older ones, such as Catholicism. Although there remains the possibility that she does not forget her religious faith – this information could simply be omitted by the narrator – it is clear that any reference to Catholic religion is obliterated from the text after Mr. Shimerda's death.

But Berry's notion of forgetting or shedding could be made extensible to the entire immigrant experience as portrayed by Cather in her novel. It is possible that America wants these girls to *forget* the poverty and hardships they have endured upon their arrival to succeed in the New World. Integration can only happen at the expense of forgetting the dim side of their experience. Mrs. Burden is first in stating this: "You'll have a better house after a while, Ántonia, and then you will *forget* these hard times" (Cather 1988: 75 my emphasis); and so does Mrs. Harling: "The girl will be happy here, and she'll *forget* those things" (Cather 1988: 154 my emphasis).

In *Call It Sleep* it is also possible to discern two different models of femininity. While Genya, David's mother, represents a more traditional ideal of femininity, Bertha, the protagonists' aunt, has several jobs outside the house. The latter is furthermore the case of a woman entering the consumerist society and taking part in the cult of beauty: "Bless is the Golden land […] Such beautiful things to wear" (Roth 2006: 153). In buying new clothes, using make up or going to the dentist, she participates in everyday activities in the new society.

Gender and capitalism are further intertwined in the modernist novel. It is worth exploring how David interacts with these social norms, for it is from his androcentric perspective that events are presented. Unlike Cather's narrator, Jim – who is a member of the white American community –, David is undergoing a process of acculturation and integration, just like Ántonia and Lena. This process becomes conspicuous in the way that he commodifies women. Even if Genya fits into the image of the angel in the house, the fact that she is always described by David as performing some type of chore shows a correlation between his mindset and the utilitarian image of women created by American capitalism. This objectification will culminate in David symbolically engaging in this system of exchanges. The protagonist will go as far as to trade his cousin for a rosary, as already mentioned in the previous section.

The rise of ethnicity in conjunction with the transformations these characters undergo in terms of religion and gender expectations show how American society impacts on immigrants upon their arrival to the New World. Moreover, these changes unveil how the characters must fight layers of otherness in different ways. In the case of religion, it is something they will get rid of, shedding in the case of David, forgetting in the case of Ántonia. As far as gender roles are concerned, characters seem to mould themselves and perform changes based on the models provided and according to the capitalist system. Hence, these novels could be read as "a document of cultural passage" (Wirth-Nesher 1995: 390). It is yet to determine whether American white society will enable cultural pluralism or force a choice between the characters' two cultures.

4. THE ACQUISITION OF ENGLISH IN THE NOVELS

In the early decades of the 1900s, for the Americanization Movement teaching English included "English and civics, along with the ideas about the 'American way of life'" (Ullman 2010: 5). At the period when Cather and Roth write their novels, traits of foreignness in speech were regarded negatively. According to Zuckerstatter: "Numerous manuals on correct diction were published in order to remedy, or purify, the corrupted and polluted ethnic traces […] found in the immigrant's use of English" (2021: 181). Far from being a sheer linguistic practice, language permits individuals to negotiate new positions for themselves within society (Norton and Toohey 2011: 418). Bearing these aspects in mind, it is worth analysing the effects and implications of learning English in the novels.

Language acquisition and removing traces of native speech such as accent manifest the immigrants' yearnings for assimilation and will distinguish first- from second-generation immigrants (Wirth-Nesher 2003: 111). While Albert and Bertha's

speech in *Call It Sleep* is marked by traits of foreignness, and Genya never learns English at all, there is an evolution in David's command of the language. From speaking exclusively Yiddish, he then learns enough for his mother to tell him that "[his] Yiddish is more than one-half English" (Roth 2006: 118). English is furthermore the language David employs to communicate with other children:

> 'Don't be offended with me, Yussie.' In the blank immobility of her face, a bare mechanical smile stirred her lips. 'Go on. Speak further if you like.' 'Yea.' Impatiently Yussie summarized his narrative, not bothered to switch tongue. 'I wuz tellin' him about a fiyuh' crecker wod a boy wuz holdin' an' id wen' bang! So aftuh id we'n bang, id hoided him de hand so he had t'pud a bendige on like Misteh Schoil.' […] He stopped, regarded her in perplexity, and then uneasily to David, 'Don' she wan' I sh' talk t'huh in Engklish?' 'I don' know,' he answered sullenly. His mother's fixed, unseeing stare, her trembling lips, trembling as if to an inner speech, was anguish enough for him to bear without the added humiliation of having Yussie notice it. (Roth 2006: 137)[8]

The use of English evidences David's increasing assimilation. But at the same time, it also denotes the exclusion of those who do not have a good command of the language, as demonstrated by Genya in this scene.

Yiddish and English seem to stand in a diglossic relationship within the novel: While David associates the former with his family, his neighbourhood and, by extension, Jewish culture, it does not fit outside of his community. This is something he realises when he gets lost and asks for directions (Roth 2006: 95), or when he goes to the museum with Bertha (Roth 2006: 145). Meanwhile, English stands for the new gentile world, where the protagonist must shape a new identity (see Maior 2017: 110; Mann 2018: 453). However, diglossic situations are usually unstable. Pressures, as Fasold names them (1984: 39), may tilt the balance towards one language or another. In this sense, Book IV in the novel puts an end to David's in-between situation. When Roth's protagonist is almost electrocuted, there is a convergence of people, but also of allusions to different cultures and languages: "'Christ, it's a kid!' 'Yea!' 'Don't touch 'im!' 'Who's got a stick!' 'A stick!' 'A stick, fer Jesus sake!' […] 'Oy! Oy vai! Oy vai! Oy vai!' 'Git a cop!' 'An embillance – go cull-oy!' 'Don't touch 'im!' 'Bambino! Madre mia!' 'Mary. It's just a kid!' 'Helftz! Helftz! Helftz Yeedin! Rotivit!'" (Roth 2006: 418-419). Among the different voices, American slang appears: "Christ, it's a kid!". Wirth-Nesher (2003: 123) notes how the word "kid" has become recurrent ever since David is asked by the rabbi to translate the traditional Jewish song Chad Gadya into Yiddish (Roth 2006: 230). Like the kid in the song, David stands at the bottom of the power chain; he is the subject of the

---

8   As seen in this fragment, Yiddish is represented with standard English in the novel, whereas English spoken by characters is presented in a dialectal form.

street boys' mockeries, his father's rage and the overwhelming spaces of the city. But at the same time this phrase connects with another kid, the Christian kid, Jesus Christ, who sacrificed himself to redeem mankind from its sins. This intermingling of allusions could support the idea of a multicultural America, for it evokes the Aramaic song and it simultaneously recalls American slang. Jewish and Christian, sacred and profane, elevated and low language, they all appear embodied in one sentence. However, since David is almost electrocuted, this scene could be read as showing his "dying out" and being symbolically reborn (Wirth-Nesher 2003: 124). In this regard, different critics have seen in this incident the key to David's assimilation into American society (Wirth-Nesher 2003: 124; Capell 2007: 33; Maior 2017: 119). His near-death experience seems to bring the boy's Jewish identity to an end while commencing a Christian, American white one. Although Frankenberg contemplates a possible intersection between Jewishness and Whiteness when considering Jewish culture (1993: 216), Roth's solution to the conflict is closer to Wirth-Nesher's term *kulturkampf* (1995: 393). In this case, David's fight materialises in the dichotomy between Yiddish and English, suggesting that he cannot reconcile the two identities.

Just as in Roth's novel, learning English becomes important in *My Ántonia* for the protagonist to integrate within American society. The opposite would support the idea held by Black Hawk's inhabitants that "[a]ll foreigners were ignorant people who couldn't speak English" (Cather 1988: 201). Not only does Mr. Shimerda ask Mrs. Burden to teach Ántonia the language, but Ántonia herself also wishes to learn English, advancing very quickly. Readers learn about her initial steps with the language: "She clapped her hands and murmured, 'Blue sky, blue eyes'" (Cather 1988: 26). Just two pages later, we are told that she "[has] opinions about everything" (Cather 1988: 28).

However, because the story is told from Jim Burden's perspective, readers do not have direct access to Ántonia's thoughts nor her assimilation process. More than how Ántonia is, we see how she *is read* by Jim and by white America as an interpretative community (see Daiches 1951: 44; Fish 1980). Speaking another language is not perceived here as a symptom of an identity split, but of plain ignorance. In controlling language, Jim can manipulate the image of Ántonia. He appropriates her, not only by calling her *my* Ántonia, but also by Americanising her name, calling her "Tony" (Cather 1988: 140). In order to be, characters must speak English, otherwise they are either nonchalant or non-existent. This is evidenced in the case of Ántonia at the beginning, who, according to Jim, "jabber[s] Bohunk" (Cather 1988: 46), but also in Ole Benson, whom people considered "glum" and that "never talked at all" (Cather 1988: 282), something Lena later belies: "Sure he talked, in Norwegian" (Cather 1988: 282).

Unlike the diglossic situation described in *Call It Sleep* and the loss it entails, Ántonia's assimilation takes a different path. Cather's protagonist will fulfil the demands of society by attaining English, but her speech will always retain traits of foreignness. Even if there is a linguistic evolution in the character, after marrying Cuzak she experiences a backlash: "'[…] I've forgot my English so. I don't often talk it any more. I tell the children I used to speak real well.' She said they always spoke Bohemian at home. The little ones could not speak English at all – didn't learn it until they went to school" (Cather 1988: 335). However, unlike in the case of Genya in *Call It Sleep*, this fact does not lead to Ántonia's exclusion. Instead, at the end of the novel she is seen by Jim as a "rich mine of life, like the founders of early races" (Cather 1988: 353). Here lies the basic distinction between both novels. Even if Ántonia is ethnically marked, for she has kept and taught her children Bohemian, along with the music and food of her country, these traits are now regarded positively by Jim. In this sense, Cather's attention to practices such as housekeeping or cooking meals allows characters to connect memories from their old lives with their new environment. In doing so, the immigrants arriving to the prairies of Nebraska manage to develop emotional attachments to their new homes (Dixon 2017: 229; John 2019: 199). Thus, while having created an outset of the Old World within the new one, Ántonia has also integrated herself in the new culture. With that sentence, Jim is acknowledging Ántonia's potential to create lives which would constitute a new breed of Americans (see Brown 2005: 100). Because of that, her transformation has a more integrative nature. In other words, her changes entail "the positive evaluation of, identification with, and acceptance of the values of both groups" (Berry 2013: 49). Meanwhile, David's case exposes a more restrictive sense of assimilation, understood as "identification with the dominant group but not with one's heritage group, and acceptance of the values of the dominant group and not those of one's heritage group" (Berry 2013: 49).

5. SPACES

A final aspect worth studying are the spaces in the novels. Far from simply being phenomenologically apprehended, spaces acquire significance for the plot. As critics from the *Spatial Turn* have noted, they become a further semiotic element with signs and symbols that have to be interpreted (Weigel 2002: 160). They are, as Döring and Thielmann have called them, spaces of cultural questioning (2009: 17). Both the streets of New York and the town of Black Hawk are the settings where the assimilation process takes place. As such, they become a further expression of American society and can pressure and/or echo the characters' development and transformation.

From the beginning of the novels, America is presented as a double-edged sword. It grants immigrants the opportunity to fulfil their dreams, as shown in *Call It Sleep*'s epigraph: "*I pray thee ask no questions this is that Golden Land*" (Roth 2006: 9). Yet, it is also a source of hostility, so that the first impressions are starkly contrasted in both novels with reality. Upon their arrival at Ellis Island, Genya and David are confronted with the Statue of Liberty, which, unlike its name, is here characterised by "the rays of her halo [that] were spikes of darkness roweling the air; shadow flattened the torch she bore to a black cross […] the blackened hilt of a broken sword" (Roth 2006: 14).

Roth's protagonists will head to New York's Lower East Side. Defined as "the New Jerusalem" (Heinze 2003: 142), this neighbourhood became in 1910 "the densest […] in the world, [which] housed hundreds of thousands of Yiddish-speaking Jews" (Heinze 2003: 142). Immigrant settlements of this period in the United States' urban areas constituted ghettos which were both delimited from the inside, for they are self-selecting entities (Walden 1984: 297), but also from the outside, being marginalised due to race, religion, linguistic barriers or feelings of superiority (Walden 1984: 297). The twofold nature of these segregated areas is evidenced in Roth's novel. The references to the Synagogue, the Cheder in the lower East Side, along with David being sent to buy the *Tageblatt* in Brownsville, suggest that the nature of the neighbourhood as a ghetto is created internally. Yet, David is also reminded by the non-Jewish kids of their difference, so that he realises their shared class condition but also *his* ethnic self because of where he lives: "'Dat's a sheeney block' […] 'Only sheenies live in dat block!' […] 'C'mon Pedey, let's give 'im 'is lumps'" (Roth 2006: 246). Neither the protagonist's language nor his religion can help him in the new context. What is meant to create cohesion and preserve a sense of identity actually prevents him from integrating (Maior 2017: 115).

The dichotomy that exists between Yiddish and English, the Jewish and the American, is paralleled in the relation between his neighbourhood and the city. As the narrative unfolds, David goes further into the streets and beyond the Lower East Side, exploring New York and its inhabitants. This is first perceived when he goes to the Metropolitan Museum, "a stately white-stone edifice set in the midst of the green park" (Roth 2006: 145), where David feels both "his aunt's loud voice and Yiddish speech […] seemed out of place" (145). Or later on in the novel with Leo, when they visit the bank (300), a building that could stand for white America, "wit dem swell w'ite stones an' gold ledders" (300); Leo does not only trigger his assimilation by leading David to reject Judaism, but with him he also enters the city, leaving the ghetto behind.

Much in contrast to Roth's novel, which unfolds fully in the streets of New York and portrays a burgeoning industrial city filled with possibilities but also dangers,

My Ántonia seems to adhere to the pastoral ideal intrinsic to American identity. Analysing the trope of the garden in American literature, Leo Marx underlines the possibilities that the land grants to an ordinary individual: "[I]t means the chance for a simple man, who does actual work, to labor on his own property in his own behalf. It gives him a hope for the leisure and economic sufficiency formerly – which is to say, in Europe – reserved for another class" (2000: 111). The prairies surrounding the farms where Ántonia and Jim grow up seem to partake of this myth. Cather endows this setting with an idyllic regenerative quality and a potential for success. The farms and the fields convey all the hopes that immigrants had upon their arrival in the New World.

Nonetheless, despite the difference in the settings it is possible to identify a similar pattern to Roth's novel regarding the characters' process of socialising. For a start, Jim's first sighting of the Shimerdas is marked by a physical separation; while he is "curled up in a red plush seat" on the train (Cather 1988: 5), Ántonia and her family are "in the immigrant car ahead" (Cather 1988: 4). Additionally, at the beginning of the novel, the Shimerdas seem to mingle only with other immigrants: Mr. Shimerda spends time with Peter and Pavel; Ántonia, meanwhile, meets Lena Lingard, Tiny Soderball, Norwegian Anna and Bohemian Marys, which would suggest that this type of segregation is self-imposed. However, differentiation is also externally created. Both "country girls" and "hired girls" –as they are often referred to– denote a sense of difference to city girls and bourgeois society. It is only after Ántonia goes to Black Hawk, when she starts working and interacts with other characters, that her language, and manners improve. In short, she begins to fit the demands of American society while familiarising with spaces.

Nevertheless, at the end of the narrative, Cather's protagonist ends up living isolated on a farm and married to a Bohemian man. While acknowledging that she "learned nice ways at the Harlings'", she still "belong[s] on a farm" (Cather 1988: 343), thus, away from the city and society. Neither does she feel detached from her country: "I ain't never forgot my own country" (Cather 1988: 238). Bearing in mind Ántonia's withdrawal from society, it comes as a surprise that she is still regarded positively by Jim at the end of the novel. In this sense, it can be argued that Ántonia becomes throughout the text a sort of symbol; her triumph over the land turns her into a sort of earth-goddess (Sharma *et al*. 2018: 71). It is possible to discern a process of identification, an eroticized nationalism (Tellefsen 1999: 229) performed by the narrator, who matches the land's fertile grounds to Ántonia's fecundity:

> [A]ll the human effort that had gone into it was coming back in long, sweeping lines of fertility. The changes seemed beautiful and harmonious to me; it was like watching the growth of a great man or of a great idea. (Cather 1988: 306)

> She had only to stand in the orchard, to put her hand on a little crab tree and look up at the apples, to make you feel the goodness of planting and tending at last […] It was no wonder that her sons stood tall and straight. She was a rich mine of life. (Cather 1988: 353)

Because of this, in contrast to David's, Ántonia's integration does not entail replacing. What *My Ántonia* portrays is Jim's progressive acceptance of the protagonist's difference, for she keeps her language, as already mentioned, her traditions and lives away from society. Cather's novel, thus, promotes a "culturally pluralistic Nebraska" (Brown 2005: 96), cohabited by Americans, Norwegians, Bohemians and Swedes. The author does not advocate for a hierarchy of cultures (John 2019: 199) – or whiteness, for that matter –, but for the coexistence of different peoples. In this sense, Jelinek's saloon, "where the Bohemian and German farmers could eat the lunches they brought from home while they drank their beer" (Cather 1988: 217), is placed in the middle of Black Hawk and the male bonding we see at the end of the novel between Jim and the Cuzak boys, as well as the promise of the former of going back to visit them points towards this multicultural America in the future.

However, far from offering a plain bright image, if Ántonia becomes a metaphor for America, she also embodies the country's violence. By the end of the narrative Cather's protagonist is "worked down" (Cather 1988: 319), "flat-chested, her curly brown hair a little grizzled" (Cather 1988: 331) and "a battered woman" (Cather 1988: 353). As Tellefsen puts it, "she becomes more America than American" (1999: 240). Together with her physical description, the prairie is fraught with misery: Mr. Shimerda's and the tramp's suicide, Peter and Pavel's end in bankruptcy and death, respectively, or Jim and Jake's disappearance are all evidence of the dim side of the American dream. Therefore, the open spaces of the prairies in Nebraska, while embodying the possibilities of a bright future, remain ambivalent, being a source of isolation and alienation too (see Sharma *et al.* 2018: 69).

6. CONCLUSIONS

The protagonists of *My Ántonia* and *Call It Sleep* are engaged in a journey to whiteness. Following different paths and strategies, both Ántonia and David learn English and undergo a process of assimilation. Ántonia's early life on the farm, marked by hardship, is left behind when she moves to Black Hawk. Similarly, in Roth's novel, David becomes more familiar with the city once he meets Leo, starting in this way his assimilation. Both characters give up cultural traits such as religion and perform changes requested by society, as shown in the characters' interaction with gender norms. In doing so, these novels evidence a series of

changes that were occurring at the time in racial matters, showing that race is connected to ethnicity rather than biology.

However, there is a notorious difference that sets these narratives apart. *My Ántonia* is framed from Jim Burden's perspective. Regardless of Ántonia's efforts, acceptance must be granted by him. The novel does not only record Ántonia's acculturation but also Jim's growing tolerance towards her otherness, that is, Jim's acceptance of the presence of the Other as part of America. Besides, the novel seems to advocate for a pluralistic view of the United States of America. In contrast to Cather's multiculturalism, Roth's depiction is more critical. The events framed from David's perspective highlight the struggles between his two identities. The language and images combined at the end of the book suggest the protagonist's rebirth into an American white identity, leaving no room for Judaism and Yiddish.

Despite the differences in the narrative perspective and the end of the texts, both novels shed light on a subtext of isolation and lack of understanding, triggering the changes in these characters. In both cases there is a contrast to the idealised conception of America prior to the immigrants' arrival. Roth presents the dark aspects of the Golden Land. His novel can be seen as an attempt to prove its own epigraph wrong. Similarly, Cather's multiculturalism is contaminated by a darker side. In equating Ántonia with America, the deterioration of the protagonist's physique by the end of the novel represents the aggressive transformations immigrants must experience once they arrive to the New World, highlighting the violence of their journey. As the novel's epigraph states: *Optima dies... prima fugit.*

The protagonists in both novels are forced to perform changes and to forget the hardships experienced, as evidenced in the remarks of some of Cather's characters, but also in the title of Roth's novel. However, even if David at the end of the novel decides to "call it sleep," the images of the last paragraph in Roth's work suggest the opposite. The end of the novel is the end of David's struggle. Yet, it is at the end that Roth's protagonist finally manages to *call*, as he acquires agency over reality. If sleeping means forgetting, calling conveys just the opposite, it entails drawing attention to the dark aspects which up to then were unspeakable. Likewise, despite the glorification and links established between Ántonia and America, Ántonia's assimilation is completely compromised by Jim's romanticised view of immigrants and their experience.[9] *My Ántonia* is not just about Jim's and Ántonia's pasts. While their childhood is a memorable experience

---

9   It is precisely because of this that Tsank concludes that "[u]ltimately, neither Jim nor Cather can shed the authority of narration and transcend his or her subject-position, and Jim's romanticizing of Ántonia's person and culture–and in turn, his dismissal of her when she does not cohere to his imagined ideal– suggests the drawbacks of an unexamined pluralistic view such as the elision of structural inequality in favor of embracing and, in some cases, overemphasizing 'difference" (2018: 48).

for him, the novel also tells Peter's and Pavel's story, and the Shimerdas'. Even native Americans, African Americans and the Spanish conquistadors' stories are present in the novel, posing interruptions to the main narrative and questioning the glorified past of the land of opportunity.

REFERENCES

Abramson, E. A. "The Immigrant Experience in American Literature". <https://www.baas.ac.uk/edward-a-abramson-the-immigrant-experience-in-american-literature/>. (Accessed 2 April 2020)

Adams, S. J. 1989. "'The Noisiest Novel Ever Written': The Soundscape of Henry Roth's *Call It Sleep*". *Twentieth Century Literature* 35 (1): 43-64.

Alba, R. and V. Nee. 2003. *Remaking the American Mainstream. Assimilation and Contemporary Immigration*. Cambridge, MA; London: Harvard University Press.

Altenbernd, L. 1989. "An American Messiah: Myth in Henry Roth's *Call It Sleep*". *Modern Fiction Studies* 35 (4): 673-687.

Berry, J. W. 2013. "Integration as a Mode of Immigrant Acculturation". *U.S. Immigration and Education: Cultural and Policy Issues across the Lifespan*. Ed. E. L. Grigorenko. New York: Springer Publishing Company. 41-57.

Boas, F. 1911. *Changes in bodily form of descendants of immigrants*. Washington: Govt. Print. Off.

Brown, L. J. 2005. *The Literature of Immigration and Racial Formation*. New York; London: Routledge.

Capell, E. 2007. *American Talmud. The Cultural Work of Jewish American Fiction*. New York: State University of New York Press.

Cather, W. 1988 (1918). *My Ántonia*. London: Virago Press.

Commons, J. R. 1907. *Races and Immigrants in America*. New York: Macmillan.

Daiches, D. 1951. *Willa Cather: A Critical Introduction* New York: Cornell University Press.

Diamant, N. 1986. "Linguistic Universes in Henry Roth's *Call It Sleep*". *Contemporary Literature* 27 (3): 336-355.

Dixon, M. M. 2017. "Willa Cather's Immigrants: An Aesthetics of Food Strategies in Negotiating Displacement Anxieties". *The Journal of American Culture* 40 (3): 227-234.

Döring, J. and T. Thielmann, eds. 2009. *Spatial Turn. Das Raumparadigma in den Kultur- und Sozialwissenschaften*. Transcript. Bielefeld.

Fasold, R. 1984. *The Sociolinguistics of Society*. Oxford: Blackwell.

Fish, S. 1980. *Is there a Text in this Class: The Authority of Interpretive Communities*. Cambridge: Harvard University Press.

Frankenberg, R. 1993. *White Women, Race Matters: The Social Construction of Whiteness*. London: Routledge.

Goggans, J. 2003. "Social (Re)Visioning in the Fields of *My Antonia*". *Cather Studies* 5: 153-172.

Hartnell, E. 1996. "Nothing but Sweet and Womanly: A Hagiography of Patmore's Angel". *Victorian Poetry* 34 (4): 457-76.

Heinze, A. R. 2003. "The Critical Period. Ethnic Emergence and Reaction, 1901-1929". *Race and Ethnicity in America: A Concise History*. Ed. R. H. Bayor. New York: Columbia University Press. 131-166.

Hirschman, C. 2004. "The Role of Religion in the Origins and Adaptation of Immigrant Groups in the United States". *The International Migration Review* 38 (3): 1206-1233.

Hoffmann, K. A. 2002. "Identity Crossings and the Autobiographical Act in Willa Cather's *My Ántonia*". *Arizona Quarterly: A Journal of American Literature, Culture and Theory* 58 (4): 25-50.

Irving, K. 2000. *Immigrant Mothers: Narratives of Race and Maternity, 1890-1925*. Urbana: University of Illinois Press.

Jacobson, M. F. 1998. *Whiteness of a Different Color: European Immigrants and the Alchemy of Race*. Cambridge (MA); London: Harvard University Press.

John, E. 2019. "Making Human Homes: Willa Cather on People and Wilderness". *Anticipatory Materialisms in Literature and Philosophy*. Ed. J. Carruthers *et al*. Cham: Palgrave Macmillan. 185-203.

Maior, E. 2017. "American or Immigrant? Caught Between Two Cultures". *Cultural Texts and Contexts in the English Speaking World (V)*. Ed. T. Mateoc. Oradea: University of Oradea. 109-119.

Mann, B. E. 2018. "'Good to Think With': The Work of Objects in Three Novels of Modern Jewish Life". *Comparative Literature* 70 (4): 444-465.

Marx, L. 2000. *The Machine in the Garden. Technology and the Pastoral Ideal in America*. Oxford; New York: Oxford University Press.

Morton, S. 1839. *Crania Americana, or, A comparative view of the skulls of various aboriginal nations of North and South America: to which is prefixed an essay on the varieties of the human species; illustrated by seventy-eight plates and a colored map*. Philadelphia: J. Dobson.

Norton, B. and K. Toohey. 2011. "Identity, Language Learning, and Social Change". *Language Teaching* 44 (4): 412-46.

Rosenbloom, N. 1998. "In That Golden Land: The Spiritual Odyssey of Henry Roth's *Call It Sleep*". *Prospects* 23: 379-399.

Roth, H. 2006 (1934). *Call It Sleep*. London: Penguin Classics.

Schneider, D. "The Literature on Women Immigrants to the United States". <http://barthes.enssib.fr/clio/revues/AHI/articles/volumes/schneid.html>. (Accessed 13 March 2020).

Sharma, R. *et al.* 2018. "The Significance of the Land in Willa Cather's *O Pioneers!* and *My Ántonia*". *The Criterion: An International Journal in English* 9 (6): 64-72.

Tellefsen, B. 1999. "Blood in the Wheat: Willa Cather's *My Ántonia*". *Studies in American Fiction* 27 (2): 229-244.

Tsank, S. 2018. "The Ideal Observer Meets the Ideal Consumer: Realism, Domestic Science, and Immigrant Foodways in Willa Cather's *My Ántonia* (1918)". *American Studies* 57 (3): 39-56.

Ullman, C. 2010. "The Connections among Immigration, Nation Building and Adult Education English as a Second Language Instruction in the United States". *Adult Learning* 21: 4-8.

Walden, D. 1984. "Urbanism, Technology and the Ghetto in Abraham Cahan, Henry Roth and Saul Bellow". *American Jewish History* 73 (3): 286-306.

Weigel, S. 2002. "Zum 'topographical turn'. Kartographie, Topographie und Raumkonzepte in den Kulturwissenschaften". *KulturPoetik* 2 (2): 151-165.

Wirth-Nesher, H. 1990. "Between Mother Tongue and Native Language: Multilingualism in Henry Roth's *Call It Sleep*". *Prooftexts* 10 (2): 297-312.

Wirth-Nesher, H. 1995. "*Call It Sleep*: Jewish, American, Modernist, Classic". *Judaism* 44 (4): 388-398.

Wirth-Nesher, H. 2003. "Traces of the past: multilingual Jewish American writing". *Cambridge Companion to Jewish American Literature*. Eds. H. Wirth-Nesher, and M. P. Kramer. New York: Cambridge University Press. 110-128.

Wussow, H. 1995. "Language, Gender and Ethnicity in Three Fictions by Willa Cather". *Women and Language* 18 (1): 52-55.

Zuckerstatter, S. 2021. "(English) Dreams Versus (Hebrew) Reality: Henry Roth's *Call It Sleep* as 'Jewish-American Minor Literature'." *English: Journal of the English Association* 70: 180-199.

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.

1.3. Evaluation. Contributions for publication will be sent to two anonymous referees proposed by the members of the Editorial Board and/or Advisory Board. In order to be accepted for publication in *JES*, contributions should be informed positively in relation to the following criteria:

– Originality and interest concerning the subject-matter, methodology, and conclusions of the study.

– 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.

1.4. Revision and proof-reading. Should any formal or content aspect of the contributions be improved and/or modified, it will be the authors' responsibility to return the new version within the deadline established by the Editor. Failing to do so will result in the non-publication of the contribution.

Likewise, authors are responsible for proof-reading their contributions and returning the revised versions by the deadline established by the Editor.

1.5. Copyright. Authors warrant that their contributions to *JES* are original and have neither been submitted for publication, nor have been published elsewhere.

Once published, *JES* holds the copyright of any contribution. In order to re-publish any part of a contribution in any other venue and/or format, authors must ask for written permission to the Editor.

2. SUBMISSION OF PROPOSALS

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.

3. INSTRUCTIONS FOR CONTRIBUTORS

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/PdfIStudiesRoundtheWorldbyDPierce.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 recensiones de libros recientes publicados en el campo de los Estudios Ingleses (máximo 3.000 palabras en páginas a doble espacio).

C. Notas o reflexiones críticas breves (*squibs*) (máximo 1.500 palabras en páginas a doble espacio).

Excepcionalmente, y siempre acompañados de un informe positivo del Consejo Científico, se admitirán trabajos que superen la extensión indicada, cuando la relevancia de los mismos lo justifique.

1.2. Idioma. JES sólo admite propuestas de publicación escritas en inglés.

1.3. Evaluación. Los trabajos serán remitidos a dos evaluadores anónimos propuestos por los miembros del *Consejo de Redacción* y/o *Consejo Científico* de *JES*. Es requisito imprescindible para la publicación de los trabajos la obtención de dos evaluaciones positivas. La evaluación se efectuará en relación a los siguientes criterios:

– Originalidad e interés en cuanto a tema, método, datos, resultados, etc.
– Pertinencia en relación con las investigaciones actuales en el área.
– Revisión de trabajos de otros autores sobre el mismo asunto.
– Rigor en la argumentación y en el análisis.
– Precisión en el uso de conceptos y métodos.
– Discusión de implicaciones y aspectos teóricos del tema estudiado.
– Utilización de bibliografía actualizada.
– Corrección lingüística, organización y presentación formal del texto.
– Claridad, elegancia y concisión expositivas.
– Adecuación a la temática propia de *JES*.

La evaluación se realizará respetando el anonimato, tanto de los autores como de los evaluadores; posteriormente, en el plazo de tres meses desde la recepción del artículo, los autores recibirán los correspondientes informes sobre sus trabajos, junto con la decisión editorial sobre la pertinencia de su publicación, sin que exista la posibilidad de correspondencia posterior sobre los resultados de la evaluación.

1.4. Revisión y pruebas de imprenta. Si fuera necesaria la revisión de alguno de los aspectos formales o de contenido de la propuesta de publicación, ésta será responsabilidad exclusiva del autor, quien deberá entregar el documento informático de la nueva versión corregida en el plazo establecido por la dirección de la revista. De no hacerlo así, el trabajo no será publicado aunque hubiera sido evaluado positivamente.

Asimismo, los autores son responsables de la corrección de las pruebas de imprenta, debiendo remitir los textos corregidos en el plazo indicado por la dirección de la revista.

1.5. Copyright. Los autores se comprometen a que sus propuestas de publicación sean originales, no habiendo sido publicadas previamente, ni enviadas a evaluar a otras revistas. La publicación de artículos en *JES* no da derecho a remuneración alguna; los derechos de edición pertenecen a *JES* y es necesario su permiso para cualquier reproducción parcial o total cuya procedencia, en todo caso, será de citación obligatoria.

2. Envío de propuestas

Los trabajos se remitirán online en formato Word o RTF a través de la plataforma de la revista en http://publicaciones.unirioja.es/revistas/jes

Antes de ser enviados a evaluar, la presentación de los originales ha de ajustarse a las siguientes normas.

3. Instrucciones para los autores

3.1. Qué enviar. Los autores enviarán sus propuestas por correo electrónico, indicando el título del trabajo que se envía para evaluar de cara a su publicación en *JES*.

Junto con el mensaje, los autores enviarán dos documentos en formato Word o RTF. En el primer documento, los autores incluirán el título del artículo (en **negrita**), el nombre (en Versalita), la afiliación del autor o autores (en *cursiva*) y cualquier otra información relevante como su dirección postal y la de correo-electrónico o el número de teléfono y de fax.

En el caso de autoría compartida, se indicará el nombre y la dirección de correo electrónico de la persona a quien deben dirigirse la correspondencia y las pruebas de imprenta.

Los autores deberán incluir también una breve nota biográfica (de unas 100 palabras).

El segundo documento contendrá el artículo que ha de enviarse para su evaluación. Por tanto los autores deberán ser extremadamente cautos para evitar que aparezca cualquier tipo de información personal que permita identificar a los autores del trabajo.

3.2. Tablas, figuras e imágenes. Deberán incluirse en el texto en el lugar adecuado. Las imágenes se guardarán en formato JPG o TIFF con una resolución de 300 dpi, tamaño final.

3.3. Información sobre copyright. En el caso de que una parte del artículo se haya presentado con anterioridad en un congreso, se debe incluir una nota en la que se indique el nombre del congreso, el de la institución que lo organizó, las fechas exactas del congreso o el día en el que se presentó la ponencia y la ciudad donde se celebró el congreso. La obtención de los permisos necesarios para utilizar material sujeto a copyright es responsabilidad de los autores.

4. Preparación del manuscrito

4.1. Formato. Se ruega reducir al mínimo el número de formatos. No se utilizarán sangrías, subrayados o tabulaciones a menos que sea absolutamente necesario.

4.2. Documento. La medida de todos los márgenes (izquierdo, derecho, superior e inferior) en el documento será de 2,54 cms. Todos los párrafos estarán justificados y se utilizará la letra Garamond de 12 puntos para el texto y la bibliografía, de 11 puntos para las citas que aparezcan en un párrafo separado de la estructura del texto y de 10 puntos para los resúmenes o abstracts, las palabras clave, las notas, los números sobrescritos, las tablas y las figuras.

4.3. Título. El título del artículo se presentará centrado con letra Garamond 12 negrita. Se utilizarán las mayúsculas tanto para el título, como para el subtítulo, si lo hubiera.

El título deberá estar traducido al español. El editor se encargará de la traducción cuando el autor no sepa español.

4.4. Resumen y palabras clave. El título inglés y el español irán seguidos de sendos resúmenes (de entre 100 y 150 palabras cada uno): el primero, en inglés, y

el segundo en español. El editor se encargará de la traducción cuando el autor no sepa español. Los resúmenes se presentarán en letra Garamond de 10 puntos y en *cursiva* (los títulos de libros y las palabras clave irán en caracteres normales), con justificación completa, a un solo espacio y sangrados un centímetro del margen izquierdo. Los resúmenes no podrán incluir notas al pie. La palabra RESUMEN/ABSTRACT (en caracteres normales y mayúsculas) estarán separados del resumen por un punto y un espacio.

Cada resumen irá seguido de una lista de seis *palabras clave* en el idioma correspondiente: inglés o español, para facilitar así la clasificación correcta de los artículos en índices de referencia internacional. La palabra *Palabras clave/Keywords* (en cursiva), seguidas de dos puntos y un espacio, precederán a los términos elegidos.

4.5. Párrafos. La distancia entre los párrafos será la misma que la utilizada en el espacio interlineal, y por lo que se refiere a la primera línea de cada párrafo, ésta irá sangrada un centímetro hacia la derecha. No se dividirán palabras al final de una línea. Se incluirá solo un espacio entre palabras y un solo espacio después de cada signo de puntuación.

4.6. Cursiva. Las palabras en una lengua diferente a la de la redacción del texto aparecerán en cursiva; asimismo se empleará este tipo de letra para resaltar alguna palabra clave, y cuando esto suceda en un fragmento textual en cursiva, se procederá de modo contrario, i.e., se destacará la palabra clave en caracteres normales.

4.7. Figuras, ilustraciones y tablas. Las figuras, ilustraciones y tablas deberán ir numeradas con cifras arábigas y se hará referencia a sus números dentro del texto (v.gr., como vemos en la imagen/ilustración/tabla/ejemplo 1). Irán acompañadas de un pie en el que se indique su contenido (en letra Garamond de 10 puntos y en *cursiva* y a un solo espacio).

4.8. Títulos de los apartados. Los títulos de los apartados se presentarán en letra versalita común, numerados con cifras arábigas que estarán separadas del título por un punto y un espacio (v.gr., 1. Introduction); los títulos estarán separados del texto anterior por dos líneas y del texto siguiente por una.

Los títulos de los subapartados se anotarán en *cursiva* común y serán nuevamente numerados (v. gr., 1.1., 1.2., 1.3.), debiendo separarse tanto del texto que antecede como del texto siguiente por una línea.

Los niveles inferiores a los subapartados deberán evitarse en lo posible. Si se utilizan serán numerados igualmente con cifras arábigas y se escribirán en texto común (v. gr., 1.1.1., 1.1.2.; 1.1.1.1., 1.1.1.2.).

4.9. Aclaraciones. En los casos en los que se hagan aclaraciones en las que no se utilice un paréntesis sino guiones, el guión estará separado tanto de la primera como de la última palabra de la aclaración por un espacio, como el en ejemplo:

> "Teaching in English **– as many subjects as possible –** seems to offer a **second-best** solution insofar as it entails much more exposure of the foreign language".

4.10. Puntuación. La puntuación ortográfica (coma, punto, punto y coma, dos puntos, etc) deberá colocarse detrás de las comillas (";).

La escritura en mayúsculas conservará, en su caso, la acentuación gráfica correspondiente (v. gr., INTRODUCCIÓN, LINGÜÍSTICA, BIBLIOGRAFÍA).

Se utilizará un apóstrofe (') y no una tilde (´) en abreviaturas y genitivos sajón.

4.11. Notas al pie. Las notas al pie serán breves y aclaratorias. Como regla general, se evitará el uso de notas al pie para registrar únicamente referencias bibliográficas. Se incorporarán al final de página. Los números de nota sobreescritos estarán separados del texto de la nota por un espacio.

Las notas irán numeradas con cifras arábigas consecutivas que se colocarán detrás de todos los signos de puntuación (incluidos paréntesis y comillas).

4.12. Citas. Las citas textuales de hasta cuatro líneas de longitud se integrarán en el texto e irán señaladas mediante comillas dobles. Las comillas simples se utilizarán para ubicar citas dentro de las citas (v.gr., "toward a unified policy that 'natural' English was altogether preferable").

Las citas de extensión igual o superior a cuatro líneas se presentarán en un párrafo separado del texto por una línea, tanto al principio como al final, y sin comillas, en letra Garamond 11 y sangradas a 1,5 cms. del margen izquierdo.

Las omisiones dentro de las citas se indicarán por medio de puntos suspensivos entre corchetes (v. gr., […]).

4.13. Referencias en el texto. Las referencias a las citas deben hacerse en el propio texto entre paréntesis. Dentro del paréntesis deberá incluirse el apellido del autor, seguido de un espacio, seguido de la fecha de publicación, seguida de dos puntos y un espacio, seguidos del número o número de páginas. Ejemplo:

> "Certainly, the conventional romance plot is a construction of the ideology of patriarchy" (Brush 1994: 238).

Cuando en la frase se cita el nombre del autor (ejemplo 1) o la fecha de publicación (ejemplo 2), esa información no debe repetirse en el paréntesis:

Ejemplo 1:

> Johnson has drawn our attention to the fact that we are aware of our bodies as three-dimensional containers (1987: 21).

Ejemplo 2:

> In appearance and aspirations he is culturally androgynous like Frankie. He is sexually ambivalent and "Light Skinned" (McCullers 1962: 155) and "could talk like a white school-teacher" (48).

Cuando la cita incluye varias páginas, los números de página aparecerán completos, como en el ejemplo:

> In the world she would create "there would be no separate coloured people […] but all human beings would be light brown colour with blue eyes and black hair. There would be no coloured people and no white people to make coloured people feel cheap and sorry all through their lives" (McCullers 1962: 114-115).

Cuando se citan varias obras a la vez en el mismo paréntesis, éstas deben ser ordenadas cronológicamente y separadas entre sí por un punto y coma:

> (Richards 1971: 210; Arabski 1979: 43; Selinker 1991: 16)

Cuando se citan dos o más obras del mismo autor publicadas en el mismo año, se debe añadir una letra minúscula al año, como en el ejemplo:

> (Montrose 1986a: 332) (Montrose 1986b: 9)

Las referencias entre paréntesis deben colocarse inmediatamente después de cada cita, independientemente de si la cita se incluye en el propio texto como si aparece en un párrafo aparte. La referencia debe colocarse después de las comillas pero antes de la coma o del signo de puntuación si la cita aparece en el propio texto:

> The readers being addressed are mainly white and anglophone, for, as Atwood said "survival was part of the English-Canadian cultural nationalism that peaked in about 1975" (1981: 387).

En cambio, si la cita está en un párrafo aparte, la referencia se sitúa después del signo de puntuación:

> Even Cranny-Francis points to the subversive potential of the romance plot:
>
>> Romance is often written into texts dominated by other genres, such as SF, utopian or detective fiction, where it may operate as one of the conventions of those genres. Feminist revisions of these genres also use romance and, in dialogue with other generic conventions, it has been used successfully to interrogate the construction of masculinity and femininity and of interpersonal relationships. (1990: 190)

4.14. Referencias bibliográficas. Todos (y solamente aquellos) libros y artículos citados o parafraseados en el texto (incluyendo los que aparecen en la notas al pie) deben aparecer en una lista de referencias bibliográficas al final del documento, de modo que complete la información dada en las citas entre paréntesis a lo largo del texto.

Esta lista se agrupará bajo el título REFERENCES, escrito en mayúsculas, en letra Garamond 12 común, sin numerar y en un párrafo a doble espacio separado del texto por dos espacios en blanco.

Cada una de las referencias bibliográficas aparecerá en un párrafo a doble espacio, con una sangría francesa (en la que se sangran todas las líneas del párrafo excepto la primera) de 1 cm., en letra Garamond 12 común.

La lista estará ordenada alfabéticamente y cronológicamente, en el caso de que se citen dos o más obras del mismo autor. El nombre completo del autor se repetirá en todos los casos. Ejemplo:

Langacker, R. 1991. *Foundations of cognitive grammar 2: Descriptive application*. Stanford, CA: Stanford University Press.

Wierzbicka, A. 1988. *The Semantics of Grammar*. Philadelphia: John Benjamins.

Wierzbicka, A. 1992. *Semantics, Culture, and Cognition: Universal Human Concepts in Culture-Specific Configurations*. New York: Oxford University Press.

Libros. Las referencias a libros completos deberán incluir: apellidos y nombre del autor; año de publicación (entre paréntesis el de la primera edición, si es distinta); el título (en cursiva); el lugar de publicación; y la editorial. Si el libro es una traducción, se indicará al final el nombre del traductor. Se ruega a los autores que presten atención a la puntuación en los siguientes ejemplos:

Taylor, J. R. 1995 (1989). *Linguistic Categorization: Prototypes in Linguistic Theory*. Oxford: Clarendon.

Kristeva, J. 2000. *The Sense and Non-Sense of Revolt*. New York: Columbia University Press. Trans. Jeanine Herman.

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.

culos 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/PdfIStudiesRoundtheWorldbyDPierce.pdf>. (Accessed 7 May 2008)

Las **películas** se referenciarán como obras dirigidas, especificando "dir." para "director" en lugar del "ed." como editor de libros, y proporcionando el país o países de producción como referencia de lugar y el nombre de la/s compañía/s productora/s en lugar de la editorial que se consigna en los libros editados, por ejemplo:

Kubrick, S., dir. 1980. *The Shining*. USA and UK: Hawk Films Ltd., Peregrine, Producers Circle and Warner Bros.

CONTENTS

UNIVERSIDAD DE LA RIOJA