Journal of English Studies

volume 21

2023

JOURNAL OF ENGLISH STUDIES • Logroño • v. 21 (2023) • 212 págs. • ISSN 1695-4300

UNIVERSIDAD DE LA RIOJA

JOURNAL OF ENGLISH STUDIES
Volume 21 (2023)
ISSN 1695-4300

JOURNAL OF ENGLISH STUDIES

VOLUME 21 (2023)

ISSN 1695-4300

CONTENTS

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 3-17. http://doi.org/10.18172/jes.5615

SAROYAN'S "THE BLACK TARTARS": FRAME NARRATIVE, NATIONALISM AND ETHNIC CLEANSING

MAURICIO D. AGUILERA LINDE
Universidad de Granada
aguilera@ugr.es

ABSTRACT. This article offers an examination of William Saroyan's stance on nationalism through the analysis of "The Black Tartars" (1936), a story built on the technique of embedding which shows, through the layering of stories, two distinct models: one based upon primordialist notions of race; the other resting on the principle of ethnolinguistic homogeneity and resulting in the birth of the modern nation-state. By examining the dialogicity implicit in the frame narrative, I propose to examine Karachi's tale as an example of "parodic skaz" which stands at odd with the author's ideology and operates as a concave mirror reflection of the tragic fate hovering over stateless minorities.

Keywords: William Saroyan, nationalism, frame narrative, parodic skaz, ethnic cleansing, American short fiction.

"THE BLACK TARTARS" DE SAROYAN: RELATO-MARCO, NACIONALISMO Y LIMPIEZA ÉTNICA

RESUMEN. Este artículo propone examinar la posición de William Saroyan sobre el nacionalismo a través del análisis detallado de "The Black Tartars" (1936), un cuento construido sobre el principio de la narración enmarcada que muestra, mediante la inclusión de un relato dentro de la narración principal, dos modelos de nación diferentes: uno tradicional, basado en nociones primordialistas de raza; el otro, anclado en el principio de homogeneidad etnolingüística que desembocará en el nacimiento del estado-nación en la era moderna. Mediante el estudio del carácter dialógico propio del relato-marco, propongo una lectura del cuento de Karachi como un ejemplo de "skaz" paródico, en clara disonancia con la ideología del autor, que funciona como un espejo cóncavo que refleja el destino trágico que se cierne sobre las minorías sin estado propio.

Palabras clave: William Saroyan, nacionalismo, relato-marco, skaz paródico, limpieza étnica, ficción breve estadounidense.

Received 18 December 2022

Revised version accepted 7 November 2023

1. INTRODUCTION

In 1935, at the outset of a promising literary career, 27 year-old William Saroyan undertook a long journey to the Old World with an idea of visiting, for the first time, Armenia, at the time under the yoke of the Soviet oppression. From Lvov in Poland (present-day Lviv in Ukraine) he continued on a train from Kyiv to Kharkov until he eventually arrived in Moscow sometime in mid June. Finding accommodation at the Bucharest Hotel and under the nagging surveillance of an Intourist guide,[1] he faced one of the most prolific moments of his writing activity, producing a story a day throughout the travel period (Saroyan 1972b: 129-131). Except for "Moscow in Tears", a story that got lost because he handed it to the hotel manager in the belief that he would mail it for him, Saroyan wrote a batch of eleven pieces from May to August 1935 which were to be included in the final section of his second volume, *Inhale and Exhale* (1936), and which depicted a bleak image of the Communist bloc under the Stalinist terror. In the subsequent British e–dition by Faber & Faber, some of the original stories were inevitably dropped, for the book exceeded the average length for commercial purposes. Yet, to Saroyan's pleasant surprise, one particular story was kept. In a letter dated 16 April 1936, Saroyan expressed his utmost gratitude to the director of the publishing house, T. S. Eliot: "I am glad you enjoyed the one about the Black Tartars; I enjoyed writing it, and I still enjoy reading it" (*The William Saroyan Papers*, n.p.).

[1] The name given to the official Soviet Union tourist agency with headquarters in Moscow and founded on 12 April 1929. The Bucharest Hotel is now the Baltschug Kempinski Hotel.

In the following pages I intend to analyze "The Black Tartars" in relation to nationalism and the consolidation of the nation-states after the carve-up of the European (Austro-Hungarian, Russian and Ottoman) empires in the newly redrawn map of Europe after the 1918 Versailles Conference. Rather than re-inscribing what Bhabha calls "the horizontal, homogeneous, empty time of the nation's narration", Saroyan's story can be seen as "a disjunctive narrative" (1994: 231-232), for it brings to the fore "a zone of occult instability" (Fanon 1963: 227), which visualizes "the violence involved in establishing the nation's writ" (1994: 229-230) and unseals, albeit temporarily, the silence of the stateless (wandering) minorities. In order to accomplish my goal, I will first clarify Saroyan's position in relation to nationalism, a debatable topic used by interested groups in directions that have proven to be politically antagonistic. Secondly, since the story addresses the fate of a particular ethnic group in a very precise spatio-temporal context – Baku, Azerbaijan, 1930s – I will first provide a brief glimpse of the historical backdrop against which it must be read. To complicate things further, "The Black Tartars" uses a frame narrative structure with a principal or diegetic narrative and an embedded or metadiegetic narrative which is of paramount importance for the comprehension of its conflicting ideological overtones. Finally, my contention is that the analysis of the oral speech that informs the nested narrative – the story of how Mago decided to kidnap and kill his bride – shows that it is as an instance of a character-bound skaz, a second voice whose message creates a dialogical tension with the framing story, revealing much more than what it overtly aims to do. The nexus that links both narratives is related to what Achille Mbembe, in tune with Foucault's concept of biopower, defines as necropolitics, "the power and the capacity to dictate who may live and who must die" (2003: 11), an idea the genesis of which is to be found in the need to divide humans into species and the consolidation of racism.

2. NATIONALISM AND SAROYAN

On 29 May 1982, during the burial of the writer's ashes held at Komitas Pantheon, the resting place for the country's heroes, Saroyan was hailed by Karen Demirchyan, secretary of the Communist party, along with a group of high-ranking officials, as a fervent defender of the Soviet rule in Armenian. Almost three decades later, in 2008, in the very heart of Yerevan a monument to Saroyan was erected as part of the celebration of the centennial jubilee of his birth. The bronze, consumptive-looking statue, created by Armenian-French artist David Yerevantsi, was one of the initiatives to pay tribute to the presence of the Armenian diaspora in the making of the nation. Long gone were the days when Stalin's overpowering statue, one of the largest of the dictator in the world, was taken down from its plinth. Now the national memory of the motherland was to be found in the image of artists and intellectuals. Saroyan emerged as one of the indisputable symbols of the New Armenia, the resilient, battered nation that was able to stand up, despite the tragic events of history as long as two Armenians happened to get together.

"The Armenian and the Armenian", the celebrated story which closes *Inhale and Exhale*, has been frequently quoted (and misquoted) so as to nourish the idea of a phoenix-like country perpetually being resurrected from its own ashes. Marc A. Mamigonian (2017) has shown that the passage used and abused as the motto of the nation's indestructibility in myriad posters, badges, sweaters and whatnots ("Burn their homes and churches. Then see if they will not laugh, sing and pray again. For when two of them meet anywhere in the world, see if they will not create a New Armenia") was never written by the author. "The famous version does not merely sanitize the original passage for family ears […]: it substantially rewrites Saroyan to include new phrases [New Armenia] and concepts. And now the pseudo-Saroyan version has effectively displaced the genuine article" (Mamigonian 2017: n.p.).

In point of fact, Saroyan's ideas on the question of the national identity are, however, far more complex and baffling than what their political commentators and political activists have attempted to make them sound. Victor A. Shnirelman argues that the hegemonic Armenian nationalistic myth, essentially "anti-Turkic", rests on three principles: (1) The belief in their civilising mission to promote the legacy of Greece and Rome; (2) their self-identification as an isolated shrine of Christianity in the East; and (3) the resigned acceptance that they are destined to be the eternal, defenceless "victims of barbarians" (2001: 22). However, despite being elected as one of the bearers of the national cultural memory, Saroyan seems, to all intents and purposes, inclined to knock down nationalistic aspirations at their base. Whereas nationalism seems to be centered upon the maxim that "communities of ethnic descent, language, culture and religion and so on should find expression in territorial states" (Hobsbawm 1996: 1066), Saroyan's main preoccupation is to debunk the myth of what Anthony D. Smith (1986: 21-22) calls "the ethnie", "a myth-symbol complex" i.e. the fantasies, symbols and myths that allow a community to congeal in a unified identity based upon three tenets: "territory, language, [and] common descent" (Kohn 1944: 6). Not in vain, the haunting question that echoes in Saroyan's Armenian plays: "What is it that makes us Armenians?" ("Haratch" 1986: 129) finds no satisfactory answer by attending to these classic criteria. The racial criterion fails to define Armenians: the Kurds "look precisely like members of my own family" [and e]verybody seems pretty much the same as everybody else" ("Bitlis" 1986: 108-109), observes the writer during his visit to his ancestral city. If Armenia is a crossroads of races and tribes with the result that all people are a mixed breed, race and genetic descent, the sacred categories that a nation must ally with (Balibar; qtd. in McClintock 1993: 4) lose any ontological value. Not surprisingly, Saroyan chooses what James Clifford calls a "Pauline universalist humanism" [2] solution (1997: 269), i.e. we all belong to the human race, one of the most heavily repeated formulas in Saroyan's writings. This allows the author to abrogate any attempt to reinforce autochthonous nationalism or nativism. The self is where everything happens or begins, and the self is "essentially universal" insomuch as it shakes off any classification for it is "anti-limitation of any order" and therefore repudiates nationality ("Haratch" 1986: 162). At any rate, belonging to a particular race is "a

[2] St. Paul advocated the idea that all [wo]men were one in the spiritual body of Christ.

decision open to all people", a question of choice ("Haratch" 1986: 153). "An Armenian is a Turk who says I'm an Armenian", concludes one of the habitués of Haratch ("Haratch" 1986: 153). By embracing this antinomy, Saroyan manages to conclude that identities are by definition disaggregated, i.e. divested of any national, religious or genealogical affiliation. For a writer who knew the dire consequences of the Wilsonian system which imposed, through the League of Nations, a new map of the European continent neatly "divided into coherent territorial states inhabited by ethnically and linguistically homogeneous population" (Hobsbawm 1990: 133), insisting on the dangers of nationalism was a non-negotiable belief. "There are no nations. There are no leagues. There can be no organization of mortality into the body which happens by itself at birth, by the grace of God" (Saroyan 1983: 223).

3. THE TATARS:[3] ETHNIC CLEANSING AND THE SOVIET UNION

"The Black Tartars" opens with a pithy demographic understatement that baffles the reader: "In 1926 there were only twelve Black Tartars in Russia, and now in 1935 there are only ten because of the deep love of Mago the soldier for Komi the daughter of Moyskan" (1972: 397). The embedded story that draws the reader's attention is set in Baku, Azerbaijan in 1926, and is told by Karachi, Mago's younger brother, on the train from Kyiv to Kharkov to a narratee made of a mixed audience of travel companions: Karachi's Ukrainian wife, a Jewish girl who lives in Tbilisi and who acts as the mediator for she translates the storyteller's words to the Armenian-American traveler, undoubtedly Saroyan's *alter ego*.

Tatars, the largest population in Azerbaijan, were decimated during the first decades of the twentieth century due to a number of historical factors:

(a) The Armeno-Tatar Massacres of 1905-1907, aroused by the ancestral hatred that divided the two ethnic groups, unleashing a series of clashes throughout the country that got even worse due to the non-intervention policy of the Russian authorities. Both minorities suffered important losses. On March 31 1918, two years before the short-lived independence of Azerbaijan and its final annexation as a Soviet satellite state, a large number of Tatars were killed in Baku.

[3] The spelling chosen in the short story's title is the one derived from the Medieval Latin "Tartarus" and adopted by most European languages. It comes from the Greek "Ταρταρος", the region of the Underworld where the wicked will be punished. The word "Tatar" is the variant used to refer to the Turkic people living within the Russian empire and originally coming from the vicinity of the river Kerulen in the territory of present-day Mongolia. I will basically employ the second variant and limit the use of "tartar" to refer to the Saroyan story. Chinese started to refer to these hostile neighbours as Ta-ta, i.e. "dirty", "barbarians". Black, white and Kai, among others, were appellations given to different tribes. In 1923 Russian scientists started to call the Tatars Turkic and the Anatolian Turks (Mirfatyh Zakiev 2002: n.p.). According to Edith Ybert, the Azerbaijan community was often labeled as "Caucasian Muslim [or] Transcaucasian Turk" and "defined by the Russian as Tatar" (2013: 2).

(b) The discriminatory policies waged by the Russian Empire against the Tatar population, mobilizing an estimated total of 100,000 Azerbaijanis and 40,000-50,000 Crimean Tatars to serve in the Russian army during the Great War (Iskhakov 2017: 4). This prompted a large number of Tatars to migrate to the Ottoman empire.

(c) The distrust or fear of disloyalty from Tatars, caused by the belief that they were naturally closer to the Turkish enemy, and might therefore promote Pan-Turkism, given their common religious and linguistic background. Philipp Ther observes that as early as 1907 Russian officers' textbooks "warned readers that Jews, Poles, and Muslims were disloyal and untrustworthy" (2014: 32). Traditionally Tatars were also viewed as bandits and robbers, savages on horseback that plundered and pillaged whatever village they found on their way. [4]

Terry Martin (1998) brings back to mind Fitzroy Maclean's eyewitness report of how "depressing-looking Turko-Tatar peasants" were carried, as early as February 1937, from Baku to Lankaran on trucks escorted by Russian soldiers with fixed bayonets. The goal was to relocate these people to Central Asia to work in the fields, the first of a long list of "precaution" measures that would characterize the Soviet Union policy. In 1944 the Crimean Tatars [5] would face an identical lot. Martin goes on to explain how this process of forcible relocation of segments of population was fueled by a major nationalist project consisting in making the national borders coincide with ethnic borders: "Popular opinion adopted an exclusive attitude toward national territories, insisting on the majority's right to dominate their own (nash) national region. This led to an intolerance toward national outsiders, who were frequently told to return to "their" (svoi) national territory" (1998: 826).

From 1935 to 1938, Poles, Germans, Finns, Jewish, Estonians, Iranians, Kurds, Tatars and a long list of minorities were periodically subjected to pogroms, ethnic-cleansing transfers and terror campaigns. Philip Ther (2014) cogently argues that the break-up of the great Empires unleashed the creation of a number of nation-states inspired by the belief that a policy oriented to achieving population homogeneity was the natural basis for peace and prosperity, and that minorities inevitably created conflict and instability, for their self-determination would eventually breed "discontent, disorder and rebellion" (Lansing 1921: 87). The solution was to be sought in the creation of political measures aiming to facilitate stateless minorities and diaspora groups to move to their kin states in what Rogers Brubaker calls the "post-imperial migration" (qtd. in Ther 2014: 34).

Stalin defined a nation as "a historically evolved, stable community of language, territory, economic life and psychological make-up manifested in a community of

[4] August von Haxthausen (1854), the indefatigable traveler and folk-song collector, provides us with an image of Tatars in which features of both the Noble Savage and the Ignoble Savage merge together. Tatars "despise a man who cannot ride a horse" (443) and speak a lingo that is closer to "the language of poetry" (348); but as soon as one encounters Tatars robberies begin so that one cannot "venture far from Tiflis without being armed to the teeth" (106).

[5] The 1944 ethnic cleansing of Crimean Tatars who were relocated along the Volga River, one of Stalin's infamous measures, left the Crimea entirely Russian.

culture" (1976: 13). Drawing on Verena Stoke, Yuval-Davis (1993) has noted the three axes upon which the nation-state was built: the idea of a single territory (*Staat*), a single language and religion (*Kultur*), and a single race or ethnicity (*Volk*). If these criteria did not naturally coalesce, it became imperative to deploy other measures ranging from assimilation to deportation and cleansing. With the proliferation of nation-states like jigsaw puzzle pieces on the new international map, ethnic groups that did not fit into the national fabric became the target of exclusion: Armenians (1915); Jews (who were deported to the autonomous oblast in Siberia); gypsies, Assyrians, and Ukrainians whose rising nationalism was seen by Stalin as a major threat against the stronghold of the USSR, for they allegedly conspired with the Nazis[6] (Martin 1998: 842). Ther (2014: 231) concludes that 2.8 million people were forced to leave their homeland in the first period of ethnic cleansing (between 1912 and 1920), a figure that rose to more than 12 million people in the second phase (1938-1944), if we add together the 6.4 million of mass deportations in Europe (during the German invasion) and the 6 million in the Soviet Union, thus justifying Mark Mazower's image of Europe as "the dark continent" (1998).

4. THE FRAME NARRATIVE

"The Black Tartars" is an example of a frame tale, i.e., one in which it is possible to find a principal narrative or story at the first degree (R1 or embedding story)[7] and a second narrative or story at the second degree (R2 or embedded story). Originating in the East with the proliferation of accounts of *One Thousand and One Nights*, frame stories have a long history of critical analysis. Gérard Genette draws the line between the level of diegesis (first-degree, framing story) and metadiegesis (the second-degree, framed story). The multiplicity of viewpoints implicit in the existence of at least two narrators (and several narratees) gives the frame structure a dialogic nature which calls for a comparative analysis. As has been amply shown, the doubling of the stories leads to what Linda Dittmar (1983: 192) terms "an investigatory frame" that seeks to explain the relation implicit in the syntagmatic contiguity of the two stories. By finding a second narrative unexpectedly framed by the first, the reader attempts to solve what Roland Barthes refers to as the enigma marked "by the layering of stories, by the system of frames" (qtd. in Nelles 1997: 140). This shift of narrators and narrative levels prompts the reader to activate a hermeneutic code which becomes in Barthes' view the *sine qua non* of all embedding. As William Nelles observes, the enigma may be

[6] Not surprisingly, Putin's mystifying rhetoric in his 2022 campaign to invade Ukraine harps on the Stalinist idea that the Ukrainian government is a natural ally of the Nazi ideology, and that to "denazify" Ukraine must be the Russian State's priority.

[7] Mieke Bal refers to the main narrative containing other narratives as R1; the nested narratives will be called R2, R3, etc. (1984: 61-62). Although there is a theoretical difference between embedding and framing, the first being a story within a story that has a consequence for the course and events of the embedding narrative (as in the case of Scheherezade); and the second a story that does not affect the unfolding of the main story, I will overlook this distinction in the following pages and use both terms indistinctly.

"either resolved or disclosed within the text, or it may instead be left open or even gradually complicated" (140).

Nelles also provides a detailed summary of the different classifications that have attempted to account for the relation between the first-degree narration and the second-degree narration. The interplay of both thematic and structural elements underlying the doubling of stories can be interpreted as self-reflexive (the second-degree story repeats, amplifies, or explains what has already been presented in the principal narrative), or as a departure which invites to discontinuity or interruption of what was anticipated in the embedding frame. In this regard, Genette (1980: 232-233) distinguishes between an explanatory function (whatever is told in the embedded story has a causal relation to the embedding story, being an example of an explanatory analepsis, i.e. the answer to "the question of the type 'What events have led to the present situation?'"); a thematic function (the relation between diegesis and metadiegesis is grounded in an axis of similarity/dissimilarity (analogy or contrast) of the theme; and, finally, a non-explicit relationship which may result in distraction and/or obstruction, the classic example being the endless stories told by Scheherezade to the Sultan to avoid her beheading. John Barth's system (1981) of the dramaturgical, thematic and gratuitous relationships moves in the same direction as Genette's classification. Not very different conclusions are reached by David Ulrich (1986) who speaks of a didactic and/or ironic relation depending on whether the reader adopts or rejects the corollaries implicit in the framed story; and Gilberto Triviños, whose binary model (1980) includes a non-disjunctive embedded narrative which confirms or illustrates the viewpoint shown at the diegetic level; and a disjunctive one, which negates, critiques, or is critiqued by, the embedding narrative. Whatever is told in "the [outer] narrative is narratively affirmed or negated in the internally duplicated narratives" (qtd. in Nelles 1997: 149).

Since frames are not ornaments that can be glossed over but rather essential parts of the hermeneutic act, to ignore them is paramount to misunderstanding the story's gist. Derrida speaks of the parergon, i.e. that which is "beside, and above and beyond the ergon" (1979: 20), a peripheral, external element which cannot be dissociated from the core. The frame of the painting makes for an inevitable part of both the work and of the environment or milieu, blending the inside and the outside, and disappearing in both directions. In relation to the painting, the frame "disappears into the wall and then, by degrees, into the general context; in relation to the general context, it disappears into the work" (24). It "touches, plays with, brushes, rubs, or presses against the limit, and intervenes internally only insofar as the inside is missing" (21); in short, it becomes "a supplementary by-work" which completes a lacuna existent in the ergon. The framing narration solves the non-sequitur of the framed narrative, operating as an adjunct which in the Derridean sense threatens the semantic closure or completeness of the metadegesis by adding a supplementary meaning which transforms its apparently disconnected message.

It is precisely the suspension of any attempt to keep the two narratives separate that makes "The Black Tartars" a story rife with unsolved tensions: the metadiegesis (core) requires the diegesis (frame) to complete its meaning but an unwanted

caesura interrupts, or precludes, the transition from one narrative level to the other. I will delve into the ideological implications which Karachi's second-degree story, one which concludes without a return to the frame, has for the characters' principal narration. Since there exists "a mutually enhancing and mutually compromising reciprocity between contained story and containing story" (Moger; qtd. in Nelles 1997: 138), the corollaries of Mago's crime story may operate as a metonym which anticipates the diegetic narrator and narratees' harrowing fate. Not in vain, the technique of embedding narratives is one that forces readers to read "more meticulously and self-consciously that we ordinarily do" (Moger 1985: 316).

5. "THE BLACK TARTARS": FEMICIDE AND NATIONALISM

Karachi's framed story of the circumstances that led his elder brother to kill his beloved constitutes the kernel of Saroyan's story. But if frame stories are heteroglossic by definition, multivocality is complicated even further in this case. The narrator is Karachi but his words are interpreted by the Jewish girl who reports the speaker's Russian words into English to the Armenian-American writer.

Karachi belongs to one of the very few Tatar families left in Baku but he abandoned the country shortly after Azerbaijan's independent state was overthrown by the Soviet Union forces, dissolving the short-lived Musavat (Equality) government and converting the new-born Republic into a satellite country ruled by the Kavburo, the organization created by the Bolshevists. He is now living somewhere in Ukraine and has taken a Ukrainian wife partly because he does not "care to marry a Black Tartar, and preserve the race and the culture of the race", and partly because "he would rather be a Russian" and lead a peaceful life than "live greatly and foolishly" (Saroyan 1972: 397). In the meantime Mago [8] has enrolled in the Soviet-Azerbaijan army with headquarters in Baku where he has fallen madly in love with another Tatar girl, Komi, the most beautiful girl in the world: "She was all beautiful things of the earth" (398); an indomitable creature whose heart was "a black deep sea" (398). Mago's stubborn determination, Karachi hastens to inform us, is to take Komi as his wife against all odds. In line with the courtship rites of Tatars, Mago must win her hand. First, he talks with her father, Moskyan, a farmer who spends his days drinking and beating his wife. Three of Komi's brothers have been killed "in small wars or in banditry" (397); one has been sent to Siberia "for no reason in the world" – though the reader may suspect that he might have been involved in a high treason offence –; and the fifth is a migrant worker in a tractor factory in Moscow. Komi's father gives his consent to the wedding but the girl remains uninterested and gives the passionate candidate the brushoff. Soon enough he steals a horse for her; and later on a cow, a dress, and a table. Komi remains, however, unmoved: she is still reluctant to give in

[8] Mago is probably a clipped version of Magomed, an alteration of Mohamed, the Prophet, "the grateful". Komi, another Turkic name, comes from Komila. Komil is an Arabic name meaning perfection. I am indebted to Uzbek poet Azam Obidov's generosity for clarifying the meaning of both names.

despite the young man's constant gifts. "I do not wish to love you" (398) is her laconic answer. Eventually Mago, tossing and turning in bed and growing desperate to see her plans thwarted, steals one of the automobiles from the People's Commissars, a crime that may cost him his life. Unable to drive, he ends up embedding the car against the door of the New Europe Hotel, surely the meeting point for locals and officials alike. Mago is immediately arrested and sent to the military jail, tried for robbery and rebellion against the government, and given a death sentence.

Intrigued by the real reasons behind the young man's wild behavior, the judge, an old captain, finds out about his boundless love for Komi and his strong determination to marry her to "preserve the race and the culture of the race" (397). "There are not many Black Tartars in the world. I do not wish to see the tribe of the Black Tartars to end in the world" (401). What follows is an interesting dialogue between the judge and the defendant which reveals the captain's belief in the values that define a national identity: number of people in a territory, race and language – i.e. "the civic-territorial" trajectory and the "ethnic-genealogical" model of nation-formation, in Smith's words (1986). Mago affirms to be a black Tatar, yet his skin color is not black but white: "A month in the sun and I am as black as Komi herself. It is the shade of the stable hat has given me this sickly white color", he insists (401). When asked about his people's language, his answer is still more vague and imprecise, since what they speak is "mostly other languages", "Arabic, Kurdish, Turkish and *lately* Russian" (402, my italics). "We have many words" coming from these languages but the moment we speak them, they become "our own language" (402). Deprived of a territory after being disseminated in a diaspora, left with a patois that is the result of cross-cultural encounters with other nations, and, finally, not bearing any distinctive racial features, Mago's resistance to preserve his tribal identity is, in the captain's eyes, a pipe dream, a wild idea of a savage mind unenlightened by reason. Not surprisingly, one of the questions is whether or not black tatars have a word for sun. Mago's answer is a strong no.

At the trial, Komi, pretending to be simply the soldier's cousin and not his bride-to-be, persuades the Judge to release Mago from prison and to forgive his stupid crimes. The captain, mesmerised with the young girl's unworldly beauty, decides to comply with her plea, and Mago is shortly returned to the army. Days later, Komi can be seen in town spending time with the old man, laughing while being taken for a ride in the Cadillac. This triggers Mago's madness. In no time he decides to kidnap her and, after riding through the hills for a couple of days, realizing that he will be unable to persuade her to love him, he drowns her in a stream.

Karachi's tragic story poses some interesting questions in relation to nationalism. He insists that the American listener understand that Mago's femicide was not a crime but an act of love for one must love deeply to be able to kill someone like Komi (405). Anne McClintock (1993) brilliantly condenses the three tenets of nationalisms: All "are gendered, all are invented and all are dangerous" inasmuch as they "represent relations to political power and to the technologies of violence" (161). That nationalism is inseparable from gender – and racial – differences from its origin can be attested in the fact that women have invariably been converted into

the symbolic bearers of the nation. The word nation is etymologically related to the Latin word natio, to be born. As Elleke Boehmer (1982) points out, women are the biological reproducers of the national (and racial) family. However, their role has been limited to providing a metaphorical iconography to the national project, the agency being exclusively put in the hands of men who grow into the active, metonymic builders of the nation. Thus Komi embodies the metaphor of the tribe, the symbol of the ethnic heritage that must be preserved for she alone can guarantee the continuity of the race; and since the national space is feminized, she becomes the territory disputed by the legitimate aspirations of her racial conqueror – Mago – and the illegitimate advances of the colonial/imperialist (Soviet) power.

Domestic genealogy is in close connection with the nation as an ideological site. Not in vain, Boethmer (1982) contends, "nationalism operates as a masculine family drama" (128) or as "a domestic rescue drama" (Fanon 1965: 38): it is the mother who must be saved and liberated from the hands of the national male "other", for the victory of the latter signals the extinction of the race. As a result, the female body must be doubly domesticated: first, it must remain untainted by the hands of the colonizer; second it must be forced to cooperate, though passively, in the national liberation movement by keeping the family united. Mago's last-ditch decision to abduct and eventually put an end to the bride's life is consistent with the demands of a primordial nationalism: if the woman is lost, the totem of racial identity crumbles. Drawing on Edward Said's argument that the crisis of the familial institution (filiation) in Europe gradually gave way to the rise of cultural/professional values (affiliation), McClintock (1993: 64) complicates things further by suggesting that the vocabulary of filiation was immediately adopted by the nationalist and imperialist project. Not surprisingly, the language of incommensurate love, sacrifice and protection or the language of punishment and violence which permeate the ins-and-outs of family life was naturally transferred to the realm of the nationalist movement. To put it more simply, the logic that justifies a crime of passion or an abnegated mother's self-sacrifice for the well-being of her offspring is the same logic that nourishes all violent acts and sacrificial offerings on behalf of the nation. The natural /ethnic must remain closely tied up with the national idea. Without the first, the second naturally disintegrates. In tune with this rationale, Mago's decision is not only inevitable but the result of his limitless love for Komi, for only a man's deep love can explain the impulse "to end the life of such a one as Komi" (405).

At this precise point in the narrative Karachi's faltering discourse, overwhelmed by emotion, is abruptly brought to a halt, forcing us to lose sight of the diegetic story for there is no return to the frame narrative. And, although we suspect that there must be a nexus between the frame and the framed, the final words that justify the murder Mago committed – his brother was a great man, one "who wanted to live greatly" (405) – leave us with the wrong impression that this is the final message we must embrace as readers. Yet Saroyan has followed the rules of a parodic skaz for the creation of Karachi's speech. This Russian oral form of narrative well deserves a commentary on its own for the ideological overtones which its adoption for the telling of the embedded narrative may carry.

6. SKAZ

Skaz (a word derived from the Russian skazat, to tell) is the term that Russians gave to any form of (pseudo)oral narration "dissociated from the author" (Schmid 2014: 787), one stylistically defined by the theatricalized use of vernacular features, a peculiar use of lexis and a capricious, seemingly-improvised syntax in a discourse that is rendered in a living-speech style that is far from the professional literary standard. This oral narration, cultivated in Russian since 1830, is always addressed to an interlocutor – imagined or not – from whom the narrator expects some kind of sympathetic understanding. In a nutshell, skaz can be defined as an oral monologue of the narrative type modeled "as if it were directly spoken" by a (wo)man of "the common people" "with a set of viewpoints and evaluations" of the world (Bakhtin 1978: 183), a second voice socially different from that of the author, a fundamental fact which implies the use of dialogicity. Whereas Boris M. Èjxembaum's central focus in his seminal study of the genre (1918) was an analysis of the aural features that created this illusion of orality, Mikhail Bakhtin paid attention to the "double-voicedness" that transversed the discursive structure of the skaz: the crux was now to be found in the relationship between the character's message and the author's ideological stance, thus ruling out any attempt to build up a monologic context. Bakhtin also drew a line between a stylistic or ornamental skaz, charaterized by the non-committal attitude of the author who listens without interruption to the character's speech; and a parodic skaz, which introduces an intention – though refracted –, a viewpoint which is radically opposed to the one provided by the skaz-teller. The parodic skaz thus becomes the battlefield of opposed meanings and values by putting together two voices and two ideologies. In short, the skaz can be single-directed (ornamental) or double-directed (parodic). It is the latter that catches Bakhtin's attention for it condenses the clash between the author's point of view and that of a second voice.

Karachi's monologue is complicated by the fact that it is mediated through the Jewish girl's translation. Occasionally the interpreter feels at a loss with some expressions she is unable to render in English ("the landscape of life changes. I do not know how to translate his words", complains the girl, 399). This often results in the interruption of the narrative flow for the simple man doubts that his story can be translated by the girl in a way that the American traveler can understand what his brother did and why he did it. Can an American citizen grasp Mago's decision? His speech is constantly dotted with moans, silences, whispers, sighs and sullen gestures. He gets up from the train seat and shakes his head every single time he remembers what his brother, a foolish hero, did: stealing the official car from the Russian government and killing Komi so that she could not be loved by any other man. Karachi's communicative goal relies on the power of his words to persuade the audience that Mago's actions can be forgiven as long as one believes in the nobility of his brother's soul, and understands the intricate cultural codes of Black Tatars.

Bakhtin underscores the fact that the parodic skaz may push the author's intentions to the margins lessening his/her dominant position over the second voice, the outcome being "perturbed, internally indecisive, and ambiguous", "not only

double-voiced, but also double-accented" (Bakhtin 1978: 191). In the case of "The Black Tartars" this is made further evident by the lack of a terminal frame so that the reader may lose sight not only of who is telling the story and to whom the story is told, but also of the cruel fate that hovers over the stateless minorities that share the journey on the same train. The false impression which the reader gains is that the crime of passion is – or needs to be – justified on behalf of a noble cause: the preservation of the race, for this is the conclusion that Karachi dishes out bringing the story to a close. Whereas Karachi has decided to take a Ukrainian girl as a wife because he does not care about the ethnic survival and he is happy "to be a Russian, anyway" (397), Mago's resistance to assimilation against the external forces that threaten to wipe out the authenticity of the tribe's lifestyle is presented as the heroic deed of a man who simply wanted to live greatly. But to focus on the skaz-teller's words alone entails not only blurring the framing narrative against which his tale is constantly silhouetted but also missing the author's opposite ideological stand in relation to any form of nationalism.

7. CONCLUSION

The overriding conclusion of "The Black Tartars" is then not Karachi's overemotional tale but its embedding into a particular historical moment harrowed by the ethnic policies conducted by the Stalinist regime. The frame narrative chosen by Saroyan allows the coalescence of two clearly distinct narrative centers that can be interpreted as metonymic of two national models: the nativist or ethnic trajectory epitomised by Mago's story; and the growth of the nation-states based upon the confluence of *Volk*, *Kultur* and *Staat*, working together to generate a new map of nations ordered by the principle of ethnocultural and linguistic homogeneity. Although both models are historically different – one is infused by the belief in the continuity of the race and family-and-clan traditions; the other, anchored in what Pierre Clastres (1994) calls "ethnocidal violence", is intent on assimilating differences and/or imposing segregation or relocation on minorities – they partake, however, of the same reverse/perverse logic. Thus, the embedded tale, the grotesque skaz, functions as a concave mirror reflecting the opening diegetic narration. Mago's femicide is motivated by the need to preserve the tribe. When Komi insistently rejects the young man's marriage proposal because she feels acculturated ("I do not know what I am […] Maybe I am not a Black Tatar", 404), she is acknowledging not only that she does not care about the kith and kin, the basis of a primordial, blood-tie attachment, but also that she is a step closer to russification. Her refusal to live with Mago in the same house signals, long before her death, the extinction of the tribe. Thus, her murder operates as a proleptic motif of the policies that will be conducted on behalf of the construction of the nation-state against those who cannot, or refuse to, integrate, racially or culturally, into it. To paraphrase Kenneth R. Minogue's well-known metaphor of nationalism, Komi is the Sleeping Beauty who will never awake after being kissed. What lies ahead instead is the long shadow of Frankenstein's monster writing one of the darkest chapters of contemporary history.

REFERENCES

Bakhtin, M. 1978. "Discourse Typology in Prose". *Readings in Russian Poetics: Formalist and Structuralist Views*. Eds. L. Matejka and K. Pomorska. Ann Arbor, MI: The University of Michigan Press. 176-196.

Bal, M. 1984. *Narratologie: Essais sur la signification narrative dans quatre romans modernes*. Utrecht: HES.

Barth, J. 1981. "Tales Within Tales". *Antaeus* 43: 45-63.

Bhabha, H. K. 1994. *The Location of Culture*. London and New York: Routledge.

Boehmer, E. 1982. *Stories of Women. Gender and Narrative in the Postcolonial Nation*. Manchester: Manchester University Press.

Clastres, P. 1994 (1980). *Archeology of Violence*. Trans. J. Herman. New York: Semiotext(e).

Clifford, J. 1997. *Routes: Travel and Translation in the Late Twentieth Century*. Cambridge; MA: Harvard University Press.

Derrida, J. and C. Owens. 1979. "The Parergon". *October* 9: 3-41.

Dittmar, L. 1983. "Fashioning and Re-Fashioning: Framing Narratives in the Novel and Film". *Mosaic* 16: 189-203.

Fanon, F. 1963. *The Wretched of the Earth*. Trans. C. Farrington. New York: Grove.

Genette, G. 1980. *Narrative Discourse*. Trans. J. E. Lewin. Ithaca: Cornell University Press.

Hobsbawn, E. J. 1990. *Nations and Nationalism since 1780: Programme, Myth, Reality*. Cambridge: Cambridge University Press.

Hobsbawm, E. J. 1996. "Language, Culture, and National Identity". *Social Research* 63 (4): 1065-1080.

Iskhakov, S. 2007. "The Impact of the First World War on Bashkirs and Tatar Muslims (1914-1918)". *Revue des mondes musulmans et de la Méditerranée* 41: 103-121.

Kohn, H. 1944. *The Idea of Nationalism: A Study in its Origins and Background*. New York: Macmillan.

Lansing, R. 1921. *The Peace Negotiations: A Personal Narrative*. London: Constable.

Mamigonian, M. A. 2017. "The Misquotation of William Saroyan". *Creative Armenian* (13 June). https://www.creativearmenia.org/the-misquotation-of-william-saroyan

Martin, T. 1998. "The Origins of Soviet Ethnic Cleansing". *The Journal of Modern History* 70: 813-861.

Mazower, M. 1998. *Dark Continent: Europe's Twentieth Century*. London: The Penguin Books.

Mbembe, A. 1993. "Necropolitics". Trans. Libby Meintjes. *Public Culture* 15: 11-40.

McClintock, A. 1993. "Family Feuds: Gender, Nationalism and the Family". *Feminist Review* 44: 61-80.

Minogue, K. R. 1967. *Nationalism*. London: B.T. Batsford.

Moger, A. S. 1985. "Narrative Structure in Maupassant: Frames of Desire. *PMLA* 100 (3): 315-327.

Nelles, W. 1997. *Frameworks: Narrative Levels and Embedded Narrative*. Eugene: Wipf and Stock.

Saroyan, W. 1972a (1936) "The Back Tartars" *Inhale and Exhale*. New York: Books for Libraries. 347-405.

Saroyan W. 1936-1937. "T.S. Eliot 1936-1937". *The William Saroyan Papers 1926-1981*. Box 27, Folder 6. Department of Special Collections. Stanford University. Ts. n.p.

Saroyan W. 1972b. *Places Where I've Done Time*. New York: Praeger Publishers.

Saroyan, W. 1983. *My Name is Saroyan. A Collection*. Ed. J. H. Tashjian. San Diego, CA: Harcourt Brace Jovanovich.

Saroyan, W. 1986. "Bitlis. A Play in One Act". *An Armenian Trilogy*. Ed. D. Kouymijian. Fresno, CA: The Press at California State University. 89-112.

Saroyan, W. 1986. "Haratch. A Play in Three Acts". *An Armenian Trilogy*. Ed. D. Kouymijian. Fresno, CA: The Press at California State University. 113-179.

Schmid, W. 2014. "Skaz". *The Living Handbook of Narratology*. Eds. P. Hähn et al. Berlin: De Gruyter. 787-795.

Smith A. D. 1986. *The Ethnic Origin of Nations*. London: Blackwell.

Shnirelman, V. A. 2001. *The Value of the Past: Myths, Identity and Politics in Transcaucasia*. Osaka: National Museum of Ethnology.

Stalin, J. 1976. *The National Question and Leninism*. Calcutta: Mass Publications.

Ther, P. 2014 (2011). *The Dark Side of Nation-States. Ethnic Cleansing in Modern Europe*. Trans. C. Kreutzmüller. New York and Oxford: Berghahn Books.

Triviños, G. 1980. "Los relatos de los relatos". *Estudios Filológicos* 15: 145-178.

Ulrich, D. W. 1986. *"Organic Harps Diversely Fram'd": A Theory of the Frame and the Frame Narrative Including a Taxonomy and its Application to Nineteenth-Century British Literature*. PhD diss., University of Wisconsin.

von Haxthausen, A. 1854. *Transcaucasia. Sketches of the Nations and Races between the Black Sea and the Caspian*. Trans. John Edward Taylor. London: Chapman and Hall.

Ybert, E. 2013. "Islam, Nationalism and Socialism in the Parties and Political Organisation of Azerbaijani Muslims in the Early Twentieth Century". *Caucasus Survey* 1 (1): 43-58.

Yuval-Davis, N. 1993. "Nationalism and Racism". *Cahiers de Recherche Sociologique* 20: 183-202.

Zakiev, M. 2002. "Origin of Tatars". *Podgosrki Family Archives*. https://www.podgorski.com/main/tatar-origins.html

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 19-34. http://doi.org/10.18172/jes.5548

PRAYAAG AKBAR'S *LEILA* AND MARGARET ATWOOD'S *THE HANDMAID'S TALE:* A STUDY ON DYSTOPIAN INTERSECTIONS

JUAN FRANCISCO ELICES AGUDO
Universidad de Alcalá
juan.elices@uah.es

ABSTRACT. The turbulent historical period we are currently going through seems to have stimulated the production and publication of an overflowing number of dystopian narratives, which gravitate around a wide array of different topics. The publication of Margaret Atwood's *The Handmaid's Tale*, now turned into one of the most successful TV shows of the decade, has become a link between Zamyatin, Huxley and Orwell's pioneering works and the latest publications in the field, among which Prayaag Akbar's *Leila* stands as a most significant contribution. This paper, which is informed by the illuminating approaches of Atwood scholars and Indian dystopian theorists, will seek to trace a number of intersections between Atwood's masterpiece and Akbar's opera prima, focusing on the authors' takes on some of the tropes that build up the dystopian atmosphere of these novels. Thus, this article will primarily delve into the constraining effects of regimentation, especially for the female protagonists of these works, and the manipulation of the past, as they are the source of profoundly illuminating common grounds.

Keywords: Dystopia, totalitarianism, regimentation, past, Atwood, Akbar.

LEILA DE PRAYAAG AKBAR Y *THE HANDMAID'S TALE* DE MARGARET ATWOOD: UN ESTUDIO DE SUS INTERSECCIONES DISTÓPICAS

RESUMEN. El momento histórico tan turbulento que vivimos en la actualidad parece haber estimulado la producción de un sinfín de narrativas distópicas, que giran en torno a una gran variedad de temas. La publicación de *The Handmaid's Tale* de Margaret Atwood, cuya versión televisiva se ha convertido en uno de los grandes éxitos de esta última década, se considera un nexo de unión entre las distopías clásicas de Zamyatin, Huxley y Orwell y las últimas novelas que se han editado en este campo, entre las que *Leila* de Prayaag Akbar destaca por su originalidad. El presente trabajo, que parte de algunos de los mejores estudios de la obra de Atwood y de la narrativa especulativa producida en India, trata de profundizar en las intersecciones que se pueden observar entre la obra maestra de la autora canadiense y la opera prima de Akbar. Este estudio analiza los tropos distópicos sobre los que se articulan las dos novelas, con especial interés en cuestiones relacionadas con la manipulación del pasado y la realidad constreñida y angustiosa a la que se tienen que enfrentar las dos protagonistas.

Palabras clave: Distopía, totalitarismo, regimentación, pasado, Akbar, Atwood.

Received 15 Septemeber 2022

Revised version accepted 9 March 2023

Margaret Atwood started writing *The Handmaid's Tale* (1985, *HT* hereafter) in the spring of 1984. This apparently uneventful detail turns into a historically symbolical and literary landmark, if we approach it from a purely dystopian perspective. Those readers that had been captivated by George Orwell's masterpiece, among whom Atwood proudly includes herself, were deeply intrigued to figure out the extent to which his premonitions had actually come true in that special year. Many scholars and academics have consistently argued that the world Orwell builds up in his novel is strongly sustained on traumatic post-war side-effects, in which the aftermath of totalitarianism was still a heavy and unpalatable burden. It is this context of oppression, relentless surveillance, media manipulation and suffocating propaganda that enables Atwood to weave her novel into a long-standing tradition of male dystopian narratives, which trace back to Yevgeny Zamyatin's *We* (1924), Aldous Huxley's *Brave New World* (1932) and the above-mentioned *Nineteen Eighty-Four* (1949), among others. In a very illuminating contribution to *The Guardian*, Atwood celebrates her indebtedness to Orwell's work, yet at the same time, tries to depart from some of the conventions that guided the English author: "Orwell became a direct model for me much later in my life – in the real 1984, the year in which I began writing a somewhat different dystopia, *The Handmaid's Tale*. By that time, I was 44, and I'd learned enough about real despotisms that I didn't need to rely on Orwell alone. The majority of dystopias – Orwell's included – have been written by men and the point of view has been male" (2013).

In the same way Orwell became an undeniable reference for Atwood, the Canadian novelist is now acknowledged as one of the most decisive figures for a new trend of dystopian writers. Together with Angela Carter, Ursula LeGuin, Zoë Fairbairns or Marge Piercy, Atwood emerges not only as a cornerstone in the field of speculative fiction that gravitates around gender issues, but also as a literary beacon for many writers – both male and female – who see her as a key inspiration for their works. Young dystopian authors like Louise O'Neill or Naomi Alderman have repeatedly declared the importance Atwood has had in their narratives and how *HT* has turned out to be one of their major thematic and stylistic influences. The imagery created for this novel, which has been recently reinvigorated by the extremely successful Hulu TV series, is an intrinsic part of a substantial number of current feminist movements, which take Atwood's dystopia as an epitome of the struggle for equality and women's rights. It goes without saying that the impact of *HT* is global, not only in literary terms, but also at a critical and commercial level. For this same reason, writing about such a canonical work and bringing up new and innovative readings appear to be really challenging endeavours. However, it seems that *HT* continues to produce a feeling of allure and fascination among the younger generations of writers, who still find it a source of very interesting discussions.

In this respect, Prayaag Akbar's debut novel *Leila* (2017) represents a major achievement in the context of Indian literature.[1] It seems that Akbar's work falls within a fruitful locus of Indian dystopian fiction that has addressed, and still does, a substantial array of gender issues. In this respect, Banerjee suggests that "while feminist texts like Marge Piercy's *He, She and It* (1990) and Margaret Atwood's *The Handmaid's Tale* are crucial to the western tradition, such feminist works as Manjula Padmanabhan's *Harvest* (1997), Rimi B. Chatterjee's *Signal Red* (2005) and Priya Sarukkai Chabria's *Generation 14* (2008) played a key role in foregrounding the dystopian future in Indian literature" (2020: 139). If Margaret Atwood is often seen as a cornerstone in dystopian fiction, Akbar's *Leila* is also framed within a very solid tradition of sci-fi and speculative narratives produced in India from the 18th/19th century onwards. Scholars like E. Dawson Varughese (2017, 2019), Debjani Sengupta (2019), Suparno Banerjee (2020) or Urvashi Kuhad (2021), among many others, have consistently studied the presence of the fantastic in a wide array of narratives written both in English or in any of the languages that are spoken in the country. These academics suggest that the relevance of these genres, among which they also include dystopia, comes directly from India's particular socio-political, economic, religious and, even, environmental idiosyncrasy.

The massive technological development the country has undergone has also triggered a major response in the literary realm, where writers like Leela Majumdar or Sukumar Ray have attempted to figure out ways to mingle India's traditional

[1] *Leila* tells the story of Shalini, a woman and mother who witnesses how her life turns upside down when an ultra-fanatic government takes over and imposes a radicalized regime based on a suffocating socio-political *statu quo*. The novel recounts her desperate search of her daughter Leila, who is savagely kidnapped from her family and given away to an institution never to see her again.

mythology – what Dawson Varughese conceptualizes as "post-millennial mythology-inspired fiction" (2017: 10) – and a critical approach to these hugely transformed and occasionally turbulent contexts. As Sengupta argues: "Science is both a narrative of progress, a sign of modernity, but also a signifier of a space in which a critique of modernity can be articulated" (2019: 77). In her breakthrough volume *Science Fiction and Indian Women Writers: Exploring Radical Potentials* (2021), Urvashi Kuhad focuses quite extensively on Indian dystopia and its potential to explore controversial issues such as gender discrimination or female feticide, which happen to form an intrinsic part of Akbar's discussion in *Leila*. The following pages try to demonstrate that this novel appears as a very relevant contribution in this tradition of Indian dystopian fiction that gravitates around such crucial and polemical questions as social stratification or environmental and gender issues. Taking all this into consideration, this paper seeks to delve into the intersections that can be traced between Atwood's *HT* and Akbar's *Leila,* mainly focusing on how both novels explore such dystopian tropes as the manipulation of the past and the evils of regimentation, in which *HT* and *Leila* find very fruitful common grounds.

The post-COVID-19 times we are currently going through have led many people to firmly state that we are living in a kind of global dystopia. Even though this literary sub-genre has always been relatively popular, the publication of new novels, the release of films and TV series and the celebration of academic events that revolve around dystopia have hugely increased in the last few years. At a time in which most of the ethical positions that we have – voluntarily or involuntarily – taken for granted are now in constant jeopardy, dystopian fiction has emerged as a fertile forum of political, economic, sociological, and even environmental debate. It is quite recurrent to come across conceptualizations of dystopia which approach it as the opposite of utopia and the idyllic implications that are associated to this type of societies. However, scholars such as Allan Weiss argue that the kind of totalitarian regimes portrayed in dystopia hide behind clear ambiguities and contradictions, which lead us to think that the differences between these two apparently antagonistic notions are not that obvious: "The common image of a dystopian society is that it is the exact opposite of a utopia; in the latter, people are generally happy, while in the former, they are miserable. Instead, the two genres mirror each other in many ways, particularly in that most residents of dystopias are happy or at the very least satisfied, and the (supposed) rebels are anomalies in their societies" (2009: 128).[2] Weiss' words accurately respond to the reality that dystopian fiction usually captures, and which reinforces those ambiguities that were mentioned above. In this vein, Tom Moylan has also engaged in the debates that have gravitated around this opposition between utopia and dystopia, which he sees as somehow difficult to tackle. Moylan suggests that, even though the worlds depicted in these narratives seem to be usually captured in drastically different realities, there are times in which

[2] In an illuminating article published in *The Guardian*, Atwood smartly blends these two terms in the so-called "ustopia," because "each contains a latent version of the other" (2011).

there are more connections than we might initially expect.[3] This explains why it has been usually complex to establish clear-cut definitions of utopia, dystopia and other associated terms such as anti-utopia or satirical utopia.

If we look at works such as Orwell's *Nineteen Eighty-Four*, Huxley's *Brave New World,* Bradbury's *Fahrenheit 451* (1953) or even Atwood's *The Handmaid's Tale*, readers feel that those individuals who are trapped in these societies do usually normalize this kind of behaviours and show a complacent and conformist attitude, as they seem to accept that there is nothing that can possibly change their fate. Even those characters that could hint at some sort of heroism such as Winston Smith or Offred end up yielding to the merciless oppression of the Party and Gilead or even becoming tools that eventually perpetuate the authority of the socio-political echelons. The society that is presented in these narratives lives in a dormant, anaesthetized state, which prevents citizens from attempting to overthrow or simply question the *statu quo*. Most dystopian protagonists are caught in profound and often unresolved ethical and moral debates, which lead them either to just pursue survival or to shake the foundations of the system from a more contesting and combative attitude. In this respect, the goal of totalitarianism is, on the one hand, to encourage passivity and, on the other, to extirpate any source of countercriticism that might compromise its authority. With the aid of technology and surveillance, a deeply rooted network of informers, the pressure exerted by propaganda and the annihilation of personal identity through brainwashing and indoctrination, these regimes manage to sedate the population by means of fear and threats, which make people believe that they are living in the best conditions that could ever be.

From the publication of the first dystopias, punishment has been an intrinsic part of these narratives' most typical imagery. Political dissidence, ideological dissent and sexual deviance have been widely tackled in these novels as a response to the authors' particular historical reality. Bearing in mind the conceptual particularities around which dystopian fiction is usually articulated, it could be argued that these narratives are strongly founded on the events that inspired their writing. Even though some scholars like Alexandra Aldridge suggest that dystopia's near-future dimension might slightly detach it from the reality that nurtures these works, it seems that most of the above-mentioned authors used their stories as cautionary messages about the dangers of political, technological and scientific totalitarianism or, in the case of LeGuin, Atwood, O'Neill or Alderman, to denounce patriarchal oppression (1984: 7).[4] The following pages will attempt to delve precisely into *HT* and *Leila* as two

[3] To this, Moylan adds: "Although all dystopian texts offer a detailed and pessimistic presentation of the very worst of social alternatives, some affiliate with a utopian tendency as they maintain a horizon of hope (or at least invite readings that do), while others only appear to be dystopian allies of Utopia as they retain an anti-utopian disposition that forecloses all transformative possibility" (2000: 147).

[4] In this sense, it is worth alluding to Glenn Negley and J. Max Patrick's groundbreaking study on utopia and dystopia, in which they point out that: "The author of a dystopia must have a mental picture of the reality which he is satirizing in the description of an imaginary country; and in the

dystopian works that prove to transcend the reality they portray, even to the extent of replicating it in the most verisimilar way. In this vein, the debates they engage with are extremely current today because the fictional scenarios they picture still reveal painful and shocking parallelisms with our own actual worlds.

1. THE HAUNTING GHOST OF THE PAST

The past and how it is (re)interpreted turns out to be one of the central concerns in dystopian fiction. If we approach this notion as a mechanism that can be used for manipulation, we can find that the past emerges as a battleground in which two opposing forces have repeatedly clashed. On the one hand, any dictatorial regime seeks to erase all traces of the period that preceded its takeover, while, on the other, certain individuals look forward to understanding and reviving a time in their lives that has been completely removed from their personal and collective memory. In dystopia, these long-gone days emerge as a concept that both parts need to (re)appropriate, because this will allow them to regain control over the narrative itself. One of the most meaningful slogans in Orwell's *Nineteen Eighty-Four* – "who controls the past, controls the future" – gives an idea of the need of totalitarianism to handle this temporal construct to its own benefit. Orwell's novel is profoundly concerned with the ways in which these regimes limit the access to history, purge the information that might be excessively revealing or compromising and recreate a reality that glorifies their own socio-political, economic or religious views. Following with the Orwellian imagery, Mr. Charrington's secret room emerges as a symbol that very tellingly illustrates how the attempts to explore and decipher the past prove to be viciously suffocated by the Party. Winston and Julia's furtive rendezvous are initially seen as a rebellion against the regime and an outburst of sexual freedom. What makes this underground spot appealing to them is precisely its celebration of the past, epitomised by a large catalogue of gadgets that are banned, and which Julia and Winston admire as rarities that are part of a time that is now long forgotten. It is precisely when they discover the existence of a hidden telescreen – a device that comes to represent the pernicious present they are trying to survive –, that they are captured, brainwashed and tortured.

All these Orwellian echoes are helpful to understand the role of the past in Atwood's *HT* and Akbar's *Leila*, as well as to establish relevant analogies among the three dystopias. The exploration of the past in these two novels is essential to figure out the personal and political dimensions of its two female protagonists, Offred and Shalini. As it was argued above, history has been a double-edged weapon, often caught in the centre of an endless and unresolved dispute that seeks to legitimise its control. In dictatorial scenarios like the ones portrayed in *HT* and *Leila*, the population is forced to become conformist and, even, hostile towards the time that preceded the establishment of the Republic of Gilead and the new ultra-conservative

back of his mind, he must have a fairly clear concept of his ideal state. He describes this by antithesis, suggesting how life ought to be by depicting it as it ought not to be" (1952: 12).

regime that takes over in Akbar's near-future India. At a point in Atwood's work, Offred voices one of the most thought-provoking statements in the entire novel, which reveals the extent to which her notion of the past is no longer constructed upon her own memories: "A movie about the past is not the same as the past" (1985: 235). To this, Elisabeth Hansot adds that Offred takes for granted that her own experiences are mere reconstructions, which she cannot control anymore (1994: 61). Offred seems to be verbalizing an assumption that many dystopian narratives have shared, that is, the access to our annals is limited, coerced and, very often, distorted and manipulated. Would this justify why Offred and Shalini's own positioning with respect to their own history is complacent? In relation to this point, Stillman and Johnson point out that: "Offred exemplifies what not to do before Gilead consolidated its power. Offred ignored, romanticized, and accommodated. She was complacent about her own status and rights" (1994: 81).

However, the approach to the past in *HT* and *Leila* seems to be much more complex. Readers are occasionally confused by the ambiguous attitudes of these two characters, in the sense that we might expect their struggle to be far more contesting. There are moments in both novels in which Offred and Shalini's only connection with that time in which they were free are their respective daughters, Hannah and Leila, who were savagely disposed of their mothers when they were almost toddlers. After this traumatic event that marks them thereafter, their disengagement from their previous life is gradual and leads them to almost forget how they were before the *coup d'état* changed their existence forever. As it is very common in dystopia, this longing for the past is, sometimes, rather melancholic and idyllic, since characters like Shalini and Offred simply indulge in their belief that this time was far better, because there cannot be anything worse than the present. As Offred states: "When we think of the past it's the beautiful things we pick out. We want to believe it was all like that" (1985: 130). This selective recollection of memories is, precisely, what Shalini attempts to do after she is sent to the so-called "Purity Camp" to be reformed and disciplined by the authorities. *Leila*, just like *HT*, is full of flashbacks, which help the protagonist recall a city that was rich in vegetation and bright streets, in which peace seemed to prevail: "The treetops are different lustrous greens, gently swaying and leaning into one another. Even Ma is surprised by how many trees there are. I press my nose to the chilled glass. A toy city, overgrown with broccoli. Through the leaves you see houses, white or yellow, small rooms on their roofs" (2017: chapter 3).[5]

One of the main debates that underlies these novels is how feminism resonates in two societies in which women are used as either servants, slaves or reproductive

[5] Even though *Leila* should not be labelled as an entirely ecofeminist novel, there are certainly many hints that point to the country's persistent and unbearable drought and how it affects the most downtrodden sectors of the population. In relation to this idea, Urvashi Kuhad notes that Indian sci-fi and dystopian authors have been particularly interested in exploring the dangerous effects that technological (ab)use might cause upon the environment (2021: 42). Perhaps, these environmental concerns could also strengthen the parallelisms between *Leila* and *HT*, which have also been approached from these ecofeminist perspectives in various studies (Cronan Rose 1991; Indu 2011).

vessels. In the case of Atwood's *HT,* these issues have been recurrently addressed, as they seem to be an integral part of a story that claims for women's rights and equality. Having said this, Offred's commitment with regard to the feminist movement has been often seen as rather dubious and vague, which again stresses her unresolved relationship with her past and, more particularly, with her mother.[6] While Offred emerges as a rather conformist and unquestioning individual, who was never very interested in empowering herself as a woman at those moments in which she still lived in a free society, her mother epitomizes the combative, rebellious and gender-conscious spirit, who has been frequently associated with the first wave of feminism. Offred's past is her mother's time and all that she represented in terms of the struggle against patriarchy, as Stillman and Johnson rightly contend (1994: 81). Even though Atwood's novel also unveils Offred's temperate criticism towards Gilead's totalitarian yoke against women, she often appears as a character that glorifies domesticity and motherhood: "The kitchen smells of yeast, a nostalgic smell. It reminds me of other kitchens, kitchens that were mine. It smells of mothers; although my mother did not make bread. It smells of me, in former times, when I was a mother" (1985: 47).[7]

Shalini, on the other hand, is captured at a time in which the former government is violently overthrown by a group of ultra-conservative fanatics, who end up turning the country into a regimented and compartmentalized nightmare. Just like in Atwood's *HT*, *Leila* also explores the past through a female character, who is disposed of her upper-middle class status, thrown away into the city's slums and treated as a slave by the new regime. Even though Shalini's background is that of an affluent woman, born into a well-off family and married to an influential man, the journey she has to go through evinces a great deal of parallelisms with Offred's. If we focus on how Shalini attempts to reconcile herself with her own past, we can see that her gender awareness is strongly determined by the social position she occupies. Her former life in a bubble of privileges and certain luxuries comes to an end when her husband is killed and her daughter Leila is taken to an institution, never to see her mother again. It is at this very moment, when Shalini is dragged into the most dispossessed and sordid existence, that she starts realizing what women are forced to endure in this new socio-political and religious context. Shalini, thus, is humbled by this dramatic turn of events and also encouraged to start a personal crusade, not only to reunite with her daughter and come to terms with her past, but also to reposition herself as a woman in a country in which they are

[6] In this same vein, Dodson argues that: "Before the revolution she lived comfortably in the midst of the mainstream in Cambridge, never identifying with the cause of feminism, never noticing the struggles of American women who were less fortunate because of income or color, never taking seriously her activist friend Moira" (1997: 80-81).

[7] Both novels seem to be direct inheritors of those feminist dystopias that started to be published in the 1970s. In this respect, Jeanne Cortiel suggests that, just like *HT* and *Leila*, works such as Joanna Russ' *The Female Man* (1975) or Marge Piercy's *Woman on the Edge of Time* (1976) already point to issues like female reproduction, the objectification and appropriation of the female body and the progressive destruction of the environment that are thoroughly discussed by both Atwood and Akbar in their novels (2015: 156).

exploited for the sole benefit of the new ruling elite. As the following conversation with her husband reveals, Shalini is able to contest the male authority and to give that step forward Offred is rather hesitant to take: "'Your wife.' Now I was angry. 'It's your daughter's birthday. Put that male ego aside for once'" (2017: chapter 5).

2. REGIMENTATION

Classical and contemporary dystopian writers have been very keen on exploring the effects of regimentation and how this strategy is strongly inspired by mechanisms of control and surveillance. Most societies that are described in this sort of narratives are rigidly compartmentalized, either physically by means of threatening walls and fences – as in the case of Akbar's *Leila*, Roth's *Divergent* or Collins' *The Hunger Games* – or metaphorically – as Atwood masterfully achieves in *HT*. If we focus more particularly on feminist dystopia, this feeling of incarceration is accentuated even further, since many female characters are caught within the limitations that impose their own domestic environment and also go through experiences that coerce their freedom in more public realms. At this point, it is interesting to note Ildney Cavalcanti's study on Suzy McKee's Holdfast series, in which she very clearly refers to "oppression, materialized via spatial confinement" as one of the tropes that feminist dystopias more thoroughly explore (2015: 54). Both Atwood and Akbar seem to be inspired by the long standing tradition of classical dystopias in which this same feeling of entrapment contributed to reinforcing the idea that nobody can escape the confines of a totalitarian regime. Prior to Orwell and Huxley, who thoroughly explored the effects of regimentation in their novels, Thomas More and Yevgueny Zamyatin had already built up societies that also sought to endanger people's individuality. As the following pages will attempt to demonstrate, *HT* and *Leila* emerge as most appropriate examples to illustrate how fences, walls and barbed wire should not only be taken as physical impediments that challenge the characters' freedom and rights, but also as metaphorical symbols that heighten the idea that the regime is always watching.

Dystopia is strongly based on facts that are relatable and validated in our surrounding reality. It does not really matter whether we trace back to the so-called classical dystopias or if we look at more contemporary young adult narratives, the way these stories engage with the ongoing social, political, economic or religious circumstances proves to be one of their most appealing traits. Even though this is the time of globalisation and the apparent disappearance of borders and boundaries, we are currently witnessing how walls are profusely erected in most parts of the world.[8] The building of these walls responds to motivations closely connected with separation, blockade and isolation. Both classic and more contemporary dystopias revolve around these assumptions, in the sense that those citizens that are segregated or unable to communicate with each other are more easily disconnected and, thus, controlled. In

[8] In relation to this idea, Herrero states that: "After the fall of the Berlin wall, only eleven more remained. At present, though, their number has increased and is closer to seventy" (2020: 225).

novels like *Leila,* for instance, this regimentation accurately portrays a painful reality in India and its caste system; in others like *Nineteen Eighty-Four*, *Brave New World* or *The Handmaid's Tale*, the impossibility to break down these physical and mental barriers drive many of their characters to their inevitable surrender.[9] It seems, thus, that these dystopian regimes are driven by the Caesarean "divide and conquer" motto that has pervaded in most totalitarian states throughout history.

One of the first contacts readers have with Offred already hint at a suffocating feeling of entrapment and incarceration: "The guards weren't allowed inside the building except when called, and we weren't allowed out, except for our walks, twice daily, two by two around the football field, which was enclosed now by a chain-link fence topped with barbed wire" (1985: 4). Even though handmaids are made to believe that they can circulate freely around the streets of Gilead, their daily routes are not only pre-designed, but also tightly watched. One of the most shocking images in the novel is to see these women walking in twos, not because they enjoy their mutual company, but mainly because they are used as mechanisms of purely human surveillance. The contact of handmaids with an apparently free space is determined by the same regimentation they have to endure in their own homes. Any detour from their designated areas, which include the mandatory visit to the infamous Wall, is penalized as high treason. In this vein, Offred's life of forced confinement, both indoors and outdoors, turns out to be a metonymic representation of Gilead's panopticism, which the people contribute to sublimating with the use of such pernicious greetings as "Under his Eye."[10] To this, Stephanie Barbé adds that Gileadeans are always monitored, either in the form in undercover police agents – the so-called "Eyes" – or through the use of formulaic expressions such as the one mentioned above (1990: 45).

The handmaids' sense of entrapment is not only exerted by the Wives, Aunts and Commanders, but also through clothing, which in Atwood's novel proves to be another source of division and compartmentalization. Beyond the social stratification that colours and garments actually represent in *HT*, women take for granted that regimentation sadly means a (self)imposed isolation and marginalisation, which force them to accept that they are no more than invisible, wandering spectres: "The white wings too are prescribed issue; they are to keep us from seeing, but also from being seen" (1985: 8). No woman in Gilead – not even Wives or Aunts – can find the way to trespass these physical and imaginary boundaries that drag them into a state of utter oblivion. They are just a means for an end and when this end comes, the regime

[9] Premonitory as it can be, bearing in mind that her article was published almost thirty years before *Leila* came out, Stephanie Barbé already established a very sound comparison between the Hindu caste system and Gilead's socio-political regimentation: "The Republic of Gilead strikes us, not as a techno-dystopia, but as a reactionary step backwards in time, to a kind of government and lifestyle that resembles that of the Middle Ages-based on one part biblical patriarchy, one part Islamic militantism, and one part Hindu caste system" (1990: 40).

[10] This farewell formula is very revealing. On the one hand, Atwood clearly discloses how women are controlled by men at all times. On the other, the use of prepositions is also very meaningful and points to women's subservient, inferior position with respect to men.

mercilessly gets rid of them. In this respect, both the streets and the houses become asphyxiating cages, where unauthorised speaking and social interaction are brutally punished. The atmosphere Atwood portrays in *HT* reinforces Gilead's unbearable social hierarchy, which is sustained on widening the gap between the upper echelons and the underdogs. While the former enjoy a life full of privileges and legal immunity, the latter suffer the side-effects of abusive practices such as normalised, systematic rapes – Ceremonies –, public executions and mass murders in the ruthless Salvagings and Particicutions.

This eventually places Gileadeans in a limbo of misinformation and complete ignorance: "Where the edges are we aren't sure, they vary, according to the attacks and counterattacks" (1985: 23). This lack of knowledge, even about such basic details as the actual location of the city limits, has been a very recurrent dystopian trope. *HT* and *Leila* engage very accurately with how characters react to their own fenced existence. The two novels are set in places that are essentially limiting and coercive, both in a real and a symbolical sense. The protagonists seem to be always surrounded by elements that restrain their freedom and push them into completely confined spaces, which the authors associate with the presence of huge, threatening walls. As it was suggested above, *Leila*'s near-future India digs into the reality behind the country's caste system and the social unrest it has historically brought about. In his illuminating study on Indian science fiction, Suparno Banerjee argues that most of the novels that are published in the period between 1995 and 2019 slightly depart from the conventions of the Indian sci-fi genre to explore more dystopian realms. In this vein, he points out how these contemporary publications are also questioning the framework of such utopian cornerstones in Indian literature as Rahul Sankrityayan's *Baisvee Sadi* (1924), in which the author portrays a society that "has also eradicated racial, religious, classist caste-based divisions. Every place and person of this future India is repeatedly characterised as clean and beautiful" (2020: 135).[11] The world Akbar recreates in his novel, however, is built up on the assumption that keeping the population in separated and uncommunicated sectors is the best mechanism to avoid an uprising that might potentially overthrow the regime, and also to prevent members of different castes from coexisting within the same realm.[12] When Shalini looks around, she is only able to see massive brick walls, which do not only represent her imprisoned state, but also her own dehumanised self: "These walls diminish us. Make us something less than human" (2017: chapter 3). Only when Shalini is literally thrown into the city slums and dispossessed of everything she previously had, she comes to feel the most cruel side of totalitarianism.

[11] In this regard, Dawson Varughese also refers to Usha Narayanan's *Pradyumna: Son of Krishna* as a suitable example to illustrate how science fiction and dystopia can successfully approach the side-effects of this caste system (2019: 151).

[12] The racist undertones associated with this kind of caste systems are very acutely captured by Akbar: "A widow, living in a crumbling residential complex called the Towers. The Council decided we had to be kept out of the city. They said we might pollute the rest" (2017: chapter 1).

Everywhere she goes is delimited and supervised, any access to other compounds is forbidden and the possibility to reach out to her family is nothing but an unattainable chimera.[13] Her only purpose now is to survive in a place in which she can barely see the sun and the sky: "Some forty years after Purity One was erected there are no trees. The stunning canopy is gone. Now there are hundreds of walls, no one sure how many. Each wall is fifty-nine feet high and two feet thick, in agreement with Council law. They loop through and around the city, bigger than anything except the tallest buildings" (2017: chapter 3). Shalini's descent into hell, which somehow resembles that of Offred, enables her to witness the appalling circumstances of the most dispossessed classes, which she was not aware of in her world of luxuries and commodities. Her endless wanderings around the city in a frantic attempt to find her daughter are constantly scrutinised by the inquisitive looks and questions of the so-called Repeaters, whose role in *Leila* echoes quite substantially that of the Eyes in Atwood's *HT*. Both the Eyes and the Repeaters are two obvious sources of regimentation, as they are in charge of spying, informing, prosecuting and torturing those suspected of being involved in illicit activities against the regime.[14] From a "loose band of men, most in their twenties and thirties" (2017: chapter 4), who do not seem to be more than radical street agitators, they eventually become the government's most effective instrument of control the moment they start wearing uniforms: "'Oh yes, the Repeaters have uniforms now.' Naz was by my side. 'Is that what this is?' I asked. 'Seems like it. They look quite smart actually'" (2017: chapter 5).

Offred and Shalini are two characters accidentally trapped in sombre patriarchal states, whose basic aim is to bring back the most backward and medieval beliefs solely to justify the enslavement and exploitation of women. In this section, we have been alluding to how Atwood and Akbar anatomise the evils of regimentation and the response of their protagonists. If we focus more attentively on how these segregationist policies are a source of gender discrimination, there are two contexts that trigger a considerable number of parallelisms. Both *HT* and *Leila* portray societies in which brainwashing is key to silence people and to fill them with a distorted vision of their own reality. In the case of women, before they start undertaking the tasks they have been assigned, they are sent by force into various institutions in which they are taught, disciplined and moulded according to the dictates of the regime. Since she is a fertile woman and, thus, a reproductive asset for Gilead, Offred is dispatched to the so-called Red Centre, Aunt Lydia's kingdom and the place where handmaids are prepared for the miserable life that awaits them. In Shalini's case, once her husband is killed and her daughter taken away from her, she is moved to Purity Camp, where she joins other "fallen" women that the state

[13] In this same vein, Nandini Krishnan states that: "*Leila* is, on the surface, a mother's quest for her lost daughter, last seen on her third birthday. But it is also the story of the walls we build, in our cities and in our heads" (2017).

[14] These police corps are, indeed, very recurrent in dystopias, as Orwell's clearly illustrates with the inner and outer party in *Nineteen Eighty-Four*. In this case, Orwell proves the extent to which he was greatly inspired by police corps such as Hitler's SS and Gestapo or Stalin's NKVD.

needs to readjust. These two places emerge as the beginning of Offred and Shalini's no-return journey towards their fall into nothingness.

During her training at the Red Centre, Offred assumes that her fate is already written and unescapable, a fact that drives her into the state of complacency she shows along the novel. Even though she knows that she is destined to be a "two-legged womb" and the property of her Commander, she takes for granted that fighting to overturn this situation is doomed to fail. After the initial shock she goes through when she fully realises that she has been deprived of her freedom, her stay in the Red Centre prepares her for a void and predictable life. They are forced to believe that their days before Gilead were sinful, pernicious and mischievous, which the Aunts at the Centre take as a justification for their tortures: "Apart from these details, this could be a college guest room, for the less distinguished visitors; or a room in a rooming house, of former times, for ladies in reduced circumstances" (1985: 8).[15] When these women are released from the Centre, they experience a temporary sense of relief and freedom, which vanishes the moment they are assigned to their destination and start being object of systematic rapes, physical and psychological abuse.

In relation to this last point, the evolution of these two characters when they are sent to the Red Centre and Purity Camp goes parallel ways. From a dystopian standpoint, these places enable both Atwood and Akbar to introduce a wide-ranging number of tropes, which come to strengthen the anguishing atmosphere that permeates their novels. As it has been emphasised throughout this paper, in order to segregate the population, these regimes seek to control the body and mind of the people. Sometimes, they employ mechanisms – public hangings, group executions – that aim to set an example so that nobody dares to replicate rebellious or disobedient conducts. However, history reveals that dictatorial states have found more subtle and effective ways to induce fear and subjugation. In the case of Offred and Shalini, both women endure a severe process of brainwashing while they are imprisoned. As many other dystopian authors portrayed in their novels, these two characters are constantly sedated in order to keep them in a limbo of artificial peace and tranquillity, which reminds us very much of soma in Huxley's *Brave New World*. Dystopias have been particularly keen on exploring the aftermath of technological (ab)use and how humankind has excessively relied upon the utopian belief that this was a sign of progress and modernity. As Krishan Kumar rightly asserts, "the fear of science as the instrument of tyranny and mass conformity had to give way to a belief in its role as liberator and cornucopian provider" (1987: 388-389). Huxley's narratives, in this respect, are perfect examples to illustrate the limits of scientific

[15] In *Leila*, Akbar refers to a very similar situation, in which women are openly accused of dreaming to be free: "All of you? Ask the girls in your truck. The rest know. It's only you, women like you. You grew up thinking you are already abroad. Some TV-world you live in. That such things are your right. But see these girls you came with, girls from the lower sectors, ask them. They won't be surprised. They knew what they were doing when they chose to live this way, what risk they were taking" (2017: chapter 6).

ethics and how, even if the purpose is noble, everything could be perverted through the use of drugs.

When Shalini is sent to Purity Camp, she immediately realises that the guards want all women to surrender their own consciousness, so that their will is at their complete disposal. The pills they are forced to take daily do not only leave them in a kind of vegetative state, but gradually erase any memories they could have of their past: "But they work. This little pill will turn the mind from the vigils of the day, the memories we guard, the images we polish and protect and return to" (2017: chapter 2). As in *Nineteen Eighty-Four* or *Fahrenheit 451*, Shalini's dystopian India is founded on the idea that individuals must be a mere *tabula rasa*, which must be filled in only with the information that the government wants them to know. The aim is to turn people into a headless, numb herd, which even admits that a life under the regime's totalitarian yoke is, indeed, a blessing. As an old woman sadly states in Atwood's *HT*: "It's high time somebody did something, said the woman behind the counter, at the store where I usually bought my cigarettes. It was on the corner, a newsstand chain: papers, candy, cigarettes. The woman was older, with gray hair; my mother's generation" (1985: 174). In his very illuminating study on drug dystopias, John Hickman refers to the sedative effects of state pharmacology and the extent to which it becomes an essential tool to oppress and repress the citizenship (2009: 160-161). Just like Shalini assumes that programmed medication is part of her daily existence in Purity Camp and that she cannot do anything to avoid it, Offred also admits that "we were on some kind of pill or drug I think, they put it in the food, to keep us calm" (1985: 70). This imposed calmness, together with these characters' encaged existence, are the two factors that nourish and reinforce the novels' sense of suffocation, inescapability and regimentation.

CONCLUSIONS

The impact of Margaret Atwood's *The Handmaid's Tale* and the way it resonates in many contemporary dystopian novels open new paths for critical discussion and fruitful debates on the traumatic effects of totalitarianism, as Libby Falk has interestingly suggested (1991: 10-11). As this paper has attempted to demonstrate, the currency of this work allows for a wide ranging array of dystopian intersections. Among the many tropes these two novels delve into, it seems that the way the past can be manipulated and the pernicious effects of regimentation at a personal and societal level are the most significant ones. The two protagonists emerge as embodiments of the struggles that many people, especially women, have historically gone through at times of suffocating oppression. In *HT* and *Leila*, the past emerges as a mechanism at the disposal of totalitarian regimes, which seek to abduct it in order to justify the narrative they elaborate in the present. The two stories evince that the past turns out to be a locus that must be (re)appropriated, either by those who seek to remain in power at all costs or those who struggle to remember those moments in which freedom and democracy prevailed. In this respect, Offred and Shalini hold on to their memories in a desperate attempt to preserve the bond with

their daughters, symbollicaly portrayed as the last remnant of a time that is on the verge of vanishing. In this respect and closely connected with this need to control the past, Atwood and Akbar build up worlds that are strongly based on the regimented realities that many dystopian authors have recurrently recreated in their works. *HT* and *Leila* denounce the need to compartmentalize and divide for the sake of isolating and segregating the population. Through the use of clothes or simply by means of reproducing a society that echoes the caste system in India, both novelists reveal the stagnant paralysis that is imposed when individuals are forced to avoid contact – personal or public –, as it could jeopardise the foundations of the *statu quo*. All in all, this paper has attempted to discuss that, at a time in which many civil and human rights are at a dangerous stake, it seems that the insightful views of authors like Atwood and Akbar are more necessary than ever to understand both our current world and, more importantly, the consequences that our actions can eventually bring about.

REFERENCES

Akbar, P. 2018. *Leila*. New York: Simon and Schuster. Kindle.

Aldridge, A. 1984. *The Scientific World View in Dystopia*. Michigan: UMI Research Press.

Atwood, M. 1985. *The Handmaid's Tale*. New York: Harcourt.

Atwood, M. 2011. "Margaret Atwood: the Road to Ustopia". *The Guardian*, October 14, 2011. https://www.theguardian.com/books/2011/oct/14/margaret-atwood-road-to-ustopia. (Accessed 20 September 2021).

Atwood, M. 2013. "My Hero: George Orwell". *The Guardian*, January 18, 2013. https://www.theguardian.com/books/2013/jan/18/my-hero-george-orwell-atwood. (Accessed 13 September 2021).

Banerjee, S. 2020. *Indian Science Fiction: Patterns, History and Hibridity*. Wales: University of Wales Press.

Barbé, S. 1990. "'The World as It will Be?' Female Satire and the Technology of Power in *The Handmaid's Tale*". *Modern Language Studies* 11 (2): 39-49.

Cavalcanti, I. 2015. "The Writing of Utopia and the Feminist Critical Dystopia: Suzy McKee Charnas's Holdfast Series." *Dark Horizons: Science Fiction and the Dystopian Imagination*. Eds. Rafaella Baccolini and Tom Moylan. New York: Routledge. 47-68.

Cortiel, J. 2015. "Feminist Utopia/Dystopia: Joanna Russ, *The Female Man* (1975), Marge Piercy, *Woman on the Edge of Time* (1976)" *Dystopia, Science Fiction, Post-Apocalypse: Classics, New Tendencies, Model Interpretations*. Eds. Eckart Voigts-Virchow and Alessandra Boller. Trier: WVT. 155-169.

Cronan Rose, E. 1991. "The Good Mother: from Gaia to Gilead". *Frontiers: a Journal of Women Studies* 12 (1): 77-97.

Dawson Varughese, E. 2017. *Genre Fiction of New India: Post-Millennial Receptions of "Weird" Narratives*. New York: Routledge.

Dawson Varughese, E. 2019. "Post-millennial 'Mythology-Inspired Fiction' in English: the Market, the Genre, and the (Global) Reader". *Indian Genre Fiction: Past and Future Histories*. Eds. Bodhisattva Chattopadhyay et al. London and New York: Routledge. 141-158.

Dodson, D. 1997. "'We lived in the blank white spaces': Rewriting the Paradigm of Denial in Atwood's *The Handmaid's Tale*". *Utopian Studies* 8 (2): 66-86.

Falk, L. 1991. "Breaking Silences in Feminist Dystopias". *Utopian Studies* 3: 7-11.

Hansot, E. 1994. "Selves, Survival, and Resistance in *The Handmaid's Tale*". *Utopian Studies* 5 (2): 56-69.

Herrero, D. 2020. "Populism and Precarity in Contemporary Indian Dystopian Fiction: Nayantara Sahgal's *When the Moon Shines by Day* and Prayaag Akbar's *Leila*". *Atlantis* 42 (2): 214-232.

Hickman, J. 2009. "When Science Fiction Writers Used Fictional Drugs: Rise and Fall of the Twentieth-Century Drug Dystopia". *Utopian Studies* 20 (1): 141-170.

Indu, B. C. 2013. "Flowers of Survival: An Ecofeminist Reading of Margaret Atwood's *The Handmaid's Tale*". *International Journal of Humanities and Social Science Invention* 2 (4): 7-9.

Krishnan, N. 2017. "*Leila*: A Mother's Quest for her Daughter". *The Wire*, April 30, 2017. https://thewire.in/books/leila-prayaag-akbar-review. (Accessed 3 February 2022).

Kuhad, U. 2021. *Science Fiction and Indian Women Writers: Exploring Radical Potentials*. London and New York: Routledge.

Kumar, K. 1987. *Utopia & Anti-Utopia in Modern Times*. Oxford: Oxford University Press.

Moylan, T. 2000. *Scraps of the Untainted Sky: Science Fiction, Utopia and Dystopia*. Colorado: Westview.

Negley, G. and J. Patrick. 1952. *The Quest for a Utopia: An Anthology of Imaginary Societies*. New York: Henry Schuman.

Sengupta, D. 2019. "Explorers of Subversive Knowledge: the Science Fantasy of Leela Majumdar and Sukumar Ray". *Indian Genre Fiction: Past and Future Histories*. Eds. Bodhisattva Chattopadhyay et al. London and New York: Routledge. 73-86.

Stillman, P. and S. Johnson. 1994. "Identity, Complicity, and Resistance in *The Handmaid's Tale*". *Utopian Studies* 5 (2): 70-86.

Weiss, A. 2009. "Offred's Complicity and the Dystopian Tradition in Margaret Atwood's *The Handmaid's Tale*". *Studies in Canadian Literature / Études en littérature Canadienne* 34 (1): 120-141.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 35-47. http://doi.org/10.18172/jes.5707

IDENTITY CRISIS AT THE PARTY: JOYCE'S "THE DEAD" AND WOOLF'S "THE NEW DRESS"

MARGARITA ESTÉVEZ-SAÁ
Universidade de Santiago de Compostela
margarita.estevez.saa@usc.es

ABSTRACT. The present contribution offers a comparative analysis of James Joyce's short story "The Dead" and Virginia Woolf's "The New Dress", reflecting on the possible reasons that could explain the inexistence of previous critical comparisons of two texts written by two authors whose work has been amply studied and who have been frequently related by criticism. Considering the recurrent motif and context of the party in modernist literature, the study focuses on the identity crises experienced by the protagonists of both short stories. Taking into account Anthony Elliott's reflections on the agents involved in the construction of the self, as well as recalling Joyce's concept of "epiphany" and Woolf's notion of "moment of being", we analyse the concomitances detected in two stories that deal with the identity crises suffered by their respective protagonists, that deploy an analogous structure and share the use of similar symbolism.

Keywords: James Joyce, Virginia Woolf, "The Dead", "The New Dress", party, crisis.

CRISIS IDENTITARIAS EN LA FIESTA: "LOS MUERTOS", DE JOYCE, Y "EL VESTIDO NUEVO", DE WOOLF

RESUMEN. El trabajo ofrece un análisis comparativo del relato de James Joyce "Los muertos" y el de Virginia Woolf "El vestido nuevo", reflexionando sobre los posibles motivos que explicarían la inexistencia de comparaciones críticas previas de dos textos escritos por dos autores cuya obra ha sido ampliamente estudiada y que han sido frecuentemente relacionados por la crítica. Tomando en consideración el motivo y contexto recurrente de la fiesta en la literatura modernista, el estudio se centra en las crisis identitarias que experimentan los protagonistas de ambos relatos. Y teniendo en cuenta las reflexiones de Anthony Elliott sobre los agentes que participan en la construcción del ser, a la par que el concepto Joyceano de "epifanía" y el "momento del ser" al que se refirió Virginia Woolf, se analizan las concomitancias que se detectan en dos relatos que tratan las crisis identitarias que sufren sus respectivos protagonistas, presentan una estructura análoga, y comparten el uso de un simbolismo similar.

Palabras clave: James Joyce, Virginia Woolf, "Los Muertos", "El vestido nuevo", la fiesta, crisis.

Received 4 April 2023

Revised version accepted 21 October 2023

Parties and social gatherings abound in modernist fiction. We only have to recall their inclusion in James Joyce's stories in *Dubliners*, in *A Portrait of the Artist as a Young Man* and in *Ulysses*. Similarly many parties appear recurrently in Woolf's novels, in Katherine Mansfield's short stories, and even in T. S. Eliot's poetry ("The Love Song of J. Alfred Prufrock"), or in D. H. Lawrence's novels, to mention some cases among the many that can be found. Critics have not failed to notice this recurrent motif of the party and even signaled some of its uses. Thus, Christopher Ames's *The Life of the Party: Festive Vision in Modernist Fiction* (1991) or, more recently, Kate McLoughlin's collection of essays in *The Modernist Party* (2015) have become inevitable references. McLoughlin, in the introduction to her volume of essays, argues that "On a technical level, the party as topos: enables authors to gather characters together; provides narratological anticipation, climax and aftermath; gives scope for descriptive detail; constitutes a natural venue for heteroglossia (often in antiphony with omniscient narrative); and allows minor genres such as gossip and anecdote a moment in the light" (17). She also mentions that they offered artists the possibility of rendering the material conditions and changes brought about by modernism – in architectural design, clothing fashions, food and drink, etc. – and that they conveyed an alternative treatment of space – domestic interiors – and time – emphasising the evanescent and fleeting nature of time and even the inevitability of death. (17-18)

It is undeniable that, just a as many modernist writers had recourse to artist protagonists (aspiring, frustrated, successful fictional artist figures are recurrently

featured in modernist fiction) for their reflections on identity and subjectivity, the motif of the party also offered them a unique context for the representation of and reflection on identity quests, for exploring the nature of the self, for describing crises of the self, and for deploying the individual's delicate relationship with society. Furthermore, the creative dimension of the party has been emphasized to the point that MacLoughlin considers that both party giving and party going can be considered as creative arts on both the part of the host as well as the attendees at the party.[1] This artistic view of the party is grounded on the performative dimension of an event that involves the preparation of the scene by hosts and of the performance by both hosts and attendees (the selection of the costume, the host's reception as well as the guests' party entrance).

The present contribution compares two short stories that precisely feature modernist parties, Virginia Woolf's "The New Dress" and James Joyce's "The Dead", two narratives that, surprisingly, have not been compared before despite their similar structure, technique and symbology, for a series of reasons that this essay tries to identify. Albeit we should briefly recall first the history of composition of both stories. "The Dead" was the last story included in *Dubliners,* a collection finally published in 1914. "The Dead" can be interpreted as a story that functions as a sort of summary, revision and reinterpretation of the previous tales included in the book, although offering a much more benevolent perspective. In fact, Joyce himself admitted that in his previous stories he had been too severe with his fellow Dubliners and that he had forgotten to portray the beauty of the country, or the hospitality of its inhabitants that he wanted to consider in "The Dead" (Ellmann 1983: 231). Virginia Woolf's "The New Dress" was written in 1924 whilst Virginia Woolf was already preparing one of her major novels, *Mrs. Dalloway* (published in 1925). Some critics consider that the story was, in fact, intended as a chapter to be included in the novel, a novel with which it shares some characters and events such as Mrs Dalloway, the hostess of the party in both novel and short story, or the celebration itself. In any case, the story was not published until 1927 when it appeared in the May edition of the New York magazine *The Forum*. Later on, it became part of the posthumous collection *A Haunted House and Other Short Stories* published in 1944, and much later was included in another volume of stories, entitled *Mrs. Dalloway's Party,* which appeared in 1973.

When Virginia Woolf wrote "The New Dress," she had begun to read and to take notes on *Ulysses,* and she had already read *A Portrait of the Artist as a Young Man* and, very probably, *Dubliners*.[2] It is a well-known fact that Woolf never remained indifferent to Joyce's work. Woolf praised Joyce's *A Portrait of the Artist as a Young Man* in her well-known essay "Modern Novels". Later on, she proceeded to *Ulysses*

[1] In this sense, I would add that it could be even interesting to consider the participants in the modernist parties as pseudo-artist figures, although this should be the object of a different analysis from the one offered here.

[2] Although I have not been able to find real evidence about Woolf's having actually read *Dubliners,* many critics have explicitly established connections between Joyce's work and Woolf's fiction (see, for instance, the case of Suzette Henke, mentioned later on in this article).

when the first chapters of the novel began to appear and were sent to her by Harriet Shaw Weaver, albeit on this occasion she expressed a profound dislike of *Ulysses,* a work that she described to T. S. Eliot as "underbred" and the result of "a queasy undergraduate scratching his pimples" (Ellmann 1983: 528). Notwithstanding, her reaction to Joyce's masterpiece was always highly ambivalent and anything but indifferent. Hermione Lee in her seminal biography of Woolf describes very well the conflicting feelings that Woolf displayed during her reading of *Ulysses* as reflected in the notes she took between 1918 and 1919:[3]

> She tries to do justice to 'the undoubted occasional beauty of his phrases,' his attempt to 'get thinking into literature.' Then she runs up against the insuperable difficulties of what she perceives as Joyce's 'egotism' and his 'desire to shock.' She reproaches herself for injustice while thinking that all he wants to do is 'show off.' She recognises that his method 'cuts out a lot that's dull.' She considers that he is 'quite right, morally, not artistically' to do what he is doing. (Lee 1997: 403)

On Joyce's part, we have only been able to find among his myriad of letters and essays a meagre reference to Woolf in a letter addressed to Harriet Shaw Weaver on 20 July 1918, that runs as follows:

> TO HARRIET SHAW WEAVER
>
> 29 July 1918 *Universitätstrasse* 38, *Zurich*
>
> Dear Miss Weaver: After nine weeks' illness I am at last able to read and write again. I am sorry that the other episodes of *Ulysses* have been delayed. A few days [ago] I sent the sixth episode 'Hades' to Mr Pound with a copy for you and very soon I shall send the seventh 'Eolus.' I received also *The Voyage Out* by Mrs Woolf and shall now begin to read it. I beg you to convey my thanks to her for the interest she has taken in printing of my book. (Joyce 1957: 115-116)

Suzette A. Henke has asserted that "There is no question that her [Woolf's] reading of *Dubliners, Portrait,* and *Ulysses* made an indelible impression on her artistic sensibility" (1986: 40). And, significantly enough, she establishes relationships between Joyce's "The Dead" and Woolf's *Mrs. Dalloway* in the following terms and focusing on the similarities that she detects between Michael Furey (the dead young man mentioned in "The Dead") and Septimus Warren Smith (who commits suicide in Woolf's novel): "Consider, for instance, the similarity between those two romantic martyrs, Michael Furey and Septimus Smith. One dies for love of a woman, the other for a universal, mystical love that cannot survive in a loveless country" (Henke 1986: 40). Henke also relates Gabriel Conroy to Clarissa Dalloway:

[3] Johanna X. K. Garvey, in "Woolf and Joyce: Reading and Re/Vision," studies Virginia Woolf's "*Ulysses* Notebook" and discusses her ambivalent reaction to the book as shown in both the style and topics of *Jacob's Room,* the novel that Woolf was writing while she read *Ulysses*.

> Gabriel Conroy thinks of the young man who died for Gretta's sake: "Better pass boldly into that other world, in the full glory of some passion, than fade and wither dismally with age" […] Similarly, Clarissa Dalloway evaluates Smith's revolutionary act of suicide: "She had once thrown a shilling into the Serpentine, never anything more. But he had flung it away. They went on living… A thing there was that mattered; a thing, wreathed about with chatter, defaced, obscured in her own life, let drop every day in corruption, lies, chatter. This he had preserved. Death was defiance. Death was an attempt to communicate" […]
>
> The two scenes from *Dubliners* and *Mrs. Dalloway* have common roots in Shelley and the romantic tradition. But their resemblance is so striking that it seems more than coincidental. A decade before Woolf's publication of *Mrs. Dalloway*, Joyce provided in "The Dead" a model for a social "party consciousness" invaded by the recognition of death. (Henke 1986: 41)

Henke is, therefore, one of the few critics who have established connections between Joyce's *Dubliners* – "The Dead" in particular – and *Mrs. Dalloway*, since most comparative studies on both authors have focused on the possible influence of Joyce's *A Portrait of the Artist as a Young Man* in Woolf's *Jacob's Room,* or on the technical impact and some thematic echoes of *Ulysses* in works such as *Mrs. Dalloway* or *Jacob's Room*.[4]

It has been acknowledged that Virginia Woolf's short stories have not received the same critical attention as her major novels (Besnault-Levita 2008: 1). It is also worth remembering that many of her short stories were considered by the author herself as sketches for the novels. This is the case of the story in question, "The New Dress", in which we find a middle-aged female character, Mabel, attending a party hosted by Mrs. Dalloway. These circumstances could explain why this short story has been mainly overlooked by critics and, especially if we take into account the many echoes we can find in it of Joyce's "The Dead" and of its protagonist Gabriel Conroy, it is quite inexplicable that comparisons between both texts have not been established up to now. The present contribution intends to fill in this critical omission and offer a comparative analysis of two stories that feature not only a similar topic and akin protagonists but also deploy an analogous structure and symbology.

Some critics have emphasized that "The New Dress" is part of a series of short stories focused on the party motif, written by Woolf between 1922 and 1925, and that also include "Happiness", "Ancestors", "The Introduction", "Together and Apart", "The Man Who Loved His Kind", "A Simple Melody" and "A Summing Up". In fact, these stories were published in a single volume entitled *Mrs Dalloway's Party* in 1973. Notwithstanding, "The New Dress" is, in comparison with the rest of the

[4] Karen Lawrence's "Gender and Narrative Voice in *Jacob's Room* and *A Portrait of the Artist as a Young Man,*" Johanna X. K. Garvey's "Woolf and Joyce: Reading and Re/Vision," and Suzette A. Henke's "Virginia Woolf Reads James Joyce" are representative examples of critical studies focused on the analysis of, respectively, the influence of Joyce's *A Portrait* in Woolf's *Jacob's Room,* of *Ulysses* on *Jacob's Room,* and of the impact of *Ulysses* on *Mrs Dalloway*.

stories mentioned, a much more carefully elaborated, properly structured and symbolically complex narrative. Therefore, it can be argued that the study of "The New Dress" as part of a series of party stories, or its consideration as a sketch for the novel *Mrs Dalloway,* has done little favor to a text that deserves further critical attention due to a thematic and formal excellence that this study vindicates. Furthermore, it is our contention that the dramatic effect of Michael Furey's "appearance" and effect upon Gabriel Conroy at the end of the "The Dead" has probably lead critics to focus on Septimus Warren Smith's similar haunting of Clarissa Dalloway in Woolf's novel. Therefore, it seems that critics have opted for focusing on comparisons between "The Dead" and *Mrs Dalloway*, ignoring that "The New Dress", as literary product, stands on its own and that a consideration of its structure and symbology favours the comparison with Joyce's "The Dead" that we propose here.

Both Joyce's "The Dead" and Woolf's "The New Dress" deploy a three part structure that involves the preparation for and arrival of guests at a party, the celebration of the social event itself and a third and final stage involving the conclusion of the gathering or the moment in which some characters abandon the meeting. We also find in the two stories two adult protagonists suffering an identity crisis that becomes more dramatic on occasion of their attending a party. In Woolf's text, Mabel is taking part in Mrs. Dalloway's party. And in Joyce's "The Dead," Gabriel visits his aunts, the Misses Morkan, for the celebration of the Epiphany. Since the moment of their appearance in the story, both Gabriel and Mabel are featured as too self-absorbed and self-centred characters. Furthermore, they deploy signs of insecurity about their own selves, about their role in society and in their relationships with others. And this insecurity leads both to react in a very similar way, isolating and protecting themselves, adopting what can be described as a defensively and even aggressively preposterous attitude.

The party motif provides the scenario in which both Gabriel's and Mabel's crises are most clearly deployed, since it involves their public interaction with other human beings. The contrast between their unstable self-loathing inner selves and the external public image they want to project is most explicitly exposed on the occasion of such a social event. Virginia Woolf made overt reference in her *Diary* to what she called "the party consciousness" that she wanted to explore in her fiction (Woolf 1980: 12). Therefore, parties are more than mere social gatherings in her fiction and become useful means to reflect on the interactions among human beings and serve as crucial occasions for the exposure of identity crises.

As soon as Mabel and Gabriel enter their respective parties, they begin to feel their own inadequacy and both adopt a defensive even deprecatory attitude with regard to the rest of the guests. Therefore, Mabel thinks about the rest of the participants in the party as "ordinary" and "insignificant": "She could not face the whole horror […] not among all these *ordinary* people" ("The New Dress" 171, emphasis mine), "Rose Shaw and all the other people there as flies, trying to hoist themselves out of something, or into something, meagre, insignificant, toiling flies" ("The New Dress" 171). Similarly, Gabriel offers the reader several instances of his

self-assumed superiority when confronting his aunts' guests: "Gabriel smiled at the three syllables she [Lily] had given his surname and glanced at her" ("The Dead" 139), "He looked up at the pantry ceiling, which was shaking with the stamping and shuffling of feet on the floor above" ("The Dead" 140), "The indelicate clacking of the men's heels and the shuffling of their soles reminded him that their grade of culture differed from his" ("The Dead" 141).

From the very beginning readers detect that Gabriel as well as Mabel have tried to distinguish themselves from their friends not only mentally but even physically, wearing garments that would make this distinction conspicuously evident. Thus, Gabriel's appearance in and defense of galoshes, forcing his wife to wear them since "everyone wears them on the continent" (142), can be compared to Mabel's attempt at being "original". This was the motif behind her decision to take her mother's Paris fashion book of the time of the Empire, since she conceives that women were then "much prettier, more dignified, and more womanly" (170-171). Consequently, Mabel chooses to wear at the party a peculiar dress, a designed garment. As she recalls, "the pale yellow, idiotically old-fashioned silk dress with its long skirt and its high sleeves and its waist and all the things that looked so charming in the fashion book, but not on her, not among all these ordinary people" (43). Both garments (galoshes and yellow dress) function symbolically in the stories since the protagonists' suffering and consequent crises begin immediately as soon as they discover that these items prove to be failed means to protect and single them out from the world and from the people surrounding them. Divested of the protection of their shielding garments, both protagonists make significant and similar moves once they are at their respective parties: Gabriel goes first to a "remote corner of the room" (149) and then "retired to the embrasure of the window" (151), and Mabel moves "straight" to the far end of the room, "to a shaded corner" (170). These movements are intended to preserve their isolation and to protect themselves from public exposure.

Both protagonists also find solace in literature, a bias that, in their own opinion, also dignifies them above their friends. Thus, Gabriel muses over his superior literary tastes that are not shared by the guests at the party ("He was undecided about the lines from Robert Browning for he feared they would be above the heads of his hearers. Some quotation that they would recognize from Shakespeare or from the Melodies would be better" 141), and Mabel recalls once and again her literary interests as something that singles her out and protects her from the anguish of facing the world around her ("Tags of Shakespeare, lines from books she had read ages ago, suddenly came to her when she was in agony, and she repeated them over and over again" 171; "She would go to the London Library tomorrow. She would find some wonderful, helpful, astonishing book, quite by chance, a book by a clergyman, by an American no one had ever heard of" 176). It seems that once garments failed to shield them, they looked for solace in their literary tastes that, in their opinion, prove their superiority and justify their feeling ill-at-ease in the company of those whom they consider less illustrated guests.

Gabriel and Mabel also share personal circumstances. Both are married and have two children. At a given point during their respective parties, they delve into their

private lives and into their past family history with a mixture of nostalgia, regret and failed expectations. Mabel remembers the difficult financial circumstances undergone by her family that, in her opinion, led them to a life of ordinariness and sordidness:

> But it was not her fault altogether, after all. It was being one of a family of ten; never having money enough, always skimping and paring; and her mother carrying great cans, and the linoleum worn on the stair edges, and one sordid little domestic tragedy after another – nothing catastrophic, the sheep farm failing, but not utterly; her eldest brother marrying beneath him but not very much – there was no romance, nothing extreme about them all. ("The New Dress" 175)

In a similar tone, Gabriel Conroy cannot forget his mother's earnest efforts at preserving the dignity of family life and cannot forgive her rejection of his choice of Gretta as a future wife:

> Her photograph stood before the pierglass. She had an open book on her knees and was pointing out something in it to Constantine who, dressed in a man-o'-war suit, lay at her feet. It was she who had chosen the names for her sons for she was very sensible of the dignity of family life. Thanks to her, Constantine was now senior curate in Balbriggan and, thanks to her, Gabriel himself had taken his degree in the Royal University. A shadow passed over his face as he remembered her sullen opposition to his marriage. Some slighting phrases she had used still rankled in his memory; she had once spoken of Gretta as being country cute and that was not true of Gretta at all. It was Gretta who had nursed her during all her last long illness in their house at Monkstown. ("The Dead" 147)

The contrast between their past romantic expectations and the consequent projection of an ideal self of their own, and their present unexceptional circumstances, made evident on the occasion of the parties they attend, prompts the unfolding of the crisis. Thus, Mabel recalls her romantic aspirations and opposes them to the actual conventionality of her marriage:

> For all her dreams of living in India, married to some hero like Sir Henry Lawrence, some empire builder (still the sight of a native in a turban filled her with romance), she had failed utterly. She had married Hubert, with his safe, permanent underling's job in the Law Courts, and they managed tolerably in a smallish house, without proper maids ("The New Dress" 175)

And Gabriel, who had defied his mother's reservations about his future wife, and considered his attachment to Gretta as something unique and special, discovers that his wife had been involved in a really passionate past love story with a man named Michael Furey. The discovery of this previous lover leads Gabriel to acknowledge the lack of romance in his own marriage and to assume the heroic dimension of the young man who died passionately in love with his wife: "Better pass boldly into that other world, in the full glory of some passion, than fade and wither dismally with age". ("The Dead" 176)

This description of Gabriel's relationship with Gretta as "fading and withering dismally with age" parallels Mabel's reflection on her own marriage to her husband Hubert as "One wasn't happy. It was flat, just flat, that was all" ("The New Dress" 176). This final mental confrontation with their respective spouses in the stories was preceded in both narratives by two personal clashes during the party with guests attending it: in Gabriel's case, we saw his disagreement with two women, Lily —his aunts' maid— and a friend from his student years, Molly Ivors; and Mabel's attitude collides with that of two male guests at Mrs Dalloway's party, Robert Haydon and Charles Burt. These confrontations, despite the different motifs that cause them, serve very well to illustrate the difficulties that both protagonists have when interacting successfully with other human beings due to their own insecurities, their lack of social skills and their failure at controlling and imposing their own views.

Anthony Elliott, in *Concepts of the Self,* distinguishes and vindicates the two forces involved in the construction of selfhood: on the one hand, the individual's own agency, in the sense that individuals make interpretations "about themselves, others and society" (Elliott 2008: 9); and, on the other hand, the influence of social and cultural influences, practices and conventions: "In forging a sense of self, individuals routinely draw from social influences, and maintain their sense of self through cultural resources. Social practices, cultural conventions and political relations are a constitutive backdrop for the staging of self-identity" (10). According to Elliott, "Neither internal nor external frames of reference should be privileged" (10). And this is the problem with both Gabriel and Mabel who had tried to impose their individual subjective projection of their own selves without taking into account the social and cultural community of which they are part and that comes to the fore on the occasion of the party. The disparity between the idealised image of their own selves that they had initially projected and the one they discover as members of a community is symbolised in their respective dramatic encounters with the looking-glass, an element that appears at critical moments in both stories and that leads Mabel and Gabriel to visualise a very different image of themselves from the one they had previously contrived:

> Her wretched self again, no doubt! She had always been a fretful, weak, unsatisfactory mother, a wobbly wife, lolling about in a kind of twilight existence with nothing very clear or very bold or more one thing than another, like all her brothers and sisters, except perhaps Herbert – they were all the same poor water-veined creatures who did nothing. ("The New Dress" 176)

> A shameful consciousness of his own person assailed him. He saw himself as a ludicrous figure, acting as a pennyboy for his aunts, a nervous well-meaning sentimentalist, orating to vulgarians and idealizing his own clownish lusts, the pitiable fatuous fellow he had caught a glimpse of in the mirror. ("The Dead" 173)

We find in both stories not only thematic and symbolic concomitances, but also, as we have said, a similar tripartite structure that differentiates the arrival at the party, the party itself, and the protagonists' leaving their hosts. It is precisely in the third section of the stories where, after the identity crisis aggravated by the public

exposure at the party, we find Gabriel and Mabel experiencing a revelatory moment that we could call "epiphanic" in James Joyce's terms or what Virginia Woolf described as a "moment of being" to refer to a similar ordeal. Let us recall that Joyce employed the term "epiphany" in *Stephen Hero,* in order to allude to "a sudden spiritual manifestation, whether in the vulgarity of speech or of gesture or in a memorable phase of the mind itself. [...] the most delicate and evanescent of moments" (1984: 188), and that his brother Stanislaus Joyce made reference to the term again explaining that for Joyce they were "observations of slips, and little errors and gestures —mere straws in the wind— by which people betrayed the very things they were most careful to conceal" (1958: 134). Much has been said and written on Woolf's conception of the so-called "moments of being" and in her well-known autobiographical account "A Sketch of the Past" she related them to "a revelation of some order; it is a token of some real thing behind appearances" (1985: 72). Both Joyce and Woolf were equally vague when referring to "epiphanies" and "moments of being." Notwithstanding, both notions imply a sense of revelation, an experience of recognition. The crucial question, however, is to detect who suffers this revelation, who experiences this recognition: the writer, the character, or the reader?

Let us relate the idea of "epiphany" and of "moment of being" to the two stories we have been analysing, "The Dead" and "The New Dress." The conclusion of "The Dead" hints at a change of attitude in the case of Gabriel. At the end of the day, and no longer protected by his galoshes, he accepts and even welcomes the snow that is falling all over Ireland, "It was falling on every part of the dark central plain, on the treeless hills, [...] he heard the snow falling faintly through the universe and faintly falling, like the descent of their last end, upon all the living and the dead" (176). Gabriel, after all his efforts at singling out his own self, at projecting idealised images of his persona, seems to have finally reconciled himself with his own humanity that, similarly to the snow, inevitably unites him with Michael Furey, with the West and with the rest of human beings.

"The New Dress" offers us a very different ending: "'Lies, lies, lies!' she said to herself, going downstairs, and 'Right in the saucer!' she said to herself as she thanked Mrs Barnet for helping her and *wrapped herself, round and round and round, in the Chinese cloak she had worn these twenty years*" (177, emphasis mine).[5] Mabel abandons Mrs Dalloway's party adopting a similar attitude of rejection, of uneasiness and of distress to the one with which she entered the celebration. Besides, once again she tries to protect herself with a garment that she, symbolically, had been wearing these twenty years – notice the emphasis on "round and round and round."

[5] Angelica Garnet, Vanessa Bell's daughter and Virginia Woolf's niece, recalls in the prologue to her autobiographical account *Deceived with Kindness: A Bloomsbury Childhood,* how Julia Margaret Cameron's mother, that is her own great-great aunt, used to envelop herself in shawls, a habit that she relates to lack of self-confidence: "Julia's mother for instance, one of the famous and beautiful Pattle sisters, did she also suffer from lack of self-confidence? It was she whom Vanessa, as a little girl, remembered enveloped in layer upon layer of shawls" (12). This image which Vanessa Bell remembered could have been shared with Virginia Woolf and, consequently, have been used by the writer in "The New Dress."

In "The New Dress" Mabel is not offered the opportunity to experience a moment of revelation and, it is my contention that it is the reader the one who discerns Mabel's conundrum, that is, her incapacity to accept the ordinariness, the weaknesses and the vulnerability of her human condition, something that Mrs Dalloway in the homonymous novel by Woolf was, by the way, able to detect and accept. Therefore, to a certain extent, Mabel experiences what Woolf would refer to as a "moment of non-being," and it is in this sense in which Woolf's "The New Dress" differs from Joyce's "The Dead," two stories that, as we have seen, have much in common.

Suzette Henke reminded us that, on the occasion of Joyce's death, Woolf wrote in her diary on 15 January 1941: "Then Joyce is dead: Joyce about a fortnight younger than I am." And Henke concludes: "She had always regarded Joyce as a kind of artistic 'double,' a male ally in the modernist battle for psychological realism. In her own life, Joyce played the role of alter-ego that Septimus Smith had played for Clarissa Dalloway" (1986: 41). In the case of "The Dead" and "The New Dress," two stories that certainly favour a comparative study – as we hope to have demonstrated –, we cannot conclude that Gabriel Conroy played the role of alter-ego for Mabel Waring. Gabriel's acceptance of the snow falling all over Ireland acquires special significance if we take into account that this dictum was proffered by his niece Mary Jane, whose performance at the piano he had previously despised. At the end of the story we find Gabriel at rest and he seems to have reconciled himself with his family, with the guests at the Misses Morkan's party, and with his own human foibles. A very different attitude is the one adopted by Mabel who abandons the party with the same pride, anger and insecurity with which she had entered it.

Michael Furey was the detonator of Gabriel's epiphany and the absence of Septimus Warren Smith's from Woolf's story could have encouraged critics to turn their eyes to *Mrs Dalloway*, where he certainly appears and induces Mrs Dalloway's "moment of being", and to consider "The New Dress" as a prior sketch for a more elaborated and rounded later narrative. Notwithstanding, we have contended and demonstrated that Woolf's short story is a carefully designed and structured text, rich in symbology, that deserves further study and that can be even compared with Joyce's well-known text. Therefore, the difference in the ending of the stories, that affects the protagonists' dissimilar reaction as well as the interpretation of the epiphanic insight that Gabriel experiences and that in Mabel's case is rather a moment of non-being whose revelatory dimension is only grasped by the reader, should not refrain critics from studying and even comparing these two literary masterpieces.

REFERENCES

Abbs, C. 2006. "Writing the Subject: Virginia Woolf and Clothes." *Colloquy: Text, Theory, Critique* 11: 209-225.

Besnault-Levita, A. 2008. "Speech-acts, represented thoughts and human intercourse in 'The Introduction' and 'Together and Apart'". *Journal of the Short Story in English* 50. Online since 01 June 2011. Connection on 13 May 2014. URL://jsse.revues.org/689.

Edson, L. G. 1997. "Kicking off her Knickers: Virginia Woolf's Rejection of Clothing as Realistic Detail". In *Virginia Woolf and the Arts: Selected Papers from the Sixth Annual Conference on Virginia Woolf*. Eds. Diane F. Gillespie and Leslie K. Hankins. New York: Pace University Press. 119-124.

Elliott, A. 2008. *Concepts of the Self*. Cambridge: Polity Press.

Ellmann, R. 1983. *James Joyce*. Oxford: Oxford University Press.

Flynn, D. 1999. "Virginia Woolf's Women and the Fashionable Elite: On Not Fitting In." *Virginia Woolf and the Communities*. Eds. Jeanette McVicker and Laura Davis. Introd. Georgia Johnston. New York: Pace University Press. 167-73.

Garnett, A. 1995. *Deceived with Kindness: A Bloomsbury Childhood*. London: Pimlico.

Garvey, Johanna X. K. 1994. "Woolf and Joyce: Reading and Re/Vision." *Joyce in Context*. Eds. Vincent J. Cheng and Timothy Martin. Cambridge: Cambridge University Press. 40-54.

Henke, S. A. 1986. "Virginia Woolf Reads James Joyce: The *Ulysses* Notebook". *James Joyce. The Centennial Symposium*. Eds. Morris Beja, Phillip Herring, Maurice Harmon and David Norris. Chicago: University of Illinois Press. 39-42.

Holmes, R. 2000. "Clothing and the Body: Motifs of Female Distress in Virginia Woolf and Katherine Mansfield." *Virginia Woolf Bulletin of the Virginia Woolf Society of Great Britain* 3: 9-14.

Joyce, J. 1957. *Letters of James Joyce*. Ed. Stuart Gilbert. London: Faber & Faber.

Joyce, J. 1984, *Stephen Hero*. Ed. Theodore Spencer. London: Granada.

Joyce, J. 2000. *Dubliners*. Ed. Jeri Johnson. Oxford: Oxford University Press.

Joyce, S. 1958. *My Brother's Keeper*. Ed. Richard Ellmann. London: Faber and Faber, 1958.

Koppen, R. S. 2009. *Virginia Woolf, Fashion and Literary Modernity*. Edinburgh: Edinburgh University Press.

Laing, K. S. 1997. "Addressing Femininity in the Twenties: Virginia Woolf and Rebecca West on Money, Mirrors and Masquerade." *Virginia Woolf and the Arts: Selected Papers from the Sixth Annual Conference on Virginia Woolf*. Eds. Diane F. Gillespie and Leslie K. Hankins. New York: Pace University Press. 66-75.

Lawrence, K. 1986. "Gender and Narrative Voice in *Jacob's Room* and *A Portrait of the Artist as a Young Man*". *James Joyce. The Centennial Symposium*". Eds. Morris

Beja, Phillip Herring, Maurice Harmon and David Norris. Chicago: University of Illinois Press. 31-38.

Lee, H. 1997. *Virginia Woolf.* London: Vintage Books.

McLoughlin, K. 2015. "Introduction: A Welcome from the Host". *The Modernist Party.* Ed. Kate McLoughlin. Edinburgh: Edinburgh University Press.

Woolf, V. 1988. "Modern Novels." *The Essays of Virginia Woolf III (1919-1924).* Ed. Andrew McNeillie. London: The Hogarth Press. 30-37.

Woolf, V. 1985. "A Sketch of the Past". *Moments of Being.* Ed. Jeanne Schulkind. San Diego, New York & London: Harcourt Inc.

Woolf, V. 1991. *The Complete Shorter Fiction.* Ed. Susan Dick. London: Grafton.

Woolf, V. 1980. *The Diary of Virginia Woolf, vol.3. 1925-1930.* Eds. Anne Olivier and Quentin Bell. London: Hogarth Press.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 49-76. http://doi.org/10.18172/jes.5738

FROM SYNTAX TO PHRASEOLOGY: A PHRASEOLOGICAL APPROACH TO SCHEMATIC CAUSED-MOTION CONSTRUCTIONS IN ENGLISH

RODRIGO GARCIA ROSA
Department of Modern Languages, University of Sao Paulo, Brazil
rodrigo.rosa@usp.br

ABSTRACT. This article presents the main grammatical characteristics of English constructions generally referred to as *complex transitive constructions* (Quirk et al., 1985), *causative resultatives* (Goldberg and Jackendoff, 2004) and *caused-motion constructions* (Goldberg, 1995, 2006, 2018). It is claimed, in light of some empirical corpus-based studies (Hampe, 2010; Rosa, 2020; Xia, 2017) that low-level phraseological constructions such *'talk some sense into somebody'* play a crucial role in motivating the entrenchment and use of highly schematic caused motions such as *'Frank sneezed the foam off the cappuccino'*. In order to support this view with empirical data, we present the analysis of 1284 caused-motion utterances extracted from the Corpus of Contemporary American English (COCA), out of which we were able to identify 12 fixed expressions and 9 statistically attested phraseologisms. At last, we discuss the implications that such relationship between grammar and phraseology may present in the understanding of schematic structures such as the caused motion.

Keywords: Construction Grammar, caused-motion constructions, phraseologism, schematic constructions, teaching, get.

DE LA SINTAXIS A LA FRASEOLOGÍA: UN ENFOQUE FRASEOLÓGICO A LAS CONSTRUCCIONES ESQUEMÁTICAS DE MOVIMIENTO CAUSADO EN INGLÉS

RESUMEN. Este artículo presenta las principales características gramaticales de las construcciones inglesas generalmente denominadas *construcciones transitivas complejas* (Quirk et al., 1985), *causativas resultante*s (Goldberg and Jackendoff, 2004) y *construcciones de movimiento causado* (Goldberg, 1995, 2006, 2018). Se afirma, a la luz de algunos estudios empíricos basados en corpus (Hampe, 2010; Rosa, 2020; Xia, 2017), que las construcciones fraseológicas de bajo nivel como 'talk some sense into somebody' desempeñan un papel crucial a la hora de motivar el afianzamiento y el uso de movimientos muy esquemáticos provocados como *'Frank sneezed the foam off the cappuccino'*. Para respaldar este punto de vista con datos empíricos, presentamos el análisis de 1284 expresiones de movimiento causado extraídas del Corpus of Contemporary American English (COCA), de las cuales pudimos identificar 12 expresiones fijas y 9 fraseologismos comprobados estadísticamente. Por último, discutimos las implicaciones que dicha relación entre gramática y fraseología puede presentar en la comprensión de estructuras esquemáticas como el movimiento causado.

Palabras clave: Gramática de la construcción, construcciones con movimiento causado, fraseologismo, construcciones esquemáticas, enseñanza, *get*.

Received 29 April 2023

Revised version accepted 16 November 2023

1. INTRODUCTION

The role played by formulaicity in real communication is of indisputable importance in current linguistic theory (Ellis, 2008, 2013; Moon, 1998; Wray & Perkins, 2000; Wray, 2002, Wulff, 2008). However, not until recently had cognitive models of language recognized its importance in speakers' cognition. This may be due to the long-lasting commitment to a modular view of language, which pulled syntax and the lexicon apart as independent modules. Contrary to this belief, are the various current cognitive linguistic approaches (Goldberg, 1995, 2006, 2013; Langacker, 2013) for which no clear-cut boundaries can be drawn in the structure of language (Evans, 2012; Lakoff, 1991). Instead, for cognitive linguistics, as well as for other empirical approaches to language, such as corpus linguistics (Gries, 2006, 2008, 2012; Sinclair, 1991, Wulff, 2008), syntax and the lexicon are believed to form a continuum of conventional symbolic units (Langacker, 1987), or constructions (Goldberg, 1995), which exhibit different levels of complexity, specificity and schematicity (Evans, 2012).

In other words, these nonmodular views of language are able to accommodate, within the same theoretical framework, highly schematic argument structure constructions such as the caused-motion construction in (1) as well as conventional phraseologisms that instantiate these schematic constructions as (2).

(1) She takes after my dad's side of the family, which is a drag because they're all alcoholics and *drink themselves into an early grave*. (MAG/2002) [1]

(2) First, we'll invest in the American worker. We will *breathe new life into your very rundown highways, railways, and waterways*. (SPOK/2018)

Constructions in (1) and (2) are analyzed as two ends of a continuum. In (1), considering that the oblique argument *into an early grave* is not subcategorized by the prototypical argument structure of the predicate *drink,* this oblique argument can be said to respond to demands at a more schematic, abstract, constructional level. In spite of instantiating the schematic and abstract [Subj V Obj Obliq] construction, expressions like *[they] drink themselves into an early grave* may thus serve as evidence of speakers' constructional knowledge of this syntactic structure. In (2), on the other hand, *breathe new life into your very rundown highways, railways, and waterways*, which is also a structural instance of the scheme [V Obj Obliq], seems to be a rather stable, fixed and semantically condensed version of this scheme, that is, a phraseologism. Evidence to that is that *breathe* is the first lemmatized collocate in the verbal slot of the scheme *V life into* on COCA Corpus (Table 1), as well as the fact that *breathe life into* is recognized as an idiom[2], thus a kind of phraseologism, in some dictionaries[3].

Table 1. COCA search for Verb *'life into'*

Verb	Freq. V + *'life into'*	General Freq. of V	% of V + *'life into'*	MI score
breathe	886	20288	0.34	9.11
bring	813	197497	0.01	4.13
inject	812	2883	0.14	7.84
pour	419	15385	0.03	4.42
blow	391	37579	0.01	4.13
pump	345	14814	0.01	4.48
divide	207	15899	0.01	4.37

As the data above show, *breathe life into* shows a considerable level of syntactic fixedness which is evidenced by the high level of attractiveness between *breathe*

[1] The examples provided here have all been taken from COCA. The information at the end of the sample refers respectively to the textual genre the sentence was taken from as well as the year of publication.

[2] The word *life* in *breathe life into something* can be modified by the adjectives *new* or *fresh*. Thus, the phraseologism is a type of *formal idiom* (Fillmore, Kay & O'Connor, 1988) in which not all slots are lexically fixed.

[3] *Breathe life into something* appears as a conventional idiom in the following online dictionaries: Longman Dictionary of Contemporary English, Cambridge Academic Content Dictionary and Merriam-Webster.com Dictionary.

and *life into*. The MI score[4] of 9.11, way above the conventionally accepted 3.0 for statistical significance, indicates a strong probability for *breathe* and *life into* to co-occur in the data (McEnery and Hardie, 2012; Brezina, 2018).

Therefore, the constructional approach to the expressions exemplified in (1) and (2) is able to provide an integral account of their form-functional properties under the same framework by positing that the schematic caused motion in (1) and the caused-motion phraseologism in (2) are two ends on a continuum, that is, the completely schematic (1) on one end and completely lexicalized (2) on the other end. Additionally, empirical studies on corpora data (Gries, 2006, 2008, 2012; Hampe, 2010; Sinclair, 1991, Wulff, 2008) show that low-level phraseological constructions play an essential role in the entrenchment and use of grammatical structures in adult language use (Hampe, 2010), in learner production (Rosa, 2020) as well as in first language acquisition contexts (Goldberg, 1995; Israel, 2004, Tomasello, 2003). All things considered, this paper adopts a constructional "what you see is what you get" approach (Goldberg, 2003: 229) to the relationship between schematic constructions and phraseologisms and seeks to contribute to this literature by claiming that phraseologisms – crystalized instances of schematic constructions – contribute to the entrenchment of abstract structures, along the lines of what has been claimed in Rosa (2023) in the context of English language teaching.

The following sections advocate for the significance of phraseology to the entrenchment of abstract grammatical constructions (the caused-motion construction) by showing that English has a number of prefabricated caused-motion phraseologisms which are independent from their corresponding abstract structures. After that and in the form of a case study, the paper then offers an empirical discussion of the highly polysemous predicate *get* and its most frequent phraseologisms based on the compilation and analysis of 1284 utterances extracted from COCA Corpus.

2. BACKGROUND TO CAUSED MOTIONS: COMPLEX TRANSITIVE CONSTRUCTIONS

Transitive complementation has been one of the main foci of attention in grammatical studies due to the centrality that verbs have always had in the analysis of grammar. Dating back to Fillmore's case grammar (Fillmore, 1968), the canonical analyses aimed at identifying the semantic roles (called *cases* in Fillmore's theory) required by different verbs. These semantic requirements, determined in the deep structure, would be held responsible for the wellformedness and/or (un)grammaticality of the surface structure constructions. With that in mind, sentences such as (3) and (4) below would be rendered ungrammatical as a result

[4] McEnery & Hardie (2012: 247) define MI score as "a statistic that indicates how strong the link between two things is. Mutual information can be used to calculate collocations by indicating the strength of the co-occurrence relationship between a node and collocate".

of the omission of essential cases demanded by the predicative relations established by the verb.

(3) *Mary gave the book.

(4) *I saw.

In case grammar parlance, the ungrammaticality (or unacceptability) of the sentences above results from what the conceptual structures of the verbs *give* and *see* require as complements. *Give* is a three-place predicate that demands a subject, a direct object and an indirect object, whereas *see* is a two-place predicate that requires a subject and an object. The ungrammaticality of (3) and (4) was accounted for by the absence of all the case relations established in the deep structure. As such, the semantic relations could not be mapped onto the syntax on the surface structure, thus affecting the wellformedness of the sentences. These predicative relations, as established by verbs and their semantic-syntactic requirements, have been the norm in mainstream linguistics (Chomsky, 1965, 1981; Lyons, 1968, 1977) ever since, but they have also been widely adopted in general language studies, from descriptive grammars (Carter and McCarthy, 2006; Quirk et al., 1985) to pedagogical grammars of English (Celce-Murcia; Larsen-Freeman, 1999).

Based on the lexicalist approach exemplified in (3) and (4), valency relations were determined by specific classes of verbs and their complementation patterns. For instance, by the name of *complex transitive complementation*, Quirk et al. (1985) analyze sentences such as (5) and (6) below by projecting the semantic relations of specific verbs onto the structure of clauses.

(5) She presumed *that her father was dead.*

(6) a. She presumed *her father to be dead.*

b. She presumed *her father dead.*

(Quirk et al., 1985: 1195)

In the analysis proposed, Quirk et al. (1985) claim that the italicized elements in (6b) are to be analyzed in association with the predicative relations between a nominal subject and a predicate in simple nominal clauses. The post-verbal complements *her father* and *dead* are then analyzed respectively as an *object* and an *object complement*. Thus, *her father dead in* (6b) would be a small and reduced version of the infinitive clause in (6a), which could in turn be expanded into the *that*-clause in (5). The complementation of *dead* in relation to *her father* is exemplified below.

(7) She presumed [*her father* [*dead*]].

= object complementation

The same analysis is extended to complex transitive sentences in which the post-verbal complements denote respectively a THEME and an oblique complement with a directional interpretation, as (8) and (9) below.

(8) In a normal setting, she would *push* them *out of the way* with a flick of the fingers (Fiction/2017)

(9) Men's Central? Yeah. I want to *get* him *into protective custody*. (TV/2016)

According to Quirk et al. (1985), in sentences such as (8) and (9), the italicized PPs following the direct objects are *predication adjuncts* which, say the authors, are customarily of two types: 1) prepositional phrases of space; and 2) prepositional phrases of direction. The examples provided are given below.

(10) I slipped the key *into the lock*.

(11) He stood my argument *on its head*.

(12) The attendant **showed** us *to our seats*.

(13) May I **see** you *home*?

(14) They **talked** me *into it*.

(Quirk et al., 1985: 1201)

Sentences (10), (12), (13) and (14) all exemplify adjuncts denoting *direction*, whereas (11) presents a spatial adjunct with a metaphorical reading. The authors draw attention to the fact that this clause pattern takes causative verbs (e.g. *put, get, stand, set, lay, place, send, bring, take, lead, drive,* etc.), but also accepts non-causative events such as the ones in (12), (13) and (14), whose verbs could, respectively, be paraphrased as *conducted*, *escort* and *persuaded*.

The analysis satisfactorily accounts for data of the type exemplified in (10) and (11), given that the clause patterns are mirrored by the verbal semantics. That is, one need not even posit directional or locative phrases labelled *adjuncts*, since they are predicted by the lexical-semantic demands of the main predicate. Instead, these directional and locative expressions could be considered complements. On the issue of PPs as complements, Lyons (1977: 495 - 496) states that "most recent treatments of case-grammar tend to give the impression that only nominals may fulfill valency-roles in the propositional nuclei of sentences. This is not so. Locative (and directional) adverbs may also occur as the complements of the appropriate verbs […]".

Should one consider that the predicative relations in clauses are derived from the conceptual structure of verbs, the directional in (10) and the locative in (11) cannot

be adjuncts since adjuncts are *circumstantial* and *non-core* elements in the structure of sentences. Another descriptive problem that emerges from considering directional expressions, this time in (12), (13) and (14), as adjuncts lies in the fact that, as Quirk et al. (1985) themselves stated, verbs such as *show*, *see* and *talk* are not causative in their prototypical use. If *to our seats*, *home* and *into it,* respectively in (12), (13) and (14), were real adjuncts, hence non-core sentence elements, their deletion would not jeopardize the grammaticality and/or acceptability of the sentences, which is what the sentences below seem to demonstrate, with the exception of *talk*, which is intransitive.

(15) The attendant **showed** us ~~*to our seats*~~.

(16) May I **see** you ~~*home*~~?

(17) *They **talked** me ~~*into it*~~.

As the examples above show, the deletion of the so-called adjuncts does not compromise the acceptability of the sentences, considering that the valency of *showed* and *see* is satisfactorily completed by *us* and *you* functioning as complements. However, in spite of the grammaticality maintained in (15) and (16), can we still paraphrase the verbs in (15), (16) and (17) to mean *conducted*, *escort* and *persuaded*? The answer is clearly "no" and this seems to suggest that such verbs only accept new meanings when they are integrated with sentential structures that predict the realization of directional PPs as sentence arguments. In order to reconcile the analysis of directional PPs as adjuncts and non-causative verbs that conform to the patterns in (15), (16) and (17), the explanation should posit that the verbs *show, see* and *talk,* for instance, would respectively mean:

(i) to conduct someone up to a place by showing the way;

(ii) to escort someone somewhere;

(iii) to persuade someone to do something by talking to them.

Such an explanation, though efficient with the data above, would face empirical problems, given the number of verbs which could conform to such a pattern. Also, should the verbs really encapsulate the meanings in (i), (ii) and (iii), the directional PPs would have to be essential elements for the grammaticality of the sentences with such verbs and their deletion would render the constructions unacceptable. As (15), (16) and (17) showed, this is not the case. Instead, these data seem to be on better descriptive grounds if we propose a rather simple and intuitive explanation. That is, as we have discussed before, such verbs seem to mean what they mean only when the sentential pattern, one with a caused-motion meaning, *coerces* them to denote a causative event. In other words, the schematic [Subj V Obj Obl] frame, rather than the verb, subcategorizes an oblique argument which can be instantiated

by a directional PP. This seems to elegantly account for the type of expressions exemplified thus far, especially those of a more schematic nature such as (1).

Proposals of schematic events at the semantic level that operate with pre-event notions of MOTION, EFFECT, RESULT, etc. and that do not rely on the verbs that instantiate these relations, had already been put forward (Lyons, 1977), but not until the advent of construction grammar (Fillmore, Kay and O'Connor, 1988; Goldberg, 1995; Langacker, 1987) did the idea of meaningful sentential schemes gained momentum in linguistics. In the following section, we describe a Cognitive Construction Grammar account of these complex transitive constructions.

3. FROM VERBS TO CONSTRUCTIONS

Goldberg (1995, 2006, 2013) also addresses the descriptive problems of accounting for the data (15) to (17) through a postulation of extra verb senses or by compositionally explaining the meaning of such constructions via processes of integration between the semantics of the verb and the prepositional phrase. For the linguist, such impossibilities back up an alternative explanation that defends the existence of an independent construction formally codified as [Subj [V Obj Obl]], where V is a nonstative verb and Obl is a directional phrase. This independent construction functionally portrays a central scene in which an X CAUSES Y TO MOVE Z encompassing all expressions of the kind below.

(18)They *laughed* the poor guy out of the room.

(19)Frank *sneezed* the tissue off the table.

(20)Mary *urged* Bill into the house.

(21)Sue *let* the water out of the bathtub.

(22)Sam *helped* him into the car.

(23)They *sprayed* the paint onto the wall.

(Goldberg, 1995: 152)

To Goldberg, the expressions above behave quite idiosyncratically since their grammatical properties cannot be satisfactorily explained via processes of compositionality. The first point of refutation comes from the fact that certain verbs that appear in caused motions are not causative per se ((24) to (26)), that is, they do not denote any sort of dislocated motion when they appear in contexts other than the constructional pattern [Subj [V Obj Obl]]).

(24)Joe *kicked* the dog into the bathroom.

(25)Joe *hit* the ball across the field.

(26)Frank *squeezed* the ball through the crack.

(Goldberg, 1995: 153)

Kick and *hit* do not exhibit any trait of dislocated causation and *squeeze* does not imply any sort of motion caused by the event on its object. Furthermore, verbs with different numbers of arguments can be hosted by the construction. Caused motions can host and are licensed with one-place predicates like *laugh, sneeze, cry* (27), two-place predicates like *speak, drink, help* (28) and three-place predicates like *put, get, add* (29). These data reinforce the thesis that the constructional properties of motion and causation found in the sentences cannot reflect the argument structure semantics of the verb.

(27) a. But I guarantee he's going to *laugh* you out of his office. (TV/2004)

b. Thought he'd *sneeze* himself right off the shrouds on the way up here (Fiction/2007)

c. I think in some quite literal sense, he *cried* himself into a space where he couldn't continue (Fiction/2005)

(28) a. After all He created it and I figure anyone who can *speak* the universe into existence also has the power to control climate. (Blog/2012)

b. You said your brother *drank* himself to death literally. (Spoken/2014)

c. Gavin *helped* him into the box. (Fiction/2012)

(29) a. We're going to box these things up in just a minute and *put* them on some trucks (Blog/2012)

b. I can *get* you into the house on two conditions. (TV/2010)

c. please share with me which ones you like, so I can *add* them to my list. (Blog/2012)

In defense of a constructional explanation for independent caused motions, Goldberg also discusses the treatment given by some analyses that aim to account for the data above based on the association between compositionality and the pragmatic inference of the construction. Gawron (1985) and Pustejovsky (1991) both defend that caused motions are the result of a compositional *co-predication* between the verb and the directional PPs, the latter being either considered adjuncts or arguments, while the reading of causation would be pragmatically inferred. Goldberg refutes the idea that the directional PPs are arguments required by the conceptual structure of verbs because, as we have already discussed, this could only

be envisaged in a model that would force verbs to have extra senses (see (i), (ii) and (iii) above). This model would even force one-place predicates like the ones in (27) to have an additional meaning to account for the two internal arguments (= Obj and Obl), none of which are licensed by the actual meaning of *laugh, sneeze* or *cry*. On the other hand, treating the directional PPs as adjuncts could not be the case, since these do not have the semantic reading of usual PP adjuncts (as in *she left the note* in the room); also, as discussed previously, were these adjuncts, we could expect them to allow for deletion without compromising the meaning of the verb. Lastly, on the idea that the causation is pragmatically inferred, this analysis would not rule out the fact that certain verbs are not allowed in the caused-motion construction like *encourage*, *persuade* or *convince*.

(30) *She *encouraged/persuaded/convinced* me into the room.

The refutations to a lexicalist view, that is, that such constructions are operated by the semantics of the verbs or licensed by general pragmatic principles, corroborate the idiosyncratic nature of the caused-motion construction and reinforce the constructional thesis, for which (27) to (29) exemplify an independent kind of structure that features in the grammatical knowledge of speakers. Caused motions are then one independent kind of construction and are schematically represented in the matrix below.

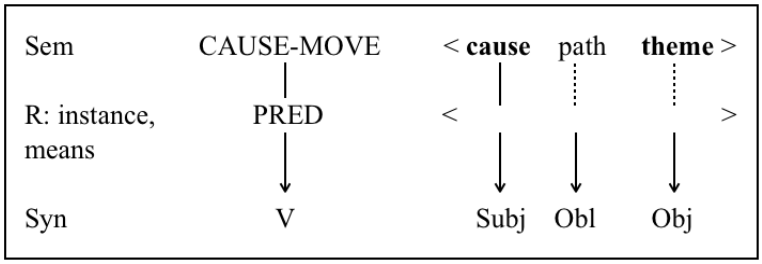


Figure 1. Central caused-motion construction (Goldberg, 1995, p. 160).

The matrix above represents the central sense of the caused motion, that is, the construction is a form-function pairing in which the *Sem*(antics) specifies a scenario in which X CAUSES Y TO MOVE Z and the *Syn*(tax) is structured as [Subj [V Obj [Obl]]]. The PRED(icate) position in the matrix above is meant to host the main verb of the construction.

As was said previously, the central meaning of the caused motion is one in which an X CAUSES Y TO MOVE Z, but the construction also exhibits different and extended senses. These distinct senses result from the integration between a prototypical kind of causation presented in Fig.1 and different verb classes. Goldberg (1995) presents three extended senses that are motivated by the central meaning and claims that

each particular sense represents a modified extension of the causation in the central construction, that is, the central caused-motion construction motivates, via semantic linking rules of polysemy, all of the following types of caused motions: causes to move by *enabling* (31), causes *not* to move by *preventing* (32) and causes to move by *helping* (33).

(31) a. …*allow* people out of the dark and into the sunlight as well. (News/2005)

b. We're not truly free unless we can *release* them into the world. (Movie/2016)

(32) a. …injuries *kept* him out of the ring for nearly two years. (News/2019)

b. This is the type of thing that can *trap* people into the lower classes. (Blog/2012)

(33) a. I wish I could *show* you out of my garden… (Blog/2012)

b. Telling you, man, I just *walked* her out of the bank. (TV/2007)

Therefore, the model is able to motivate the use of slightly different instantiations without the need to postulate new and independent constructions. This is how the model sees the relationship between schematic grammatical argument structure constructions, such as the caused motion, and more conventional and lexicalized expressions, such as the caused-motion phraseologisms *get the message out, get the word out*, etc. for instance.

4. FROM CONSTRUCTIONS TO PHRASEOLOGISMS

Thus far we have examined the relationship between a central caused-motion construction and its so-called extended senses. These are said to inherit their form-functional properties from the central sense X CAUSES Y TO MOVE Z via semantic links of polysemy. Nevertheless, inheritance relations can be mediated by different types of semantic links: polysemy, metaphorical extension and instantiation.

The *instance links* (abbreviated I_i) occur when one construction in particular is considered to be a special case of another construction, that is, an instance of a more general pattern, as the name itself suggests. Thus, lexically specified constructions with a fixed and conventional/idiomatic meaning, and which are formally similar to other more schematic constructions, are said to inherit their formal and/or semantic properties from such more general constructions via links of instantiation. Goldberg (1995) exemplifies this relation with the idiom *drive X crazy/bananas/bonkers/over the edge* whose result argument is restricted to a group of words connoting *insanity*. In *drive x crazy*, both the formal aspects and the semantics of the expression resemble the more general resultative construction in that prototypical resultatives are formally structured as [Subj V Obj Obl_{Adj}] while

functionally representing a scene in which X CAUSES Y TO BECOME Z, that is, exactly the scene portrayed by *drive x crazy* in (34) and (35) below.

(34) The whole women equality thing *drives me crazy* on a more personal level than the workplace. (Web/2012)

(35) … and had a rattail in back to throw off the flattop and *drive us crazy* with mystery. (Fiction/2019)

It is important to remember that, given Goldberg (2006) definition of constructions, lexicalized expressions like *drive x crazy* can be considered constructions in their own right, as long as they are conventionalized ways of conveying the ideas they express.

> Any linguistic pattern is recognized as a construction as long as some aspect of its form or function is not strictly predictable from its component parts or from other constructions recognized to exist. In addition, patterns are stored as constructions even if they are fully predictable as long as they occur with sufficient frequency. (Goldberg, 2006: 5)

To test whether *drive x crazy* empirically has a constructional status in language use, a search on COCA for the lemmatized verbs co-occurring with the result argument *crazy* was conducted. The search generated the figures in Table 2.

Table 2. COCA search for Verb Obj *'crazy'*.

Verb	Freq. V + *'crazy'*	General Freq. of V	% of V + *'crazy'*	MI score
know	886	2112737	0.04	0.69
go	813	1262075	0.06	1.31
think	812	1493360	0.05	1.06
call	419	371200	0.11	2.12
drive	391	120747	0.32	3.64
get	345	1744578	0.02	-0.39
make	207	1028279	0.02	-0.37
like	145	2368863	0.01	-2.09
say	142	969302	0.01	-0.83
see	138	1258974	0.01	-1.25

The search utilized to generate the results above established a span of three positions for the occurrence of the result argument *crazy*. Therefore, many of the verbs contained in the table are not grammatically related to the argument *crazy* in a causative relation. This is the case of *know* for which most instances are sentences

like *I know you're crazy* or *I know it sounds crazy, but if you just…* Thus, *drive* is the first verb occurring with *crazy* which describes a CAUSE TO BECOME scene. On top of that, *drive* is the only verb whose MI score is above the conventionally accepted 3.0 and, which shows that it occurs statistically significantly with the result *crazy*. The figures for *drive* should then be read as follows: *drive* occurs 120.747 times in the entire corpus, out of which 391 occurrences collocate with *crazy*. This corresponds to a general percentage of 0.32 and represents a level of mutual attraction between *drive* and *crazy* of 3.64, which is above the conventionally accepted 3.0 for statistical significance. Despite being fully predictable from the schematic caused motion, these figures corroborate that *drive x crazy* is a frequent, conventional and entrenched expression while also being an independent construction on its own, given its attested level of discourse salience (Langacker, 2013; Boswijk and Coler, 2020). All things considered, one cannot dispute the fact that the formal and functional properties are of the expression are inherited from the more schematic resultative constructions though, since it also features a [Subj V Obj Obl_{Adj}] form and a scene in which someone causes someone else to become something, exactly what schematic resultatives represent. The relationship between resultatives and the idiom *drive x crazy* is represented in the matrices below.

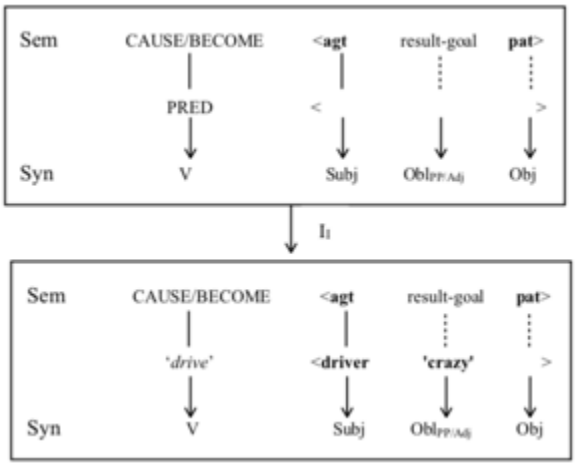


Figure 2. Resultatives and *'drive X crazy'* (Goldberg, 1995, p. 80).

Inheritance links, claims Goldberg (1995), are an important aspect of language knowledge in that they can be viewed as cognitive strategies that speakers make use of to generate new linguistic material. Thus, recurring inheritance links that mediate processes between constructions and that account for the motivation of certain constructions in light of others can be said to have a high type frequency, thus having a determining role in the productivity of newly learned constructions, especially in the context of L2 learning (Rosa, 2020). In other words, recurring inheritance links can be the closest idea in Construction Grammar to general

grammatical rules, since they can be seen as the strategies that speakers will productively resort to in the creation of new language expressions while extending these from other existing constructions.

Therefore, these inheritance operations, and instance links in special, are important phenomena in the explanation of language use, both in general language description and also in the foreign language learning and teaching contexts. In the context just mentioned, for instance, learners may either fail to use some of the links recurrently applied by native speakers in certain constructions or make use of different links when compared to the ones natives productively use. We pursue this line of reasoning to defend that inheritance links of instantiation are the mediators between generalized caused motions and specific phraseologisms, which will for its part serve as important exemplar tokens for the entrenchment of the schematic type. This view is believed to be endorsed by some empirical corpus-based analyses of constructions, such as Boas' concept of 'mini constructions' for resultatives (Boas, 2003), as well as some theoretical usage-based positions that claim for the relevance of verb-specific constructions such as Croft (2012).

> In the usage-based, exemplar analysis, a speaker's knowledge of language consists of a cluster of occurring exemplars to which the speaker has been exposed. The exemplar cluster may license novel Resultative constructions, with novel verbs and Result phrases (and combinations thereof) if the cluster is large enough – i.e. high enough type frequency – and semantically sufficiently coherent (Bybee 1995; Barðdal 2008) (Croft, 2012: 391)

The view defended above is that low-level, lexicalized expressions, as constructions themselves, are capable of licensing novel uses of the schematic constructions to which they correspond as long as they are sufficiently frequent and semantically coherent. The relevance of low-level constructions, that is phraseologisms, for the constructional category as a whole has been foregrounded in some corpus-based analyses, as we will show in the next section.

5. FROM PHRASEOLOGISMS *BACK* TO CONSTRUCTIONS

Hampe (2010) addresses the issue of *causative resultatives,* the term used by Goldberg and Jackendoff (2004) to name constructions known as *caused motions* and *resultatives* in the constructional tradition. Nevertheless, differently from Goldberg (1995), Goldberg and Jackendoff (2004) and Barðdal (2006), Hampe (2010) claims about the relationship between schematic and lexical constructions, as observed in children and adult language corpora, support a research agenda that foregrounds the importance of the lexical material in the use and productivity of general caused motions (Boas, 2003; Croft, 2003; Goldberg, 2006; Xia, 2017). For Hampe (2010), though, the role of low-level lexical constructions is significantly relevant in the evaluation that metaphors play in the interpretation of caused motions and resultatives. In special, Hampe (2010) aims to reevaluate the role that

metaphorical extensions play in the sanctioning of resultatives from caused motions by proposing that such extensions are lexically motivated. In her own words,

> Viewing metaphorical extensions as a strictly local, lexically determined phenomenon, and emphasizing the role of verb-class based constructions (vis-à-vis totally schematic ASCs), this study works towards an alternative account of the growth of a constructional network. (Hampe, 2010: 188)

In other words, the proposal aims to offer, in a similar fashion to what has been proposed by Croft (2012), an alternative explanation for Goldberg's metaphorical reading of the PP *to anger and boredom* in (37) as a metaphorical extension from the spatial denotation of the directional *out of the way* in (37) (Goldberg, 1995).

(36) The warm air pushes other air [$_{PP}$ out of the way] (literal motion)

(37) At times it drove his audience [$_{PP}$ to anger and boredom] (figurative motion)[5]

In metaphorical caused motions like (37), the host object, claim Goldberg and Jackendoff (2004), is said to be caused to change its state, just like what happens to prototypical resultatives (eg. *she drives me crazy*). Thus, in metaphorical caused motions, the PP argument is said to acquire a resultative meaning. Goldberg and Jackendoff (2004) call these two types of constructions *path* (eg. *get you into the party*) and *property* resultatives (eg. *get you into trouble*). The same sort of analysis had already been put forward in Goldberg (1995), for whom these language data were explained in terms of metaphorical link extensions, as we discussed previously. Hampe (2010) objects to this reinterpretation of the data by stating that the unification of both constructions under the title of *causative resultatives* represents a symbolic discrepancy for metaphorical caused motions, since they are *formally path* and *functionally property*. Hampe (2010) seems to view the phenomenon in similar fashion to some research (Boas, 2013; Xia, 2017), which shows that in cases where the prepositional complement of a caused-motion construction has a non-spatial figurative reading (as in (37))[6], the PP complement seems to form a lexicalized expression with the verb (eg. *put __ in order*). This can be evidenced by

[5] The terms *figurative* and *metaphoric* here are not being used interchangeably. Following Dancygier and Sweetser (2014), *figurative* will be used to refer to the reading that certain expressions might have as a result of a metaphoric or metonymic relationship maintained between that expression and another *literal* one. Dancygier and Sweetser (2014) definition of the terms state that "**figurative** means that a usage is motivated by a metaphoric or metonymic relationship to some other usage, a usage which might be labeled *literal*. And *literal* does not mean 'everyday, normal usage' but 'a meaning which is not dependent on a figurative extension from another meaning".

[6] The *property resultative 'get __ into trouble'* was also analyzed as a low-level construction in Rosa (2014). Based on naturally occurring data extracted from COCA, the analysis showed a high level of statistical attraction between the phrasal pattern *'V __ into trouble'* and the lexeme *'get'*. The quantitative analysis motivated us to consider *'get ___ into trouble'* a recurring phraseologism, or a low-level construction.

the intolerance caused by the substitution of *in order* by other elements: **put _ in chaos, *put _ in disaster, *put _ right*. In other words, this means that the lexicon is preempting some form of general syntactic or semantic operation while sanctioning the expression *put _ in order*. Were this not the case, that is, if *put _ in order* were a simple instantiation of the schematic caused-motion construction, in theory, commutations of the PP argument should not generate unacceptable sentences as they do for the verb *put*. The low-level constructional status of *put _ in order* is also backed up by the fact that other verbs do not seem to be constrained as *put* is in *put _ in order*. In *push _ out of the way/the road/the car/the city/the universe*, the verb accepts different kinds of directional PPs without compromising the acceptability of the sentences.

Hampe's analysis of the ICE-GB corpus with VPs parsed as <cxtr> returned a total number of 4019 sentences out of which 3514 sentences contained complex argument structures (both caused motions and resultatives) and 3707 resultative phrases (the number is higher than 3514 due to multiple resultative phrases in cases of verbal ellipses). Of these, 1937 verb tokens occur with one or more object-related adverbials and 908 with one or more adjectival predicates. 10,8% of the lexical types used in the corpus are shared between caused motions and resultatives, showing a clear case of overlap in the use of lexical material. Among these are *put* and *make*, which are said to be "path-breaking" verbs in the acquisition of caused motions and resultatives respectively (Goldberg, 2006: 77-79).

(38) Spatial caused motions*:* and we *put* lemon and cucumber and orange [$_{PP}$ in the Pimms]

(39) Metaphorical caused motions*:* I thought I'd be able to *put* his mind [$_{PP}$ at rest] very easily

(40) Resultatives*:* But I think *making* people [$_{AdjP}$ aware that anybody can do it], uhm, is is quite important.

(Hampe, 2010; 191)

Put is not attracted by the resultatives, in the same way that *make* is not attracted by caused motions. However, the collexeme analysis carried out in the ICE-BR corpus shows a great salience of *put __ right* and *make __ into y*. This suggests that these are not instantiations of the general, argument structure construction, but rather that they instantiate lower-level constructions, that is, lexicalized instantiations of both constructions. These seem to be cases of rather fixed phraseological units, or *formal idioms* in Fillmore's terminology.

In the analysis of the caused motion data, two basic uses and also the verbs more frequently used in the construction were identified:

I) Verbs taking directional adverbials (denoting causation of motion): *put, place, bring, get, set, take, turn, send, push, shove, force, lay*;

II) Verbs taking locative adverbials (denoting prevention of motion): *keep, leave, bear, hold, base*.

This difference is not said to be syntactic, but rather a lexical one that is made possible by the non-adjacent interaction between a verb and an adverbial [V [NP] Adv]; that is, verbs and adverbials in these low-level constructions seem to function similarly to how *formal idioms* are structured (Fillmore, Kay and O'Connor, 1988), that is, as a semi-fixed expression in which one syntactic slot is open. Another important aspect of the data analyzed in Hampe (2010) has to do with the interpretation of the actual caused motion. Both types (those denoting causation of motion and prevention of motion) were found to be denoting either a *literal motion* (physical movement) or a *figurative* one. In the figurative cases, the adverbial will identify a state or condition, but the construal will still be spatial, that is, a metaphorical construal that is motivated by primitive metaphors such as STATES ARE LOCATIONS/BOUNDED REGIONS AND CIRCUMSTANCES/CONDITIONS ARE SURROUNDING (Grady, 1997) will motivate the figurative reading of caused motions. These metaphors are then thought to license the interpretation of the caused motions below.

(41) She just needed to *get* her life [PP back in order].

(42) I'm not trying to *get* more people [PP in trouble].

(Rosa, 2014: 191)

(43) The clown *laughed* the boy [PP out of his depression].

(44) *Coax* a two-year old [PP from an incipient meltdown].

(Dancygier; Sweetser, 2014: 133)

Following Hampe (2010) analysis of low-level caused motions and Rosa (2014) description of phraseological caused motion units with *get*, examples (41) and (42) are analyzed as lexicalized instances of the caused-motion construction, which display a figurative reading. No literal movement is implied in the directional PPs *back in order* and *in trouble*. As for (43) and (44), both *laugh* and *coax* do not take directional prepositional arguments and thus could not form lexicalized expressions with these, like *get* can with *back in order* and *in trouble*. Language data show, though, that the schematic caused-motion construction can itself be interpreted figuratively, irrespective of the lexical material instantiating it. On this matter, Dancygier and Sweetser (2014: 133) state that

> […] scenarios involving Caused Change of State, which is metaphorically understood as Caused Motion, are expressed with the Caused-Motion construction (*laugh someone out of their depression, coax the two-year old away from an incipient meltdown*). In some of these expressions, there is nothing which expresses either spatial motion or change of physical state, and thus no motion words which could be interpreted metaphorically to mean Caused Change of State […] The most plausible hypothesis is therefore that the Caused-Motion Construction itself is interpreted metaphorically in these cases, to mean Caused Change of State.

The effect that low-level, lexicalized phraseologisms have in the interpretation of caused motions as well as the fact that schematic caused motions can generally be interpreted figuratively are of utmost importance for constructional representation, as well as for other related matters such as language processing and language learning.

With that in mind, the following section presents an analysis caused-motion phraseologisms headed by *get* aiming at contributing to the relevance of phraseological knowledge in the productivity and use of general constructions. The choice of the predicate *get* for the empirical discussion was based on its high discourse salience in English as a whole[7], as well as the attested semantic and syntactic versatility of this verb. The aim, therefore, is to show whether or not the data corroborate Hampe's view on the lexical fixedness of certain verbs and oblique arguments, such as *put ___ in order*, with a highly frequent, salient and polysemous verb as *get*.

6. A WAY INTO THE WORLD OF CAUSED MOTIONS: PHRASEOLOGISMS WITH *GET*

This analysis is based on a subset of data comprising 1284 instances of caused-motion constructions headed by the predicate *get* in a universe of 2449 causative utterances extracted from COCA (Rosa, 2014; Rosa and Tagnin, 2015). The syntax search on COCA used the lemmatized form of *get* and determined a span of two positions to the right to search for the most frequent nominal collocates. After that, the analysis selected the first fifty collocates for their semantic variability and randomly extracted 5% of the total number of concordance lines for each of the fifty collocates. This amounted to 9210 concordance lines, which were then subjected to a manual semantic classification in view of their argument structures. The argument-structure constructions adopted as criteria for classification was based on Goldberg (1995).

From the 9210 occurrences, 2449 (= 26%) were instances of general causative structures. The distribution of the different types of causative constructions in the data, of which the caused motion is the biggest part, can be seen in Table 3 below.

[7] The lemmatized form of *get* is the fourth most frequent verb on COCA with 606659 occurrences.

Table 3. Distribution of causative constructions in the study corpus.

Construction	Absolute Frequency	Relative Frequency
Caused motion	1284	52,42%
Analytic Causative	874	35,60%
Resultative	293	11,96%
Total	2449	

As shown above, the semantic categorization applied to the 2449 utterances identified 1284 caused-motion constructions corresponding to 52.42% of all sentences exhibiting a form of causation. The 1284 caused-motion constructions showed a range of prepositions of movement forming a series of lexically underspecified sentence patterns such as *get NP across, get NP away,* etc. Table 4 shows the most frequent patterns in the data.

Table 4. Patterns with *get* + NP + Prep. with a caused-motion reading.

Pattern	Abs. Freq.	Rel. Freq.	Pattern	Abs. Freq.	Rel. Freq.
get NP out (of)	260	20,24%	get NP down	29	2,25%
get NP in	139	10,82%	get NP away	24	1,86%
get NP off	81	6,30%	get NP up	13	1,01%
get NP into	61	4,75%	get NP through	12	0,93%
get NP on	47	3,66%	get NP over	10	0,77%
get NP to	46	3,58%	get NP across	9	0,70%
Total:				731	56,93%

In addition to the sentence patterns with prepositions, fully specified phraseologisms such as *get the story out*, *get one's hands on* and *get the message across* also emerged in our data. Table 5 below shows phraseologisms with a caused-motion reading with more than two lexically specified items.

Table 5. Caused motion phraseologisms with *get.*

Phraseologism	Abs. Freq.	Rel. Freq.	Phraseologism	Abs. Freq.	Rel. Freq.
get [det] message out	82	6,38%	get [det] foot in the door	32	2,49%
get the word out	74	5,76%	get [det] story out	21	1,63%
get one's hands on	74	5,76%	get SN back on track	17	1,32%
get [det] message across	58	4,51%	get one's hands off	15	1,16%
get [det] information out	37	2,88%	get one's hands around	12	0,93%
get [det] point across	34	2,64%	get [det] shot off	11	0,85%
Total:				467	36,54%

Despite appearing a lot less frequently than simple sentence patterns with prepositions (Table 5), both in absolute and relative terms, the phraseologisms in the table above demonstrate a greater level of structural fixedness. The expressions identified in our data were subjected to a calculation aimed at measuring the level of *attraction* between the predicate *get* and the phrasal pattern in the entire corpus (Schmid, 2010), so as to determine whether they were attested phraseologisms or not.

$$\textit{Attraction}: \quad \frac{\text{Frequency of an item in a construction x 100}}{\text{Total frequency of the construction in the corpus}}$$

Exemplifying with the phraseologism *get the message across*, we would have that (267 * 100) / 292 = 91.43%[8], that is, in 91.43% of the times the sequence ___ *the message across* appears in the corpus, it appears with the verb *get* occupying the verbal slot. In other words, *get the message across* is a phraseological unit given that it is the co-occurrence of two or more linguistic items that form a semantic unit and that shows frequency that is higher than expected by chance (Gries, 2008; Rosa, 2014). In Table 6 below the levels of attraction for phraseologisms with caused-motion readings are presented.

Table 6. Statistical analysis of attraction of *get*-phraseologisms with a caused-motion reading.

Phraseologism	Pattern freq.	Attraction	Phraseologism	Pattern freq.	Attraction
get [det] message out	515	87,18%	get [det] foot in the door	133	87,96%
get the word out	479	76,40%	get [det] story out	175	48%
get one's hands on	3624	32,28%	get SN back on track	39	71,79%
get [det] message across	292	91,43%	get one's hands off	398	14,57%
get [det] information out	222	57,65%	get one's hands around	355	12,11%
get [det] point across	194	97,42%	get [det] shot off	53	64,15%

As the table above shows, with the exception of *get one's hands on*, *get one's hands off* and *get one's hands around*, all the other phraseologisms show a level of attraction of about 50%, which speaks in favor of their phraseological status. That is, the expressions analyzed in here do not seem to be simple instantiations of the schematic caused motion, but independent low-level phraseological constructions (Hampe, 2010; Rosa, 2014; Rosa and Tagnin, 2015; Xia, 2017).

[8] A search on COCA in September 2022 generated different figures, but the proportion was about the same. The current numbers are (536 * 100) / 590 = 95.25%.

Having both identified and attested the phraseological nature of the expressions in Table 6, it is now possible to show the relationship between the schematic caused-motion construction and one of their lexically crystalized instances. Below we exemplify with the phraseologism *get the message out*, but the same analysis applies to the other phraseologisms as well.

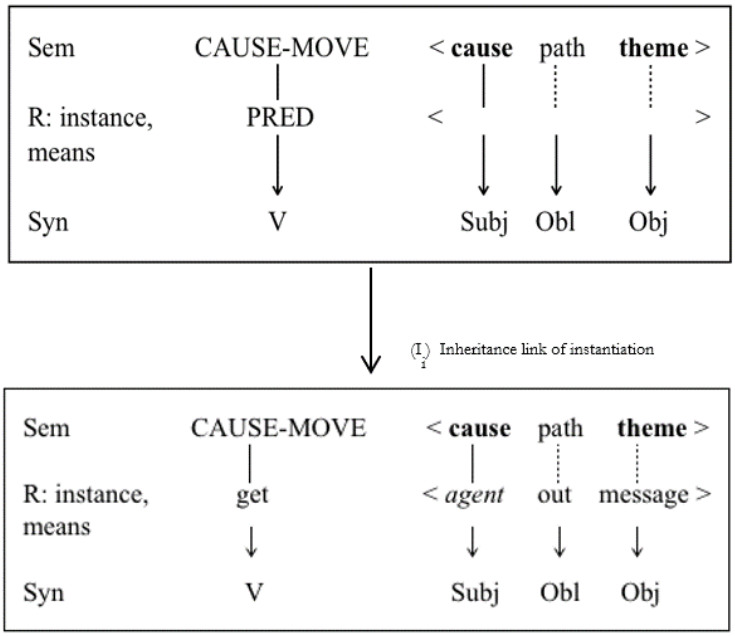
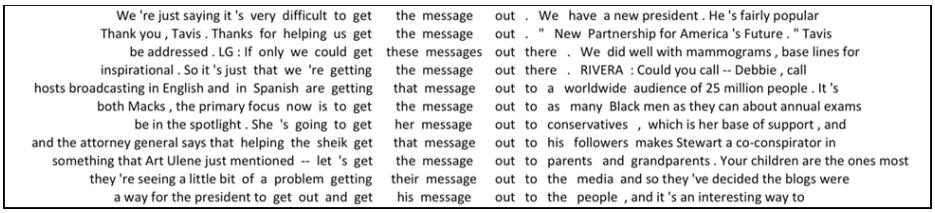


Figure 3. Caused-motion construction and the phraseological instance *get the message out.*

As the matrices in Fig. 3 present, the phraseological unit *get the message out* inherits both of its functional and formal properties from the schematic caused-motion construction via a link of instantiation, that is, this expression, as well as the others in Table 6, have been conventionalized in the language as frozen instances of the abstract X CAUSES Y TO MOVE Z construction, which means that speakers, as well as language learners, might have access to these without necessarily resorting to the schematic construction[9]. Below is a sample of some concordance lines from our data.

[9] Rosa (2020) presents an analysis of English caused-motion constructions by EFL learners. The results show a great reliance on lexicalized material by learners on the interpretation of the schematic caused motion.



We 're just saying it 's very difficult to get	the message	out . We have a new president . He 's fairly popular
Thank you , Tavis . Thanks for helping us get	the message	out . " New Partnership for America 's Future . " Tavis
be addressed . LG : If only we could get	these messages	out there . We did well with mammograms , base lines for
inspirational . So it 's just that we 're getting	the message	out there . RIVERA : Could you call -- Debbie , call
hosts broadcasting in English and in Spanish are getting	that message	out to a worldwide audience of 25 million people . It 's
both Macks , the primary focus now is to get	the message	out to as many Black men as they can about annual exams
be in the spotlight . She 's going to get	her message	out to conservatives , which is her base of support , and
and the attorney general says that helping the sheik get	that message	out to his followers makes Stewart a co-conspirator in
something that Art Ulene just mentioned -- let 's get	the message	out to parents and grandparents . Your children are the ones most
they 're seeing a little bit of a problem getting	their message	out to the media and so they 've decided the blogs were
a way for the president to get out and get	his message	out to the people , and it 's an interesting way to

Figure 4. Sample of concordances of the phraseological unit *get the message out.*

The concordance lines above show lexical instantiations of the pattern *get NP out* in which the NP is filled by *the message*. As shown in Tables 4 and 5, the pattern with the particle *out* was quite productive in the data and that is reinforced by the fact that other expressions belonging to the same semantic field of communication appeared to occupy the nominal position.

(45) *get* { *message* / *word* / *information* / *story* } *out*

It is important to note that, as the concordances in Fig.4 exemplify, the caused-motion phraseologism *get the message out* does not always specify the oblique argument, that is, the *path* along which the metaphorical object of communication is dislocated. However, many of the occurrences show that the oblique arguments are realized either by the adverbial *there* or by the preposition *to* introducing the goal of the dislocation.

Although more data are needed in order to come up with overarching generalizations, the occurrences of *get NP out* systematically occurred around terms of verbal communication. That is, despite exhibiting a reading of figurative dislocation, the underlying structure is that of a [Subj V Obj Obl] in which the Obj is instantiated by *communication terms* that are metaphorically interpreted as objects. This has been extensively discussed in light of the productive *conduit metaphor* (Reddy, 1979). Also, the fixedness of the expressions above as attested in Rosa (2014) and the metaphorical reading of the Obl argument discussed in Hampe (2010) and Dancygier and Sweetser (2014) reinforce the phraseological and constructional status of the expressions in (45). Similar form-functional behavior was found in the other caused-motion phraseologisms with communication terms, as samples of the concordance lines show.

years old . Right now we 'd like to get	the word	out	about these two girls . If we find both these girls
And I hope folks who are watching at home get	the word	out	and get tested , and do whatever they can , and
O'Brien says they rely on MySpace and e-mail to get	the word	out	and Gray 's family has its own Web site . There
And so it 's the band 's job to get	the word	out	and make sure that does n't happen . " # Bradley
effort in retailers branding their own products is getting	the word	out	as to why that product is better than the other brands
crowed his wife . It helps to get	the word	out	early , " he said , feeling foolish . " Cuts
saliva all over the place because I could n't get	the words	out	fast enough . " " Was that when you told Leo
he says . People who want to get	the word	out	fasten the loops around bikes parked around town . " Macomb
me for an answer . # I could hardly get	the words	out	of my mouth . " I reckon that 's her .
on the real ' ' chopping block . " Get	The Word	Out	Quickly This February rewarded the efforts of my store with
gasping for breath , telling Dad when she could get	the words	out	that a little girl like me had no business breaking horses
we need your help . We need help in getting	the word	out	that children in child care need to be immunized , and
if I have to . I 'm going to get	the word	out	that Joe Stanky is something special . And you know what
up a resource Web site . # " We got	the word	out	that meth is coming into Michigan , " said David Bush
himself , he knows how vital it is to get	the word	out	that prostate cancer is the second most deadly cancer in men
means of communication , this is his chance to get	the word	out	that the island survived , but still needs help . "
week , my friends , because we tried to get	the word	out	to everybody as soon as we heard that our " Legends
the first place . They were in it to get	the word	out	to other people , " said Pennyman , adding that education
if she just kept this investigation alive , kept getting	the word	out	to the public , that there was a really good chance

Figure 5. Sample of concordances of the phraseological unit *get the word out.*

33 minutes that we 've been maligned about we got	more information	out	of that interview than all of these attorneys did in all
are taking a turn where people are starting to get	more information	out	of them rather than just yelling ? ED-HENRY-CNN-SR-W : It
the pain that we 're going through trying to get	this information	out	of you . Mr-PHELPS : If you listen to the tapes
that deals with prevention , and then education to get	that information	out	there to people to change their lifestyles . We know how
's not really job searching , it 's just getting	the information	out	there . TORY-JOHNSON-1ABC# (Off-camera)
've got is people worldwide trying to help Iranians get	this information	out	there . One thing we 're seeing online right now ,
very -- it 's very , very important to get	the information	out	to our viewers as soon as possible , and you want
can make in people 's lives . And to get	the information	out	to people who can benefit feels good . When I began
The sense has been that we 've gotten	the information	out	to people and helped a lot of small employers , especially
us and also gives us reason to want to get	this information	out	to the public and to our partners around the world that
need to be getting -- we need to be getting	accurate information	out	to these communities and the African-American community is

Figure 6. Sample of concordances of the phraseological unit *get the information out.*

S-O'BRIEN : How hard is it for journalists to get	the story	out	in Iraq when you keep hearing not only the violence that
I -- I want to ask your story and get	your story	out	just as gently as we possibly can because I want you
said , sensing that Aunt Bes3 was trying to get	the story	out	of her . " We certainly love having him here .
besides Jaime , and I think that we 're getting	the story	out	there that he may have not been interested himself and that
all of this has been : the delay in getting	the story	out	there to the press , Cheney clamming out , the way
Mr. Rollins said his client was " anxious to get	the story	out	" and intended to deny any knowledge of efforts to discourage
interest is accountability , getting the facts out , getting	the story	out	, and I think putting it in some new and different
cycle , increasing exponentially the opportunities to get	the story	out	-- and to get it wrong . # " If there
and the skills and abilities politicians must have to get	their stories	out	. Although the women who responded to the survey enjoyed this
this was a way that we 're going to get	the story	out	. And Ted Koppel arrived about two days later and said

Figure 7. Sample of concordances of the phraseological unit *get the message out.*

As was discussed, both in the introduction and in section 5, this paper defends a "what you see is what you get" approach (Goldberg, 2003: 229) to schematic caused motions by claiming that the attested phraseologisms above are all fully lexicalized instances of the *formal idiom* (Fillmore, Kay & O'Connor, 1988) *get* $NP_{communication}$ *out*. The open nominal slot in the structure of this semi-fixed expression allows for the creation of new instances of the caused motion by lexically specifying the NP in the domain of communication terms, but also by diversifying other parts of the expression such as the verb and the oblique argument. This process of new token creations of the construction leads to the entrenchment of the schematic type (Bybee, 2010), enhances the productivity of the instance link (Jiang and Wen, 2022) and also increases the network of lexicalized constructions.

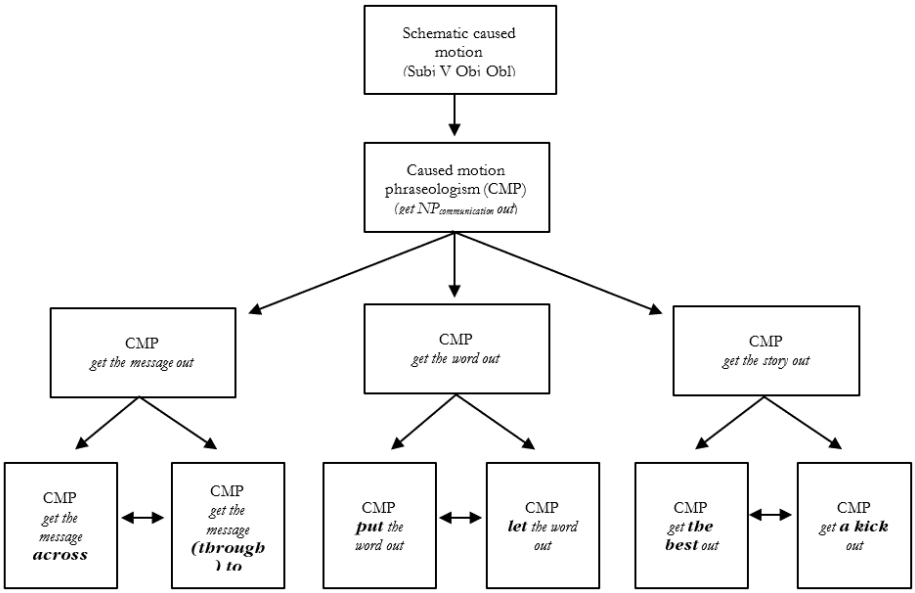


Figure 8. Relations between schematic and phraseological caused motions.

The network of caused-motion constructions above aims at exhibiting an example of the process of instantiation between schematic and phraseological instances. That is, the underspecified, formal idiom *get* $NP_{communication}$ *out* sanctions lexicalized phraseologisms such as *get the message out*, *get the word out* and *get the story out* and these will in turn license other expressions while speakers abstract from these fully specified constructions by replacing parts of the expression with semantically coherent alternatives (eg. *put* in place of *get*, *across* in place of *out* and *a kick* in place of *the story*). This is captured by the double arrows amongst the constructions at the bottom. Most importantly, though, is that the network shows that lexicalized expressions such as *get the message out* may not be seen only as instantiations of caused motion generalizations, but also as sources from which speakers can derive and create new expressions by working with concrete lexical material. This perspective has been used in Rosa (2023) as a theoretical support for teaching and learning applications. However, in spite of being a reasonable account in L2 acquisition settings, we side with Xia (2017), Croft (2012), Boas (2013) and Hampe (2010) who reinforce the importance of the lexical material to the whole network of constructions.

7. CONCLUSION

This article aimed at providing an overview of the form-functional properties of the caused-motion construction by discussing the treatment given to this language structure both in descriptive grammars of English (Quirk et al., 1985) as well as in

the constructional tradition (Goldberg, 1995; Goldberg and Jackendoff, 2004). However, the role of low-level phraseological instances has been emphasized both in the literature review (Hampe, 2010; Rosa, 2014; Rosa and Tagnin, 2015) and in an analysis of 1284 caused-motion constructions taken from COCA. From such data, we presented and discussed statistically attested caused-motion phraseologisms headed by the predicate *get* reinforcing the relevance that lexically specified language units have in speakers' grammatical knowledge. Most importantly, the data discussion and analysis aim at endorsing the main claim of this paper that lexical phraseologisms can be the source for the creation of other lexical instances as well as serving the purpose of contributing to the entrenchment of the schema.

The analysis with *get*-phraseologisms targeted a rather small set of language data, but we believe it is sufficiently robust to advocate for the importance that crystalized language structures have in language description as well as in language learning. Future developments aim at extracting and analyzing more language data, possibly with different predicates, so as to contribute to the understanding of this and other language constructions.

REFERENCES

Barðdal, J. 2008. *Productivity: Evidence from Case and Argument Structure in Icelandic. Constructional Approaches to Language*. Amsterdam: John Benjamins, 2008.

Boas, H. C. 2003. *A constructional approach to resultatives*. Stanford: center for the study of Language and Information.

Boas, H. C. 2013. "Cognitive Construction Grammar". *The Oxford Handbook of Construction Grammar*. Eds. T. Trousdale, G. Hoffmann. New York: Oxford University Press. 233-252.

Boswijk, V. and M. Coler. 2020. "What is salience?" *Open Linguistics* 6: 713-722.

Brezina, V. 2018. *Statistics in corpus linguistics: a practical guide*. Cambridge: Cambridge University Press.

Bybee, J. 2010. *Language, usage and cognition*. Cambridge: Cambridge University Press.

Carter, R. and M. McCarthy. 2006. *Cambridge Grammar of English - a Comprehensive Guide*. Cambridge: Cambridge University Press.

Celce-Murcia, M. and D. Larsen-Freeman. 1999. *The Grammar Book - an ESL/EFL Teacher's Course*. Boston: Heinle Cengage Learning.

Chomsky, N. 1957. *Syntactic Structures*. The Hague: Mouton.

Chomsky, N. 1981. *Lectures on Government and Binding*. Dordrecht: Foris.

Croft, W. 2012. *Verbs – aspect and causal structure*. New York: Oxford University Press.

Croft, W. 2013. Radical Construction Grammar. *The Oxford Handbook of Construction Grammar*. Eds. T. Trousdale, G. Hoffmann. New York: Oxford University Press. 211-233.

Dancygier, B. and E. Sweetser. 2014. *Figurative Language*. Cambridge: Cambridge University Press.

Davies, M. 2008. *The Corpus of Contemporary American English*. http://corpus.byu.edu/coca/

Ellis, N. 2008. "Phraseology: The Periphery and the Heart of Language". *Phraseology in Language Learning and Teaching*. Eds. F. Meunier and S. Granger. Amsterdam: John Benjamins. 01-13.

Ellis, N. 2013. "Construction Grammar and Second Language Acquisition". *The Oxford Handbook of Construction Grammar*. Eds. T. Trousdale, G. Hoffmann. New York: Oxford University Press. 15-31.

Evans, V. 2012. "Cognitive linguistics". *Wiley Interdisciplinary Reviews: Cognitive Science* 3: 129.

Fillmore, C. 1968. "The case for case". *Universals in Linguistic Theory*. Eds. E. Bach and R. Hams. New York: Holt Rinehart and Winston. 1-88.

Fillmore, C., Kay, P. and M. O'Connor. 1988. "Regularity and idiomaticity in grammatical constructions: the case of let alone". *Language* 64: 501-538.

Gawron, J. M. 1986. "Situations and prepositions". *Linguist Philos 9*: 327-382.

Goldberg, A. E. 1995. *Construction Grammar Approach to Argument Structure*. Chicago: The University of Chicago Press.

Goldberg, A. E. 2003. "Constructions: a new theoretical approach to language". *Trends in Cognitive Sciences* 7: 219-224.

Goldberg, A. E. 2006. *Constructions at Work: The Nature of Generalization in Language*. Oxford: Oxford University Press, 2006.

Goldberg, A. E. 2013. "Constructionist approaches". *The Oxford Handbook of Construction Grammar*. Eds. T. Trousdale, G. Hoffmann. New York: Oxford University Press. 15-32.

Goldberg, A. E. 2019. *Explain me this: creativity, competition, and partial productivity of constructions*. Princeton: Princeton University Press.

Goldberg, A. E. and R. Jackendoff. 2004. "The resultative as a family of constructions". *Language* 80: 532-568.

Grady, J. E. 1997. *Foundations of meaning: primary metaphors and primary scenes*. PhD Dissertation, University of California, Berkeley.

Gries, S. 2006. "Corpus-based methods and cognitive semantics: the many meanings of to run". *Corpora in cognitive linguistics: corpus-based approaches to syntax and lexis*. Eds. S. Gries and A. Stefanowitsch. Berlin: Mouton de Gruyter. 57-99.

Gries, S. 2008. "Phraseology and linguistic theory: a brief survey". *Phraseology: an interdisciplinary perspective*. Eds. F. Meunier and S. Granger. Amsterdam: John Benjamins. 3-25.

Gries, S. 2012. "Corpus linguistics, theoretical linguistics, and cognitive/ psycholinguistics: towards more and more fruitful exchanges". *Corpus linguistics and variation in English: Theory and description*. Eds. J. Mukherjee and M. Hurber. Amsterdam: Rodopi. 41-63.

Hampe, B. 2010. "Metaphor, constructional ambiguity and the causative resultatives". *Windows to the mind: Metaphor, metonymy and conceptual blending*. Eds. S. Handl and H. J. Schmid. Berlin: Mouton de Gruyter. 185-215.

Israel, M. 2004. *How children get Constructions*. http://terpconnect.umd.edu/~israel/Israel-GetConstructs.pdf

Jiang, C. and W. Xu. 2022. Constructional network at work in second language acquisition. *Asian-Pacific Journal of Second and Foreign Language Education* 7/12: 1-16.

Lakoff, G. 1991. "Cognitive versus generative linguistics: How commitments influence results". *Language & Communication*, 11 (1/2): 53-62.

Langacker, R. 2013. *Essentials of Cognitive Grammar*. Oxford: Oxford University Press.

Lyons, J. 1968. *Introduction to Theoretical Linguistics*. Cambridge: Cambridge University Press.

Lyons, J. 1977. *Semantics, Volume 1*. Cambridge: Cambridge University Press.

McEnery, T. and A. Hardie. 2012. *Corpus linguistics*. Cambridge: Cambridge University Press.

Moon, R. 1998. *Fixed Expressions and Idioms in English: A Corpus-based Approach*. Oxford: Clarendon Press.

Pustejovsky, J. 1991. The syntax of event structure. *Cognition* 41(1-3): 47-81.

Quirk, R., Greenbaum, S., Leech, G. and J. Svartvik. 1986. *A Comprehensive Grammar of the English Language*. Edinburgh: Longman.

Reddy, M. 1979. The Conduit Metaphor: a Case of Frame Conflict in our Language about Language. *Metaphor and Thought*. Ed. A. Ortony. Cambridge: Cambridge University Press.

Rosa, R. G. 2014. *Fraseologia do verbo get na língua inglesa: uma abordagem da Linguística de Corpus e da Gramática de Construções*. Master's thesis. University of São Paulo. https://doi.org/10.11606/D.8.2014.tde-03112014-165540

Rosa, R. G. and S. E. O. Tagnin. 2015. "Mapeamento construcional e fraseológico do verbo *get*: uma abordagem baseada na Linguística de Corpus e na Gramática de Construções Cognitiva". *Domínios de Lingu@gem*, Uberlândia 9 (1): 75-104. https://doi.org/10.14393/DL17-v9n1a2015-5

Rosa, R. G. 2020. Caused-motion constructions in learner English corpora: from observation to experimentation. PhD Dissertation. University of Sao Paulo. https://doi.org/10.11606/T.8.2020.tde-21092020-174719

Rosa, R. G. 2023. Take the plunge: Using phraseology to enhance learners' knowledge of grammar. BELT - *Brazilian English Language Teaching Journal* 14 (1), e44041. https://doi.org/10.15448/2178-3640.2023.1.44041

Sinclair, J. 1991. *Corpus, Concordance, Collocation*. Oxford: Oxford University Press.

Schmid, H. 2010. "Does frequency in text instantiate entrenchment in the cognitive system?" *Quantitative methods in cognitive semantics: Corpus-driven approaches*. Eds. D. Glynn and K. Fisher. Berlin: De Gruyter Mouton. 101-135.

Tomasello, M. 2003. *Constructing a Language: a Usage-Based Theory of Language Acquisition*. Cambridge, MA: Harvard University Press.

Wray, A. 2002. *Formulaic language and the lexicon*. Cambridge: Cambridge University Press.

Wray, A. and M. Perkins. 2000. "The Functions of Formulaic Language: An Integrated Model". *Language & Communication*, 20 (1): 1-28.

Wulff, S. 2008. *Rethinking Idiomaticity: A Usage-based Approach*. London: Continuum.

Xia, X. 2017. "Verb Class-Specific Caused-Motion Constructions". *Chinese Semiotic Studies* 13 (3): 269-287.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 77-93. http://doi.org/10.18172/jes.5699

THE SEMANTIC AND SYNTACTIC RANGE OF OLD ENGLISH NOMINALISATIONS WITH ASPECTUAL VERBS

ANA ELVIRA OJANGUREN LÓPEZ
Universidad de La Rioja
ana-elvira.ojanguren@unirioja.es

ABSTRACT. This article analyses the complementation of Old English verbs of aspect by means of nominalisations. Three types of derived nominals are distinguised: deverbal nominals that entail a verbal predication but do not take complements of their own; direct nominalisations (with Actor or Undergoer genitive); and oblique nominalisations. The main conclusion of the article is that, to the sources of the English gerund identified by Lass (1992), others should be added, including suffixes (such as *-ung*, *-ness* and *-t*) and affixless derivation from strong and weak verbs. It is also a conclusion of this study that Old English already provides evidence of the acquisition of verbal properties by deverbal nominalisations, such as nominalisations with direct objects and voice distinctions.

Keywords: Nominalisation, Role and Reference Grammar, Old English, aspectual verbs, morphology, semantic-syntactic perspective.

NOMINALIZACIONES CON VERBOS ASPECTUALES EN INGLÉS ANTIGUO. ÁNALISIS SEMÁNTICO Y SINTÁCTICO

RESUMEN. Este artículo analiza la complementación de los verbos aspectuales en inglés antiguo a partir de nominalizaciones. Se distinguen tres tipos de derivados nominales: nominales deverbales que implican una predicación verbal pero que no toman complementos propios; nominalizaciones directas (con un Actor o un Padecedor flexionados en genitivo); y nominalizaciones oblicuas. La conclusión principal del artículo es que, a las fuentes del gerundio en inglés identificadas por Lass (1992), se pueden añadir otras más, incluyendo los sufijos (como *-ung*, *-ness* y *-t*) y la derivación sin afijos basada en verbos fuertes y débiles. Este estudio también llega a la conclusión de que el inglés antiguo ya ofrece evidencia de la adquisición de propiedades verbales a partir de las nominalizaciones deverbales, tales como las nominalizaciones que toman objetos directos y distinciones de voz.

Palabras clave: Nominalización, Gramática del Papel y la Referencia, inglés antiguo, verbos aspectuales, morfología, perspectiva semántico-sintáctica.

Received 24 March 2023

Revised version accepted 27 September 2023

1. INTRODUCTION

This article deals with noun phrases headed by deverbal nominals that perform the function of complements of verbs of aspect in Old English. Its aim is to determine the semantic and syntactic range of these nominalisations with a view to contributing to the discussion of the changes to the verbal complementation of English and of the development of the gerund. Verbs of aspect have been selected because they necessarily take verbal complementation. Role and Reference Grammar (Van Valin and LaPolla 1997; Van Valin 2005) provides the theoretical basis of this study because this linguistic theory is concerned with the semantic motivation of syntactic projection and because it assigns parallel syntactic structures to units that entail the same semantics, even though they belong to different levels of complexity, as is the case with nominalisations and the associated clausal units.

The structure of the article is as follows. Section 2 reviews previous work in the competition of infinitival and finite clauses and in the major complement shifts throughout the history of English. Section 3 discusses the relevant aspects of the theoretical model and applies them to the lexical representation of Old English aspectual verbs. Section 4 presents the sources and data of the study. Section 5 discusses the semantics and syntax of the nominalisation with the verbs under analysis. Section 6 presents the results of the study and addresses the question of

the acquisition of verbal properties by deverbal nominalisations. Section 7 summarises the main findings of the article.

2. REVIEW OF PREVIOUS WORK

The question of the complementation of verbs that require clausal complements with finite or non-finite verbs has been addressed both in classical works in the syntax of Old English (Visser 1963-73; Mitchell 1985) and in studies in verbal syntax (Molencki 1991; Denison 1993; Los 2005; Fischer et al. 2011; Ringe and Taylor 2014).

Denison (1993: 172) distinguishes three types of Verb+Object/Subject+Infinitive (VOSI) constructions: VOSI with causatives, as in [ChronE (Irvine) 066600 (963.22)] *& leot him locon þa gewrite þe ær wæron gefunden* 'and had him look at the writs which had been found'; VOSI with two-place verbs (different from causatives and perception verbs), as in [ÆColl 013300 (203)] *ic habbe afandod þe habban gode geferan* 'I have proved you to have good companions'; and VOSI with three-place verbs, as in [Bede 5 053200 (20.472.4)] *þara þinga, ðe he oðre lærde to donne* 'those things that he taught others to do' (own translation).

Los (2005) classifies the Old English verbs that select infinitives as complements into three types: AcI (*accusativus cum infinitivo*) verbs, monotransitive subject control verbs and ditransitive object control verbs. In AcI verb constructions, the subject of the matrix clause is different from the subject of the infinitive clause. For Ringe and Taylor (2014: 484), these are verbs of perception and causation that take a bare infinitive clause, as in [GDPref and 3 (C) 017900 (11.194.17)] *Þa het he þisne biscop beon gelæded to þære stowe* 'then he ordered this bishop to be led to the place' (Ringe and Taylor 2014: 485). In constructions with monotransitive subject control verbs, the subject of the matrix clause is shared by the infinitive clause. Among monotransitive subject control verbs we can find verbs of intention, aspectualisers and the pre-modal verbs. The verbs of intention and the aspectualisers (but not the pre-modals, which can exclusively be followed by a bare infinitive) may select a bare infinitive or a *to*-infinitive, as in [LS 34 (SevenSleepers) 021000 (750)] *And sona swa hi him on besawon eall heora nebwlite ongann to scinenne swilce seo þurhbeorhte sunne* 'and as soon as they looked on him, all of their faces began to shine like the very bright sun' (Ringe and Taylor 2014: 486). In constructions with ditransitive object control verbs (typically verbs of commanding, persuading and permitting), the object of the matrix clause is shared with the subject of the infinitive clause. Ditransitive object control verbs may be complemented by an inflected infinitive, as in [Æ Hom 11 001500 (103)] *And his bebod tobræc þe he him bebead to healdenne* 'and he broke his command, which he ordered him to keep' (Ringe and Taylor 2014: 489).

Los (2005) excludes the choice of the inflected vs. the bare infinitive (Callaway 1913) as the main source of competition involving the infinitive. Ringe and Taylor (2014: 484) concur with Los (2005) on the importance of the finite vs. non-finite

competition and remark that the competition between the bare and the *to*-infinitive as complement in Old English is restricted to verbs of intention.

The discussion reviewed above, however, has not considered the complementation of aspectual or control verbs by nominal phrases whose head is a verbal derivative, in such a way that the syntax of the phrase resembles the syntax of the associated verbal clause. This aspect is relevant for the historical evolution of complementation from Old English and for the development of the gerund in English.

According to Rohdenburg (1995: 374), the competition between *that*-clauses and *to*-infinitives as complements of verbs of aspect and control continued for several centuries, in such a way that the present situation was not reached until 1800. This author describes the Great Complement Shift as consisting of the development of the gerund, on the one hand, and the decline of *to*-infinitives and *that*-clauses, on the other hand (Rohdenburg 2006: 159). Iyeiri (2010: 5) draws a further distinction between the First Complement Shift and the Second Complement Shift, which leads from *to*-infinitives to gerunds. As Iyieri (2010: 7) puts it, *where the first shift produces a sufficient number of to-infinitives, they can later on lead to the second stage or the second complement shift, producing gerunds with or without prepositions*.

Lass (1992: 145) remarks that the English gerund develops from three Old English sources: the present participle, the inflected infinitive and the suffix *-ung / -ing*, which forms deverbal nouns. The historical development of the gerund depends on the acquisition of verbal properties by deverbal nominalisations with the suffix *-ing/-ung*, including the ability to take a direct object realized by a noun phrase and to be modified by an adverb (Fischer 1992: 252) as well as to select a predicative, to show tense and voice distinctions and to occur with a subject in a case different from the genitive (Fanego 1996: 33). Visser (1963-1973: §1009) dates the first instances of the verbal gerund to the beginning of the 14th century.

3. THE LEXICAL REPRESENTATION OF ASPECTUAL VERBS

In Role and Reference Grammar (Van Valin and LaPolla 1997; Van Valin 2005), the projection-realization apparatus is called *linking*. Linking is the correspondence between syntax and semantics, which operates from semantics to syntax (production) and from syntax to semantics (comprehension). In this theory, the different roles played by verbal arguments in the linking semantics-syntax are explained on the basis of hierarchies that rank the different candidates for a function. This includes relations so central to the theory as priviledged syntactic arguments (around which syntactic constructions revolve), juncture-nexus types (which distinguish between the level of structure and the relation involved in complex sentences) and macroroles. The sematic interpretation of verbal arguments is based on the macroroles Actor and Undergoer, which constitute generalised semantic roles. The assignment of macrorole requires the projection of the lexical

representation of a verbal predicate onto a logical structure. This takes two steps, namely, the assignment of *Aktionsart* type and the unfolding of a logical structure.

In the specific area of Old English aspectual verbs, the *Aktionsart* class of *End* verbs is the Achievement, which corresponds to a dynamic, telic and punctual event. The lexical representation of *End* verbs shows that the ongoing activity has a punctual endpoint. This turns out the logical structure presented in Figure 1.

INGR **do´** (x, [**stop´** (x, y)])

Figure 1. The lexical representation and logical structure of *End* verbs.

In the logical structure shown in Figure 1, the first participant, coded as the argument x, puts an end to an activity that necessarily involves the argument x itself. For this reason, *End* verbs as defined as macrorole-intransitive, that is to say, they take one macrorole only. In an expression like [ÆCHom II, 5 003400 (43.50)] *He ne ablinð to asendenne bydelas* 'he does not cease to send messengers', the argument x (*he* 'he') plays the thematic role Effector and receives the macrorole Actor. The argument y in the logical structure is a linked clause, *to asendenne bydelas* 'to send messengers'. The argument y does not get macrorole. The argument x is the priviledged syntactic argument of the construction because it is shared by the matrix clause and the linked clause, so that there is dependent coordination between the two structural levels.

The *Aktionsart* type of *Fail* verbs and *Try* verbs is the Accomplishment, which can be defined as a dynamic, telic and durative event. The lexical representation of *Fail* verbs and *Try* verbs expresses an event in which the first participant is not successful in doing something. In the logical structure of *Fail* verbs and *Try* verbs, the argument x performs the thematic role Experiencer and receives the macrorole Undergoer. The argument x is the priviledged syntactic argument of the construction because it controls the agreement with the finite form of the verb. *Fail* verbs and *Try* verbs are macrorole-intransitive. The argument y is a linked clause that has the status of a non-macrorole argument. The logical structure of *Fail* verbs and *Try* verbs is given in Figure 2.

BECOME (NOT **successful´** (x, y))

Figure 2. The logical structure of *Fail* verbs and *Try* verbs.

In the logical structure of *Fail* verbs and *Try* verbs, the first participant, coded as the argument x, is shared by the matrix and the linked clause. In an expression involving a *Fail* verb like [ÆCHom I, 17 (App) 002700 (537.83)] *Se goda hyrde ne*

wandað þe godes scep lufað þæt he ða dweliendan scep for his drihtnes ege geornlice ne sece 'The good shepherd who loves the lamb of God will not fail to eagerly seek the wondering sheep for fear of his lord', the argument x gets the macrorole Undergoer while the argument y is a linked clause (*þæt he ða dweliendan scep for his drihtnes ege geornlice ne sece* 'to eagerly seek the wondering sheep for fear of his lord') enjoying the status of non-macrorole argument. The argument x, which controls the agreement with the finite verb of the matrix predication, is the priviledged syntactic argument of the construction. In an expression with a *Try* verb such as [HomS 44 (Baz-Cr) 005900 (121)] *Of þysum tintregum […] tiligen we us to gescildenne and us to gewarnigenne þa hwile þe we lifes leoht habban* 'from these torments [...] we should try to shield and to protect ourselves, while we have the light of life', the argument x (*we* 'we') receives the macrorole Undergoer and the linked clause (*us to gescildenne and us to gewarnigenne þa hwile þe we lifes leoht habban* 'to shield and to protect ourselves, while we have the light of life') is a non-macrorole argument. The matrix and the linked clause share the first argument, which results in dependent coordination.

4. SOURCES AND DATA

The inventory of the aspectual verbs of Old English has been gathered with the help of the *Thesaurus of Old English* (Roberts et al. 2000), which has been searched for the lexical dimension 'not doing something' (Faber and Mairal 1999) and, more specifically, for the lexical subdimensions "13.2. To not do something [*fail*]: fail; neglect, omit; give up"; "13.2.1. To stop doing something [*end*]: end, finish; cease, stop; desist, relinquish"; and "13.2.2. To make an effort in order to be able to do something [*try*]: try, attempt; strive, struggle, endeavour". The sets of verbs have been considered verbal classes, as in Levin (1993), when the verbs in the inventory share meaning components and grammatical behaviour. For meaning components, this inventory of verbs has been checked with the Clark Hall-Meritt (1996) and Bosworth-Toller (1973) Old English dictionaries, as well as the *Dictionary of Old English* (Healey 2018) for the letters A-I. For the verbs beginning with the letters A-I, the data have been extracted from the *Dictionary of Old English*. The data for the remaining verbs have been drawn from *The York-Toronto-Helsinki Parsed Corpus of Old English Prose* (Taylor et al. 2003), which has also provided the syntactic parsing of the selected textual fragments. Figure 3 shows the inventory of verbs selected for this study.

End: *āblinnan, ætstandan, blinnan, geblinnan, oðstillan, oflinnan.*

Fail: *forsittan, ofergīman, oferhealdan, oferhebban, (ge)trucian, wandian.*

Try: *(ge)cneordlǣcan, fandian, fundian, higian, (ge)tilian.*

Figure 3. Verbs in the corpus by class.

A total of 142 textual fragments have been processed, which can be broken down by verb as follows: *āblinnan* (17), *ætstandan* (15), *blinnan* (14), *(ge)cneordlæcan* (3), *(ge)fandian* (2), *forsittan* (7), *fundian* (11), *geblinnan* (2), *hīgian* (21), *oferhealdan* (2), *ofergīman* (2), *oferhebban* (4), *oflinnan* (3), *oðstillan* (1), *(ge)tilian* (17), *wandian* (17), *(ge)trucian* (4). These verbs throw a total of 11 instances of nominalisation: *āblinnan* (5), *ætstandan* (1), *blinnan* (2), *forsittan* (1), *hīgian* (1), *(ge)tilian* (1).

5. THE NOMINALISATIONS WITH OLD ENGLISH ASPECTUAL VERBS

The discussion in this section is based on the semantic and syntactic relation between clauses and nominalisations acknowledged by Role and Reference Grammar (Van Valin and LaPolla 1997; Van Valin 2005, 2007, 2014), which distinguishes several types of complex noun phrases, including noun phrases modified by relative clauses and nominalisations. Deverbal nominalisations are noun phrases headed by a derived noun that is morphologically related to a verb through a productive process of word-formation. Put differently, nominalisations are derived from a unit of the clausal level headed by the verb on which the nominalisation is based. For instance, *The arrest of John by FBI agents in New York City* has a clausal correlate *FBI agents arrested John in New York City*, in such a way that the noun *arrest* is converted (or zero-derived) from the verb *to arrest*. The existence of nominal correlates of elements of the clausal level is further demonstrated by the fact that the modifiers of the noun *arrest* correspond to the arguments and periphery of the clause: *of John* < *John* and *in New York City* < *in New York City* (Van Valin and LaPolla 1997: 186). Given this theoretical framework, the semantic relations and syntactic configurations of Old English nominalisations are discussed by aspectual verb.

Āblinnan can partake in configurations in which the argument-adjunct case-marked dative entails a nominalisation based on a verb. For example, in (1) the dative noun *gewinne* 'task' is morphologically related to the strong verb *gewinnan* 'to fight, to contend'.

(1) [BedeHead 1.10.1]

And swylce mid trymmendlice ærendgewrite hi gestrangode, þæt hi ne ablunnen fram þam gewinne.

'And also encouraged them with comforting letters not to give up their task.' (Miller 1999: 6)

While (1) contains a nominalised noun whose relation with the matrix clause is mediated by prepositional government, the nominalised noun in (2a) directly performs a function of the matrix clause. In (2a), the noun *æhtan* 'pursuit' is a deverbal derivative of the preterite-present verb *āgan* 'to own'. The genitive personal pronoun *his* 'his' is semantically agentive with respect to the verbal base of the derivation, agrees in case and number with *æhtan* 'pursuit' and shows agreement

in person and number with the first argument *Placidas* 'Placidas'. This is an instance of nominalisation with Actor genitive. Through such a nominalisation, a phrasal configuration is preferred over a clausal configuration for the same event and semantic participants, in such a way that a semantic parallelism holds between the clausal and the phrasal realisations: an activity is performed by an agentive participant. From the syntactic point of view, the first argument of the linked element is shared with the matrix, both in the clausal and in the phrasal configuration. This phenomenon is known in traditional grammar as *subjective genitive*.

Examples (2b) and (2c) also constitute nominalisations with Actor genitive. In (2b), the genitive *rynes* 'pursuit' is a derivative of the strong verb *yrnan* 'to run'. The demonstrative-article in the genitive *þæs* 'of that' is agentive with respect to *rynes* 'pursuit'. In (2c), the nominalisation involves the genitive noun *tintregena* 'of those torments' and the weak verb *tintregian* 'to torment', with which it is morphologically related. The Actor of the nominalisation is the genitive demonstrative-article *þæra* 'of those'.

(2)

a. [LS 8 (Eust) 001600 (38)]

Placidas (...) *ablan his æhtan.*

'Placidas (...) ceased his pursuit.' (Skeat 1996: 193)

b. [Æ LS (Martin) 025900 (1060)]

Ða ofbreow þam halgan þæs haran frecednyss, and þam hundum bebead þæt hi ablunnon þæs rynes.

'Then the saint rued the hare's peril, and commanded the hounds to cease from running.' (based on Skeat 1996: 291)

c. [ÆCHom I, 29 021100 (428.273)]

Ic halsie þe laurentius. ablin hwæthwega þæra tintregena.

'I beseech thee, Lawrence, cease somewhat of those torments.' (Thorpe 1844: 435)

Ætstandan can also be found in instances like (3), in which the derived noun *flēwsa* is related to the strong verb *flōwan* 'to flow'. The deverbal nominal entails a verbal predication but does not take complements of its own that are based on the parallelism between clausal and phrasal predications that explains nominalisations.

(3) [Lch I (Herb) 059200 (60.1)]

Sona se fleusa ætstandeþ.

'Soon the flowing stops.' (based on Cockayne 1984; own translation)

Example (4), unlike (3), presents a full nominalisation, that is to say, a noun phrase comprised of a deverbal noun (*ryne* 'flow') that is morphologically related to a strong verb (*yrnan* 'to run') and a genitive, in such a way that the genitive noun is semantically agentive with respect to the verbal base of the derivation. From the syntactic point of view, the first argument of the linked element is shared with the matrix. This is an instance of nominalisation with Actor genitive.

(4) [Lk (WSCp) 034000 (8.44)]

Ða ætstod sona þæs blodes ryne.

'Then her bleeding stopped immediately.' (own translation)

Blinnan can be found with argument-adjuncts in the dative governed by the preposition *fram* 'from', as in *blinnan fram ehtnysse cristenra manna* 'to cease from the persecution of Christians' in (5a). The same can be said of *blin from eorre* 'cease from anger' in (5b); and of *hit blonn from unhalum styrenessum þara leoma* 'it ceased to move its limbs in suffering' in (5c). The dative nouns are deverbal derivatives, thus *āgan* 'to own' > *ehtnysse* 'from persecution' in (5a) and *styrian* 'to steer > *styrenessum* 'from movements' in (5c); or, at least, are morphologically related to verbs, as is the case with *eorre* 'from anger' with respect to *eorsian* 'to be angry'. The nominalisations in (5a) (*ehtnysse cristenra manna* 'persecution of Christians') and (5b) present genitive modifiers that in the derived syntax amount to verbal complements like *ehtnysse cristenra manna* 'persecution of Christians' in (5a) and *styrenessum þara leoma* 'movements of the limbs' in (5b). Although (5a)-(5c) constitute nominalisations, their linking in the core is oblique, as they are governed by prepositions and perform the function of argument-adjunct.

(5)

a. [Bede 1 010600 (7.40.16)]

Het þa sona blinnan fram ehtnysse cristenra manna.

'He ordered them to cease from the persecution of Christians.' (Miller 1999: 20)

b. [PsGlA (Kuhn) 052100 (36.8)]

Blin from eorre & forlet hatheortnisse.

'Cease from anger and leave rage.' (own translation)

c. [Bede 3 017900 (7.178.26)]

& hit blonn from unhalum styrenessum þara leoma.

'And it ceased to move its limbs in suffering.' (Miller 1999: 82)

Blinnan also takes part in constructions of nominalisation with Undergoer genitive. By means of such a nominalisation, a phrasal configuration is preferred over a clausal configuration so that a semantic parallelism holds between the clausal and the phrasal realisations: an activity is undergone by a patient-like participant. From the syntactic point of view, the first argument of the linked element and the first argument of the matrix are shared in the clausal configuration and in the nominalisation. In morphological terms, there is relatedness between the verbal base and the deverbal derivative. The other genitive is objective. For this reason, this phenomenon is known in traditional grammar as *objective genitive*. In (6), the genitive noun *cossetunges* 'of kissing' is morphologically related to the weak verb *cossian* 'to kiss'. The matrix verb and the nominalisation share the first argument, in such a way that the genitive phrase *foeta mine* 'my feet' is Undergoer. Whereas the linking of the nominalisations in (5) is oblique, it is direct in (6) because the noun phrase *cossetunges ł foeta mine* 'of kissing my feet' is a macrorole argument of the verb.

(6) [LkGl (Li) 7.45]

Ne blann cossetunges ł foeta mine.

'[This woman] (...) has not stopped kissing my feet.' (based on Skeat 1874: 81; own translation)

Oflinnan can also be found with nominalised noun phrases, as in (7). These are nominalisations with Actor genitive. In (7a), *metta* 'of feastings' is morphologically related to the weak verb *metian* 'to supply with food'; *gestreona* 'of acquisitions' is related to the weak verb *gestrēonan* 'to acquire'; symla 'of banquets' is related to the weak verb *sȳman* 'to load'; and *unrihthœmeda* to the weak verb *unrihthǣman* 'to fornicate'. The demonstrative in genitive *þara* 'your' is coreferential with the first argument of the matrix verb. Therefore, the genitive is the Actor of the the matrix and the linked predications. The adjectives *unārīmed* 'uncountable', *gescyndend* 'shameful' and *oftrǣd* 'frequent', which could translate as adverbs in this context, are precursors of adverbial modification in nominalisations like *desist from acquiring hurriedly*. In (7b), the deverbal noun *tǣlnessa* 'of slanders' is morphologically related to the weak verb *tǣlan* 'to slander'. The genitive demonstrative-article *þara* 'your' is agentive with respect to the deverbal nominal.

(7)

a. [HomU 7 (ScraggVerc 22) 012200 (201)]

& for ðan uton oflinnan þara unarimedra metta & þara gescyndendra gestreona & þara oftrædra symla & þara unrihthœmeda.

'And, therefore, let us desist from those innumerable feasts, and those hurrying acquisitions, and those frequent banquets, and those fornications.' (Nicholson 1991: 152)

b. [HomU 7 (ScraggVerc 22) 012300 (203)]

Utan eac oflinnan þara tælnessa, & uton us on gebedu gelomlæcan.

'Let us also desist from those slanders, and let us be frequent in prayers.' (Nicholson 1991: 152)

In simplex configurations in which *forsittan* takes a second argument case-marked accusative, a nominalisation can also be identified, as can be seen in (8a), where the accusative noun *fulwihðe* 'baptism' is morphologically related to *fulwian* 'to baptise', while the genitive *untrumes* 'of the sick man' is objective with respect to *fulwihðe*. This is a nominalisation with Undergoer genitive. The genitive *ðegnunga* 'of his ministrations' is derived from the weak verb *ðegnian* 'to serve' and agrees with the genitive personal pronoun *his* 'his', which qualifies as an Actor genitive with respect to the deverbal noun *ðegnunga*. In (8b), *bote* 'amend' derives from the strong verb *bētan* 'to mend', while *fare* 'journey' is a derivative of the strong verb *faran* 'to go'. These nouns occur in compounds in which the first element is agentive, such as *fyrdfare* 'march of the army', or objective, like *burhbote* 'reparation of fortification' and *brycgbote* 'reparation of bridge'. In (8c), the accusative noun *gemot* 'assembly' is morphologically related to the strong verb *mētan* 'to meet'.

(8)

a. [LawWi 000600 (6)]

Gif priost læfe unrihthæmed oppe fulwihðe untrumes forsitte oppe to þon druncen sie þæt he ne mæge, sio he stille his ðegnunga, oþ biscopes dom.

'If a priest consents to an illicit union, or if he neglects the baptism of a sick man because he is too drunk to do this duty, he shall abstain from his ministrations until the judgement of the bishop'. (Attenborough 1922: 27)

b. [LawIICn 015100 (65)]

Gif hwa burhbote oððe brycgbote oððe fyrdfare forsitte, gebete mid cxx scyllingum þam cingce on Engla lage, & on Dena lage swa hit ær stod.

'If anyone neglects the repair of fortifications or of bridges or military service, he shall pay 120 shillings as compensation to the king in districts under English law, and in the Danelaw the amount fixed by existing regulations.' (Robertson 1925: 207)

c. [LawIIAs 005200 (20)]

Gif hwa gemot forsitte þriwa, gilde ðæs cynges oferhyrnesse.

'And if anyone fails to attend an assembly three times, he shall pay the fine due to the king for insubordination.' (Attenborough 1922: 137)

Two types of nominalisation turn up in simplex configurations with *hīgian*. In (9), the accusative noun *īerfe* 'inheritance' is morphologically related to the weak verb *irfan* 'to inherit'. The derived nominal entails a verbal predication but does not take complements of its own. The same goes for *bledsunge* 'of a blessing', derived from the weak verb *bletsian* 'to bless'.

(9) [CP 162900 (44.331.21)]

Ðæt ierfe ðæt ge ærest æfter hiegiað, æt siðesðan hit hiþ bedæled ælcre bledsunge.

'The inheritance that you first aspire to, will at the end be deprived of every blessing.' (Sweet 1871: 331)

In (10), the deverbal noun in the genitive *gestrēona* 'of acquisitions' is morphologically related to the weak verb *gestrēonan* 'to acquire'. This is a verb of transfer of possession, in which the first argument undergoes a change of state whereby they get to own the transferred item (Lacalle Palacios 2022). For this reason, the nominalisation cannot belong either to the Actor type or to the Undergoer type. The genitive *þara eorþlicra* 'of wordly' is objetive with respect to *gestrēonan,* although in a stative predication the first argument cannot get the macrorole Agent but Undergoer; and, furthermore, in a macrorole-intransitive predication the second argument cannot receive macrorole.

(10) [GD 4 (C) 27.297.21]

Þæt we witan, Petrus, þæt se ylca wer wæs gebunden mid woruldlicum scirum & higode aa þara eorþlicra gestreona.

'We know, Peter, that the same man was bound with worldly matters and would always aspire to earthly acquisitions.' (based on Gardner 1911; own translation)

6. RESULTS AND DISCUSSION

In the corpus compiled for this study, the verbs *āblinnan, ætstandan, blinnan, forsittan, hīgian* and *(ge)tilian* have been found with nominalisations as complements. These results can be discussed from the morphological and from the semantic-syntactic point of view. On the semantic-syntactic side, the question of the acquisition of verbal properties by nominalisations is addressed.

From the morphological point of view, approximately one half of the nominalisations analysed in this study are headed by a deverbal noun that does not present a derivational suffix. Instead, the derivative is morphologically related to a verb by means of affixless derivation, thus, for instance, *gewinn* 'task', derived from the strong verb *gewinnan* 'to fight, to contend'; *rynes* 'pursuit', derived from the

strong verb *yrnan* 'to run'; *æht* 'pursuit', derived from the preterite-present verb *āgan* 'to own'; *flēwsa*, derived from the strong verb *flōwan* 'to flow'; *ryne* 'pursuit', derived from the strong verb *yrnan* 'to run'; *īerfe* 'inheritance'derived from the weak verb *irfan* 'to inherit'; *fare* 'journey', derived from the strong verb *faran* 'to go'; *bote* 'amend', derived from the strong verb *bētan* 'to mend'; and *gemot* 'assembly', derived from the strong verb *mētan* 'to meet'. Instances of morphological relatedness between nouns and weak verbs without explicit derivational morpheme include *tintregena* 'of those torments' and the weak verb *tintregian* 'to torment'; as well as *gestrēon* 'acquisition' and the weak verb *gestrēonan* 'to acquire' and *eorre* 'from anger' with respect to the weak verb *eorsian* 'to be angry'. Deverbal nominals derived by means of derivational morphemes (suffixes) include *ehtnyss* 'persecution', derived from the preterite-present verb *āgan* 'to own'; *styrenes* 'movement', derived from the weak verb *styrian* 'to steer'; *tǣlnes* 'of slander', derived from the weak verb *tǣlan* 'to slander'; *cossetung* 'kissing', derived from the weak verb *cossian* 'to kiss'; *gescyndend* 'corrupt', derived from the weak verb *gescendan* 'to shame'; *ðegnung* 'ministration', derived from the weak verb *ðegnian* 'to serve'; and *fulwiht* 'baptism', derived from the weak verb *fulwian* 'to baptise'. The derivation of nouns from verbs, as evidenced in the corpus, is largely dependent on affixless formations, as put forward by Martín Arista (2012, 2013, 2019), and typically selects a strong verb base, as remarked by Kastovsky (1992).

From the semantic-syntactic point of view, three types of derived nominals can be distinguised. Firstly, some deverbal nominals entail a verbal predication but do not take complements of their own. This is the case, for instance, with *þæt hi ne ablunnen fram þam gewinne* 'that they do not give up their task' in (1). Secondly, other deverbal nominals entail a verbal predication and take complements of their own. These, in turn, can be divided into two types: direct nominalisations (inflected for a direct case) and oblique nominalisations (inflected for an oblique case). Direct nominalisations, from the semantic point of view, can belong to the Actor genitive type or the the Undergoer genitive type. For example, *and ablan his æhtan* 'and ceased his pursuit' belongs to the Actor genitive type while *cossetunges ł foeta mine* 'kissing my feet' in (6) is a nominalisation of the Undergoer genitive type. Oblique nominalisations are marked by the dative case and take complements of their own, as happens in *blinnan fram ehtnysse cristenra manna* 'to cease from the persecution of Christians' in (5a).

Regarding the acquisition of verbal properties by deverbal nominalisations, the textual fragments displaying aspectual verbs cannot be modified by an adverb, in keeping with Fischer (1992: 252), but the adjectives *unārīmed* 'uncountable', *gescyndend* 'shameful' and *oftrǣd* 'frequent' in (7a) can be considered precursors of adverbial modification because they easily translate as adverbs. Moreover, some nominalisations can take a direct object realized by a noun phrase, as in *ehtnysse cristenra manna* 'the persecution of Christians' in (5a) and *fulwihðe untrumes* 'the baptism of a sick man' in (8a). No subject has been found in a case different from the genitive, in line with Fanego (1996: 33), but this is predictable in a linguistic

stage characterised by full nominal inflection, in which the nominal modifier is consistently case-marked genitive. As for the voice distinction also pointed out by Fanego (1996), in active constructions, like *sio he stille his ðegnunga* 'may he be away from his ministrations' in (8), the genitive marks a macrorole argument, either Actor or Undergoer, whereas in passive constructions, such as *hit bið bedæled ælcre bledsunge* 'it will be deprived of every blessing' in (9), the genitive is a non-macrorole argument.

7. CONCLUSION

This article has analysed the complementation of Old English verbs of aspect by means of noun phrases headed by a deverbal nominal, which represent a structure in competition with finite and non-finite clauses throughout the complement shift described by Rohdenburg (1995, 2006). The article has shown that a theoretical basis like Role and Reference Grammar is needed when it comes to identifying a relationship between verbal and nominal units that share a semantic core; and, moreover, when the links between word-formation in the lexicon and syntactic realization in the grammar need to be acknowledged. A typology has been proposed that requires a parallelism between clausal and phrasal predications in complementation whose morphological correlate is affixless or affixal derivation. Three types of deverbal nominalisations can be distinguished: (i) deverbal nominals that entail a verbal predication but do not take complements of their own; (ii) direct nominalisations (either with Actor or Undergoer genitive); and (iii) oblique nominalisations. To the sources of the English gerund identified by Lass (1992), which include the present participle, the inflected infinitive and the suffix *-ung / -ing*, which forms deverbal nouns, other sources should be added, for which this article has gathered evidence. Such evidence comprises other suffixes (*-ness*) and affixless derivation from both strong and weak verbs. As for the acquisition of verbal properties by deverbal nominalisations, Old English provides evidence of nominalisations with direct objects and voice distinctions. Some precursors of adverbial modification might be identified but this requires further research.

ACKNOWLEDGEMENTS

This research has been funded through the I+D+I project grant PID2020-119200GB-100 (MCIN/AEI/10.13039/501100011033/), which is gratefully acknowledged.

REFERENCES

Attenborough, F. L., ed. and trans. 1922. *The Laws of the Earliest English Kings*. Cambridge: Cambridge University Press.

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

Callaway, M. 1913. *The infinitive in Anglo-Saxon*. Washington: The Carnegie Institution of Washington.

Clark Hall, J. R. 1996. *A Concise Anglo-Saxon Dictionary*. Toronto: University of Toronto Press.

Clemoes, P. 1997. *Ælfric's Catholic Homilies: The First Series*. EETS s.s. 17: 174-77. Oxford: OUP.

Cockayne, O. 1864. *Leechdoms, Wortcunning and Starcraft of Early England. Volume I*. London: Longman.

Denison, D. 1993. *English Historical Syntax: Verbal Constructions*. London: Longman.

Faber, P. and R. Mairal. 1999. *Constructing a Lexicon of English Verbs*. Berlin: Mouton.

Fanego, T. 1996. "The development of gerunds as objects of subject-control verbs in English". *Diachronica* 13 (1): 29-62. https://doi.org/10.1075/dia.13.1.03fan

Fischer, O. 1992. "Syntax". *The Cambridge History of the English Language II. 1066-1476*. Ed. N Blake. Cambridge: Cambridge University Press. 207-407.

Fischer, O., van Kemenade, A. and W. Koopman. 2011. *The Syntax of Early English*. Cambridge: Cambridge University Press.

Gardner, E. G. 1911. *The Dialogues of Saint Gregory the Great*. London: Philip Lee Warner.

Healey, A. dePaolo, ed. 2018. *The Dictionary of Old English in Electronic Form A-I*. Toronto: Dictionary of Old English Project, Centre for Medieval Studies, University of Toronto.

Iyeiri, Y. 2010. *Verbs of Implicit Negation and their Complements in the History of English*. Amsterdam: John Benjamins.

Kastovsky, D. 1992. "Semantics and vocabulary". *The Cambridge History of the English Language I: The Beginnings to 1066*. Ed. R. Hogg. Cambridge: Cambridge University Press. 290-408.

Kuhn, S. M., ed. 1965. *The Vespasian Psalter*. Michigan: The University of Michigan Press.

Lacalle Palacios, M. 2022. "Old English verbs of depriving: the semantics and syntax of possession transfer". *Studia Neophilologica* 94 (1): 32-58. https://doi.org/10.1080/00393274.2021.1879672

Lass, R. 1992. "Phonology and morphology". *The Cambridge History of the English Language II. 1066-1476*. Ed. N. Blake. Cambridge: Cambridge University Press. 23-155.

Levin, B. 1993. *English verb classes and alternations*. Chicago: University of Chicago Press.

Los, B. 2005. *The Rise of the To-Infinitive*. Cambridge: Cambridge University Press.

Martín Arista, J. 2012. "The Old English Prefix Ge-: A Panchronic Reappraisal". *Australian Journal of Linguistics* 32 (4): 411-433. https://doi.org/10.1080/00393274.2021.2025146

Martín Arista, J. 2013. "Recursivity, derivational depth and the search for Old English lexical primes". *Studia Neophilologica* 85 (1): 1-21. https://doi.org/10.1080/00393274.2013.771829

Martín Arista, J. 2019. "Another Look at Old English Zero Derivation and Alternations". *ATLANTIS* 41 (1): 163-182. https://doi.org/10.28914/ATLANTIS-2019-41.1.09

Miller, T., trans. 1999. *The Old English Version of Bede's Ecclesiastical History of the English People*. Cambridge, Ontario: Publications Old English Series.

Mitchell, B. 1985. *Old English Syntax* (2 vols.). Oxford: Oxford University Press.

Molencki, R. 1991. *Complementation in Old English*. Katowice: Uniwersytet Slaski.

Nicholson, L. E., ed. 1991. *The Vercelli Book Homilies. Translations from the Anglo-Saxon*. London: University Press of America.

Ringe, D. and A. Taylor. 2014. *A Linguistic History of English Volume II: The Development of Old English*. Oxford: Oxford University Press.

Roberts, J., Christian, K. and L. Grundy. 2000. *A Thesaurus of Old English* (2 vols.). Amsterdam: Rodopi.

Robertson, A. J., ed. and trans. 1925. *The Laws of the Kings of England from Edmund to Henry I*. Cambridge: Cambridge University Press.

Rohdenburg, G. 1995. "On the replacement of finite complement clauses by infinitives in English". *English Studies* 76: 367-378. https://doi.org/10.1080/00138389508598980

Rohdenburg, G. 2006. "The Role of Functional Constraints in the Evolution of the English Complementation System". *Syntax, Style and Grammatical Norms: English from 1500-2000*. Ed. C. Dalton-Puffer, D. Kastovsky, N. Ritt, and H. Schendl. Bern: Peter Lang. 143-166.

Scragg, D. G. 1992. *The Vercelli Homilies and Related Texts*. New York: Oxford University Press.

Skeat, W. W. 1874. *The Gospel According to Saint Luke*. Cambridge: Cambridge University Press.

Skeat, W. W. 1966 (1881-1900). *Ælfric's Lives of Saints*. EETS 76, 82, 94, 114: 190-218. London: OUP.

Sweet, H., ed. 1871. *King Alfred's West-Saxon Version of Gregory's Pastoral Care*. London: Trübner & Co.

Sweet, H. 1976. *The student's dictionary of Anglo-Saxon*. Cambridge: Cambridge University Press.

Taylor, A., Pintzuk, S. and A. Warner. 2003. *The York-Toronto-Helsinki Parsed Corpus of Old English Prose*. University of York.

Thorpe, B., ed. and trans. 1844. *The Homilies of the Anglo-Saxon Church. Volume I.* London: Red Lion Court.

Van Valin, R. and R. LaPolla. 1997. *Syntax: Structure, Meaning and Function*. Cambridge: Cambridge University Press.

Van Valin, R. 2005. *Exploring the syntax-semantics interface*. Cambridge: Cambridge University Press.

Van Valin, R. 2007. "Recent developments in the Role and Reference Grammar theory of clause linkage". *Language and Linguistics* 8 (1): 71-93.

Van Valin, R. 2014. "Some questions concerning accomplishments". Presented at the Symposium on Verbs, Clauses and Constructions, Universidad de La Rioja.

Visser, F. 1963-1973. *An Historical Syntax of the English Language* (4 vols.). Leiden: Brill.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 95-111. http://doi.org/10.18172/jes.5145

SIRI HUSTVEDT'S *THE SUMMER WITHOUT MEN* AND *THE BLAZING WORLD*: AN INSIGHT INTO THE TWENTY-FIRST-CENTURY ARTIST HEROINE[1]

ISABEL MARÍA OSUNA MONTILLA
University of Tübingen
isaosuna.imom@gmail.com

ABSTRACT. This paper aims to analyse Siri Hustvedt's *The Summer Without Men* (2011) and *The Blazing World* (2014) from the perspective of the female Künstlerroman or Künstlerinroman to show the convergences and divergences between Hustvedt's contemporary artist heroines and twentieth-century ones. Through the methodological framework, I discuss Linda Huf's study of the female artist novel and Evy Varsamopoulou's subsequent revision of it, focusing on the protagonist's interpersonal and social relationships. It could be concluded that Hustvedt's portrayal of the artist heroine is still a result of living in a patriarchal system, but it opens the way for complex representations of female characters, establishing strong emotional bonds between women.

Keywords: Siri Hustvedt, The Summer Without Men, The Blazing World, female Künstlerroman, artist heroine, contemporary women's fiction.

---

[1] This is an enlarged version of the conference paper entitled "Updating the Female Artist Novel: Siri Hustvedt's *The Summer Without Men* and *The Blazing World*", presented at the 7th ASYRAS Conference: New Voices in English Studies, which was held online via Google Meet on June 17-18, 2021.

EL VERANO SIN HOMBRES Y *EL MUNDO DESLUMBRANTE* DE SIRI HUSTVEDT: UNA APROXIMACIÓN A LA ARTISTA HEROÍNA CONTEMPORÁNEA

RESUMEN. Este artículo pretende analizar *The Summer Without Men* (2011) y *The Blazing World* (2014) de Siri Hustvedt desde la perspectiva de la novela de la mujer artista para mostrar las convergencias y divergencias que las artistas protagonistas contemporáneas de Hustvedt presentan en relación con la artista del siglo XX. El marco metodológico se basa en el estudio de la novela de la mujer artista de Linda Huf, y su siguiente revisión de Evy Varsamopoulou, centrándose en las relaciones interpersonales y sociales de la protagonista. Se podría concluir que la representación que Hustvedt hace de la artista protagonista aún mantiene las consecuencias de vivir en una sociedad patriarcal, pero da lugar a representaciones complejas de personajes femeninos, estableciendo fuertes vínculos emocionales entre mujeres.

Palabras Clave: Siri Hustvedt, The Summer Without Men, The Blazing World, novela de la mujer artista, mujer protagonista artista, ficción contemporánea de mujer.

Received 22 July 2021

Revised version accepted 28 February 2023

1. INTRODUCTION

The female artist hero has been present in literary narratives from the nineteenth century to the present time. Critics often consider the novel of the woman artist de Staël's *Corinne, or Italy* (1807) the first of its kind (Boyd 2004: 82). With an increased feminist consciousness around the 1850s in Western society, women authors started writing their narratives about the female artist in a more generalised and continuous way from that moment onwards, thus flooding the North-American and European literary panorama over the following decades. However, these stories of the artist heroine tended to be silenced, proving that artistic production was mainly reserved for men. Indeed, Thornton argues that, "[w]hile the figure of the artist-hero has dominated narratives since the Romantic period, the female artist has either been ignored as a significant literary figure, or has been identified as an inferior individual, an amateur to her male counterpart" (2013: 9).

The consolidation of the female *Künstlerroman* or *Künstlerinroman* as a critical frame, on the other hand, occurred due to the second feminist wave by the end of the twentieth century. As Boes points out, "[t]he rise of feminist, post-colonial and minority studies during the 1980s and 90s led to an expansion of the traditional Bildungsroman definition" (2006: 231). Thus, with this new perspective, a considerable number of literary critics revised their interpretation of the artist novel, promoting a greater awareness of the works written by women authors that dealt with the life and ambitions of the artist heroine. Furthermore, critics aimed to trace the origins of the female artist novel as well as the features that could define it. Publications such as Grace Stewart's *A New Mythos: The Novel of the Artist as Heroine*

(1877-1977) (1979) and Suzanne Jones' edited volume of essays, *Writing the Woman Artist: Essays on Poetics, Politics and Portraiture* (1991), are two notable instances of pieces of literary criticism that contributed to the feminist studies of the artist novel. Stewart explains in her preface that, "[b]y examining how female writers structure their novels of the artist as heroine and therein treat certain existing myths and mythic images", it could be concluded that "the mythic pattern of the female artist differs significantly from the so-called universal pattern" (1979: i). Jones and her collaborators, for their part, explored "the many ways in which women writers have seen and dreamed the woman artist as a character in their works" (1991: 1). Other significant works that cover a variety of female artist novels are Susan Gubar's "The Birth of the Artist as Heroine: (Re)production, the *Künstlerroman* Tradition, and the Fiction of Katherine Mansfield" (1983), and Rachel DuPlessis's chapter "To 'bear my mother's name': *Künstlerromane* by Women Writers" (1985), in which she underlines that, "[t]he figure of the female artist encodes the conflict between any empowered woman and the barriers to her achievement" (84).

In spite of the previous writings, there are two works that seek to analyse more specifically the genre of the female artist novel: Linda Huf's *The Portrait of the Artist as a Young Woman: The Writer as Heroine in American Literature* (1983) and Evy Varsamopoulou's *The Poetics of the Künstlerinroman and the Aesthetics of the Sublime* (2002). Focusing on the North-American tradition, Huf's study aimed to delineate the common features of the artist heroine from the end of the nineteenth century until the mid-twentieth century, showing a changing tendency in the aspects that define the artist heroine of the late twentieth century. Varsamopoulou, in turn, chose a more heterogeneous group of female artist novels for her discussion and covered metafictional aspects, but still refers to Huf's research by revisiting her main characteristics and expanding the scope of the *Künstlerinroman* beyond autobiographical matters: "[t]he novel may or may not be autobiographical, whether or not it is shaped as a *Bildungsroman* of an aspiring writer, and despite the persistence of many critics to read them as 'portrait of the author'", although she does not deny the "self-reflecting structure" in many female artist novels written by women in the twentieth century (2002: xiii).

Today, women authors continue to write female artist novels, showing the lives and motivations of the twenty-first-century artist heroine. The winner of the Princess of Asturias Award for Literature 2019, Siri Hustvedt (Minnesota, United States, 1955), deals with women artists protagonists in some of her fictional literary works, exposing the circumstances of the artist heroine in current society. Hadley Freeman highlights in an online interview for *The Guardian* that throughout Hustvedt's literary career, and especially since her bestseller *What I Loved* (2003), "she has struggled with two extremely trying public perceptions: that her novels should be seen through the prism of autobiography, and she herself should be seen through the prism of her husband, novelist Paul Auster" (2011). Yet, Hustvedt's novels of the female artist have received several awards: *The Summer Without Men* became an international bestseller, being shortlisted for Prix Etranger Femina for best foreign book of the year in France in 2010, and *The Blazing World* was long-listed for the

Man Booker Prize and won the Los Angeles Times Book Prize for Fiction in 2014. As Hustvedt's contemporary novels escape from the temporal scope of Huf's study, it seems interesting to discover how today's artist heroine has varied with regard to the ones who preceded her. Thus, this paper aims to analyse Siri Hustvedt's novels *The Summer Without Men* (2011) and *The Blazing World* (2014) from the point of view of the novel of the female artist to show the convergences and divergences that her protagonists present, following key characteristics outlined by Huf and subsequently revised by Varsamopoulou. By doing so, I do not only intend to show the differences and similarities between these artists, but also to highlight the relevance of this author and her literary work, and to bring into discussion a subgenre that tends to be ignored: the female *Künstlerroman*. Considering that there is not much criticism about Hustvedt's fictional work, the time is right to analyse the contribution of this author to the genre of the artist heroine.

2. THE FEMALE *KÜNSTLERROMAN* SUBGENRE DEFINED

Linda Huf reinforces in her introduction to *The Portrait of the Artist as a Young Woman* the struggle that artist heroines have faced in order to obtain a central place in literature, and proposes five common characteristics for the female *Künstlerroman* which subvert the male dominating pattern introduced by Maurice Beebe's *Ivory Towers and Sacred Founts: The Artist as Hero in Fiction from Goethe to Joyce* (1964). These main features could be summarised as follows: the masculinised behaviour of the woman artist protagonist; a ruling conflict that goes beyond the dichotomy between life (sensual desires) and art (spiritual ambitions), being trapped between the role as selfless woman and her commitment to art; the depiction of the artist heroine against a sexually conventional female foil; men as figures who prevent the woman artist from working, rather as male muses, as the women are in male artist's novels; and finally, the radical nature of the female artist novel, for its protagonist fights for the rights of women and against the patriarchal culture in which she is embedded, acquiring an unenviable reputation (Huf 1983: 4-11).

In addition to this, Huf analyses the evolution and contemporary representation of the artist heroine in the chapter titled "The Artist Heroine Today: A Ritual for Being Reborn". Taking as starting point the fact that women writers produced fewer artist novels than men, and that the condition of these heroines as artists and women implied self-sacrifice, Huf exposes the tendency in the late twentieth-century towards an increased number of artist novels written by women and a presence of artist heroines "who are likelier to succeed than ever before" (1983: 159). The peculiarities that she finds in this new artist heroines are that: they refuse to sacrifice their artistic desires for others' demands; they feel reborn as artists when leaving the domestic sphere, although it is a self-rebirth, since they lack a powerful female model to follow and the figure of a real mother who proves to be supportive; and that they are finally learning to escape from the people who prevented them from flying, however, "[i]f her flight is no longer failed, neither is it wholly triumphant either" (Huf 1983: 152-156). A feature that these female artist novels share with their

predecessors, on the contrary, is that men still play a negative role for the artist heroine: "[i]t still remains for women writers to give us artist heroines who demand —and get— the help of men" (Huf 1983: 159). Finally, this critic argues that the subgenre of the female *Künstlerroman* keeps evolving, a change that goes "along with woman's changing role in the Western world" (1983: 159).

Evy Varsamopoulou devoted a section of her publication to the analysis of the female artist novel. Through it, she tries to consider the ways in which the *Künstlerinroman* differs from other genres, together with the generic influences that are essential to the tradition of the male and female artist novels. To do so, she does a critical revision of the literary history of the *Künstlerroman*, showing how it detaches itself from the *Bildungsroman* and its importance as a genre from the early German Romanticism. Furthermore, the author provides an overview of some of the fundamental pieces of English literary criticism that have approached the male and female artist novel; among them, one finds the works of Roberta Seret, Maurice Beebe and the aforementioned critic Linda Huf.

It is Varsamopoulou's review of Huf's *Portrait of the Artist as a Young Woman* that should be highlighted here. She revisits the five general features of the female artist novel proposed by Huf, and discusses the unexplored difficulties and also possibilities concerning each of them. With regard to the first characteristic, Varsamopoulou states that in the same way as Beebe, the portrayal of the defining behaviour of the artist protagonist has been stereotyped from a gender perspective: "[b]oth critics assert that a recognizable 'personality type' of woman or man will become an artist, but it is more likely that this repeated representation of the male protagonists as 'feminine' and female ones as 'masculine' stresses the oppressive homogeneity and stereotyping of conventional gender models in their society" (2002: xxi-xxii). As for the second feature, which referred to the 'divided self', Varsamopoulou argues that this conflict has to do, in both artist hero and heroine, with "ambivalent desires and a theory of energy: either withdrawal of energy into the self increases the overall 'amount' or there is increase of energy from encounters with other people" (2002: xxii). When examining the third and fourth differences that Huf proposes in relation with Beebe's theory, which made reference to the detrimental relationships that the artist heroine maintains with other female and male characters respectively, the author uses a few cases within the English *Künstlerinroman* tradition that are exceptions to these "generally valid" two differences, such as H.D.'s *Palimpsest* (1926) (2002: xxii). For the last difference presented by Huf, Varsamopoulou delves into the concept of the "radicalism" of the female artist novel, presuming that "it lies in the explicit textualization of the suffocating constraints of gender stereotypes, which virtually dictate against (public) artistic activity" (2002: xxiii).

3. SIRI HUSTVEDT'S *THE SUMMER WITHOUT MEN* AND *THE BLAZING WORLD*

3.1. THE SUMMER WITHOUT MEN *(2011)*

Mia Fredrickson, the 55-year-old poet narrator of Hustvedt's *The Summer Without Men*, is asked by her husband, the renowned neuroscientist Boris Izcovich, for a "pause", after thirty years of marriage having had a daughter together. This forced situation leads her to suffer a brief psychotic disorder and, consequently, spend a week and a half in a psychiatric ward. After her release, coinciding with the beginning of the summer, Mia decides to leave her apartment in Brooklyn and return to the place where she grew up: Bonden, a city placed at the Minnesota prairies. There, Mia rents a small house and sets herself up "in what appeared to be the husband's study" (Hustvedt 2011: 7).[2] As time goes by, a "casual sisterhood" (Rajendran 2019: 2) is formed between Mia and the women who surround her. These are her mother and her mother's friends, who Mia calls the "Five Swans", a group of widows who "shared a mental toughness and anatomy that gave them a veneer of enviable freedom" (*SWM*: 8); her neighbour Lola, who is the mother of two little children; and the seven adolescent girls to whom Mia teaches poetry in a workshop for the summer.

A salient feature that Mia shares with her preceding artist heroines is her inner conflict between being a woman and an artist. Huf underlines in her study the "practical impossibility of being both selfless helpmeet and committed craftsman" (1983:6). This means that the artist heroine has to handle the fulfilment of her artistic needs, while she cannot dismiss the expectations imposed on her gender. In *The Summer Without Men*, when Mia is setting herself up in the office of the rented house, she remembers how she had to fully devote herself to the caring of her daughter, which complicated the accomplishment of her role as an artist: "I had the grim thought that there had seldom been room for me and mine, that I had been a scribbler of the stolen interval. I had worked at the kitchen table in the early days and run to Daisy when she woke from her nap" (*SWM*: 6).

As discussed in the late twentieth-century version of artist heroine proposed by Huf, Mia later refuses to prioritise the needs of others, experiencing in this way a period of personal and professional growth; although Mia's rebirth as an artist is partial, for she is already recognised as a poet. When referring to Mia, Appignanesi argues that "[t]he distance from a husband whom she admits she experiences as overbearing allows her to reconstitute her own independent boundaries" (2011). Mia's realisation that she is "better off without him" (*SWM*: 74), empowers her to gain autonomy and undergo an artistic – and personal – rebirth. Nonetheless, it is important to acknowledge that Mia's rebirth as an artist is not completely novel, for was previously a professional poet: "I had my Doris prize and I had my PhD in

[2] Subsequent quotations of this novel will be cited parenthetically within the text with the initials *SWM*.

comparative literature and my job at Columbia, crusts of respectability to offer as evidence that my failure wasn't complete" (*SWM*: 18).

It has been claimed that, in the rebirth of the artist heroine, she was her own role model, since she was unable to find "a mentor of her own sex who has also thrown in the kitchen towel" (Huf 1983: 153). However, Hustvedt's protagonist does have a woman artist as an inspiration: Abigail, one of the "Five Swans". She is described by Mia as "a remarkable woman, an art teacher for children and an artist, an artist who knew her Bible" (*SWM*: 162). Mia visits Abigail frequently and she profoundly admires "her rigidity" (*SWM*: 160). Abigail divorced her husband, and afterwards she started to teach art at school. She also joined a sewing group, and that was when, as Mia tells, "her double life began", for she started to create works of art, "both conventional and subversive or, as she put it, 'the real ones' and the 'fakes.' She sold the fakes" (*SWM*: 161). According to Thiemann, Abigail's artistic production illustrates "Hustvedt's interest in women's self-empowerment and the problem of ongoing gender discrimination" (2016: 321). In a passage full of ekphrasis, Abigail makes Mia aware of her story as a woman artist by showing her the "real" works of art: "the elderly Abigail bewilders the novel's heroine and narrator, Mia Fredrickson, with her sinister 'amusements' – works of needlepoint planted with secret buttons that open upon sinister worlds that seem to represent her community's history of sexual violence" (Tougaw 2016: 118). Two days before Abigail's death, Mia visits her for the last time at the hospital, where she promises her to make her real artworks appreciated: "I talked to her, told her I remembered everything, would get the will from the drawer when it was time and would do everything in the world to get the secret amusements into a gallery somewhere" (*SWM*: 173).

Mia's biological mother escapes from the literary stereotype of the inadequate model for the rebellious artist heroine. While Huf points out that these characters "are so fanatically feminine that their daughters feel unmothered in effect if not in fact" (1983: 155), Mia's mother proves to have an encouraging attitude and a growing sense of freedom. Even though Mia's mother remained in the domestic sphere during her marriage, now that she is a widow, she does not want to return to that period marked by self-sacrifice: "'That period is over,' my mother said when I asked her about men in her life. 'I don't want to take care of a man again'" (*SWM*: 61). Furthermore, she educated her daughters in a way that deviates from the standard one, as Mia explains, "[s]he had sung to us at night, handed us edifying reading material, censored movies, and defended her daughters to uncomprehending school-teachers" (*SWM*: 12). Mia's mother is a woman who suffered the consequences of a patriarchal culture and who avoided imposing those traditional ideas on her daughters, and now she just wants to devote her last years of life to what makes her happy.

Another characteristic that Hustvedt reverses in *Summer Without Men* is the presence of an artist heroine's female foil. The purpose of this "frivolous friend or enemy, who embodies excessive devotion to the female role" is underlining the heroic behaviour of the protagonist (Huf 1983: 7). Here, at first sight, the only female

character that could serve this function is Lola, Mia's neighbour in Bonden. When Mia first meets her, she describes the "birdcages" that she wears: "[t]he young mother looked bedraggled at that moment, almost slovenly, in her cut-off jeans, a pink halter top, and earrings of her own making, two golden birdcages that hung from her earlobes" (*SWM*: 57). Additionally, while being at Lola's house, Mia discovered that Lola was trapped in an abusive relationship: "By eleven o'clock I had discovered that Pete was a problem, 'even though I love him'"; and also, her low academic background: "'I wish I knew what you know,' […] 'I should have studied harder. Now, with the kids, I don't have time" (*SWM*: 58). Taking into account this situation, Lola may endorse certain values that differ from the artist heroine. Nonetheless, Hustvedt does not present this character as an enemy of Mia, stressing their differences, but rather she emphasises the female bond that is forged between them: "What mattered was that an alliance had been established between us, a felt camaraderie that we both hoped would continue" (*SWM*: 59).

In a mainly female panorama, the most prominent relationship with men that emerges in the story is the one between Hustvedt's artist heroine and her husband: a marriage relationship that also here means a "death warrant" (Huf 1983: 159) for the artist heroine. Mia's marriage to Boris placed her in the submissive role, where she was relegated to the caring of the house. Indeed, when looking back at her years as wife, Hustvedt's protagonist acknowledges the dominant role of Boris: "I am screaming, All these years you came first! You, never me! Who cleaned, did homework for hours, slogged through the shopping? Did you? Goddamned master of the universe! Phallic Übermensch off to a conference. The neural correlates of consciousness! It makes me puke!" (*SWM*: 24).

In aiming to subvert this male leadership, it was claimed that the female artist novel acquired a radical nature: *Summer Without Men*'s explicitly textualizes Mia's goal of overcoming the obstacles that prevent her for becoming an artist. Bringing back Huf's idea, she defended that the female artist novel was radical because the artist heroine "challenges not only the Babbit and boor, but also the bigot and bully", and because the artist heroine "has internalized society's devaluation on herself and her abilities, she must slay enemies within her own ranks", without forgetting that when she ventures to confront norms and values, "she acquires the reputation of a troublemaker, not the renown of a freedom fighter" (1983: 11). By the beginning of the story, Mia explains how her husband could get a room on his own "without moving a muscle. All he had to do was stand there 'quiet as a mouse'"; and she, on the contrary, "was a noisy mouse, one of those that scratched in the walls and made a ruckus, but somehow, it made no difference. The magic of authority, money, penises" (*SWM*: 6). Similarly, there is a moment in which she has to confront her own mind intoxicated by the male-dominated culture:

> the deforming constant doubts that my poems were shit, a waste, that I had read my way not to knowledge but into an inscrutable oblivion, that I, nor Boris, was to blame for the Pause, that my truly great work, Daisy, was behind me seemed all to be true. Now, menopausal, abandoned, bereft, and forgotten, I had nothing

> left. I put my head on the desk, thinking bitterly that it wasn't even my own, and wept. (*SWM*: 56)

In addition to this, Mia's fight is seen as problematic for those who are next to her: "I can see in my father's eyebrows that it is not right, in my mother's mouth that it is inappropriate, in Boris's frown that I am too loud—too forceful. I am too fierce" (*SWM*: 88).

Despite suffering the effects of an oppressive tradition, Mia learns to "fly", meaning that she is able to leave behind her enemies; and in contrast to the uncertain situation proposed by Huf, Mia's flight does end in a successful manner. As Huf stresses in her analysis of the reborn artist heroine, "[t]he contemporary creative heroine is thus a transcendent Daedalus more than a downed and drowned Icarus" (1983: 156). Hustvedt's artist heroine goes from seeing herself in a restricting context, as she states "I am bouncing on the house, but I cannot fly" (*SWM*: 88), to deciding to move to Bonden, where she experiences an unprecedented artistic and personal freedom. While she stays there, she is "hired to teach a poetry class for kids at the local Arts Guild" (*SWM*: 4), an activity that places her in front of seven adolescent girls, and that definitely benefits Mia: "by the end, I felt my encounter with the Coven had done me good. I was hugged by all seven, my praises were sung" (*SWM*: 171). In fact, meeting them encourages Mia to start a new artistic project, which emphasises Mia's acquired selfishness: "I decided to catalog my carnal adventures and misadventures in a pristine notebook, to defile the pages with my own pornographic history and to do my best to leave it husband-free" (*SWM*: 22). Moreover, Mia's last sentence stresses the successful ending of her flight. When her husband regrets his behaviour and aims to visit her at her home, Mia says to her daughter: "'Let him come to me'" (*SWM*: 182), a sentence which indicates putting herself first.

There are also other instances that indicate Mia's success, since one finds two paratextual elements that make reference to her victorious flight, and therefore, her acquired freedom: the cover and Hustvedt's drawings. As for the first, *Picador*'s cover of *The Summer Without Men* shows a woman flying with her arms widely open and her face pointing to the sky. This figure can be seen as an intertextual reference to the myth of Icarus: subverting in this case the artist heroine's ending. In Greek mythology, Icarus receives a pair of wings made by his talented father Daedalus to escape from the tower in which they are both prisoned. Nevertheless, Icarus's ego leads him to disobey his father's advice and fly as high as he can, dying in the end because the sun melted his wings. Here, Mia's selfishness has a favourable outcome, because it is this attitude which guides her to free herself from the situation that impossibilities her joy. Hustvedt's drawings, on the other hand, depict the developmental structure of Mia's flight. As Hustvedt states in an interview for *Transatlantica*: "[t]he drawings in *The Summer Without Men* are cartoons, simple drawings, but not illustrations. The four images depict the arc of the story as well as the encounter between narrator and her persona in the narration" (Maniez 2016: 5). The first drawing shows a suffocated woman inside a square, and the last drawing depicts a naked woman flying freely over it.

3.2. THE BLAZING WORLD *(2014)*

Siri Hustvedt's *The Blazing World* narrates the story of Harriet Burden (also known as Harry), a sculptor in her sixties who suffers the consequences of gender bias in the art world. Harriet experiences how the New York art world undervalues her, seeing her as just the wife of the successful art dealer and collector Felix Lord. After her husband's death, she decides to abandon her public life as an artist and move to Red Hook. There, annoyed about this lack of recognition, she decides to create *Maskings*, a project by means of which she aims "not only to expose the antifemale bias of the art world, but to uncover the complex workings of human perception and how unconscious ideas about gender, race, and celebrity influence a viewer's understanding of a given work of art" (Hustvedt 2014: 1).[3] Harriet presented her artistic work in three different galleries in New York using the pseudonyms – or rather masks – of three male colleges. The experiment proved that "[w]hen presented as the work of a man, her art suddenly found an enthusiastic audience" (*BW*: 72). When Harriet wants to uncover her ambitious project, her third mask betrays her, claiming that her artistic work was actually done by him. Hustvedt's protagonist dies without proving the authorship of her works to the public eye and therefore without achieving the recognition that she deserved. However, her story comes to light thanks to I. V. Hess, the editor in Hustvedt's novel. This character, who is a professor of aesthetics, comes across a thought-provoking quote by Harriet and she decides to discover the story behind its author, so she manages to gather several testimonies of Harriet's notebooks, family, enemies and friends. She portrays all this in a final polyphonic book that is supposed to be the one the reader has access to. Following Gabriele Rippl's words, "[t]he novel consists of a polyphonic spectrum of voices and incorporates a variety of genres which are barely stitched together. The structure is one of a book within a book" (2016: 35).

Like her female predecessors, Harriet Burden is torn between her domestic role and her artistic inclination. It is evident that "the woman artist has been caught from the star in a double bind. In trying to be both woman and artist—that is, both selfless and self-assertive—she has been trapped in a no-win situation" (Huf 1983: 151). The character of I. V. Hess emphasises this dichotomy when she states that reading Harriet's personal diaries together with the written statement of those who knew her, allowed her to have "a nuanced view of Harriet Burden, the artist and the women" (*BW*: 10). Attending her role as a selfless woman, Harriet nurtured her children, Maisie and Ethan, without her husband's involvement: "[f]or at least three years I was awash in milk and poop and piss and spit-up and sweat and tears. It was paradise. It was exhausting. It was boring. It was sweet, exciting, and sometimes, curiously, very lonely" (*BW*: 16). In this way, Harriet had to make a remarkable effort to satisfy her artistic ambitions during that period. For instance,

[3] Subsequent quotations of this novel will be cited parenthetically within the text with the initials *BW*.

the protagonist narrates that she hired nannies "so I could work and read", and worked "[i]n the room I called my microstudio" (*BW*: 16).

Harriet's condition as a woman leads her to suffer a constant rejection from the New York art world, however, she dares to fight for herself and dismantle the gender bias that she has experienced: an action that triggers her artistic rebirth. Rachel Cusk writes in her online review for *The Guardian* that "[a]s it stands the critical establishment knows Harriet as the hostess of her husband's dinner parties and the mother of his two children, and grudgingly at that, for she is a woman surprisingly – considering his famously exquisite tastes – lacking in physical and social graces" (2014). Tired of the endless misunderstanding, Harriet decides to take action: "[b]y the time he died, Felix's heyday had passed. He had become historical, the dealer to P. and L. and T. of days gone by. His wife was ahistorical, but what if I could return as another person?" (*BW*: 33). With this purpose, she carries out her project *Maskings*, which leads her to work with three male artists and present her work in three art galleries in New York by using their names. The three solo exhibitions are *The History of Western Art* by Anton Tish, *The Suffocation Rooms* by Phineas Q. Eldridge, and *Beneath* by Rune. Hustvedt herself explains that, "*Maskings* is a game, a form of playing and competition, part of our world usually understood as male not female. Harry wants to open the field of play, to allow women to compete without prejudice" (Becker 2016: 411). Then, without her husband, Harriet "feel[s] emboldened to restart her own career, this time under assorted male personas" (Eberstadt 2014).

Harriet's feeling of having been reborn as an artist requires that she has a female role model. For this, Hustvedt introduces the figure of the writer and intellectual Margaret Cavendish, who is an illuminating example for Harriet. As Rippl states, "[o]n many occasions Burden refers to Margaret Cavendish, Duchess of Newcastle, as a rich source of inspiration. The title of Hustvedt's novel evokes this seventeenth-century British aristocrat's prose work *The Blazing World* (1666), which is considered the forerunner of science fiction in English" (2016: 35). Indeed, Harriet writes in *Notebook D*, "I am back to my blazing mother Margaret" (*BW*: 348), which proves the theory that she sees Cavendish as a guide. In addition to this, the character of I. V. Hess remarks the similarities that these artists share at the beginning of the book, stressing that both women were mocked and misunderstood for being intelligent and outstanding women in a society that kept women under tight control:

> Snubbed by many with whom she would have liked to engage in dialogue, Cavendish created a world of interlocutors in her writing. As with Cavendish, I believe that Burden cannot be understood unless the dialogical quality of her thought and art is taken into consideration. […] Her notebooks became the ground where her conflicted anger and divided intellect could do battle on the page. Burden complains bitterly about sexism in the culture, the art world in particular, but she also laments her 'intellectual loneliness.' She broods on her isolation and lashes out at her many perceived enemies. […] Like Cavendish, Burden's desire for recognition in her lifetime was ultimately transmuted into a hope that her work would finally be noticed, if not while she was alive, then after her death. (*BW*: 6-7)

With regard to the relationship with her mother, Harriet also abandons the role of the artist heroine who feels unmothered. Even though Harriet's mother has to deal with a dominant husband, her daughter maintains a close relationship with her. She tells Harriet: "I rarely got a word in at a dinner party, you know. I brought in the food and I cleared the table and I listened, but when I began to speak, he would cut me off" (*BW*: 218). The reasons for the close relationship may reside in the fact that her mother took care of her unconditionally and also valued her work. For instance, Harriet expresses the admiration that she felt towards her mother when remembering her: "I would cry and, when I cried, I would long for my mother, not the small dying mother in the hospital but the big mother of my childhood, who had held and rocked me and tutted and stroked and taken my temperature and read to me" (*BW*: 37). In turn, Phineas Q. Eldridge, Harriet's second mask, highlights how pleased Harriet's mother was with her daughter's artistic performance: "Her parents came to the opening. Her mother was sweet and proud and full of congratulations" (*BW*: 129). Thus, it seems that Harriet can rely on her natural mother, since she appears to be caring and, most importantly, supportive.

In the same way that Hustvedt creates an enriching union between Harriet and her mother, she also avoids using a female foil for her artist heroine, stressing instead the bonding between women by means of Rachel Briefman, Harriet's best friend. Differing from the character of a woman whose "substance is ice next to the heroine's fine" (Huf 1983: 7), Rachel's personality is strong and sparkling. Both Rachel and Harriet, are presented as women with great goals, who have always supported each other since they were twelve years old:

> We studied together, and we daydreamed together. I imagined myself in a white coat with a stethoscope around my neck, marching down hospital corridors, ordering around nurses, and Harriet saw herself as a great artist or poet or intellectual—or all three. We were a team of two against a hostile world of adolescent hierarchies. My mother once said to me, 'Rachel, all you really need is one good friend, you know.' I found that friend in Harriet. (*BW*: 49)

Moving on to Harriet's relations with male characters, Hustvedt reveals complex and detrimental relationships between her artist heroine and the men close to her. To begin with, Harriet's husband saw the work of his wife meaningless in comparison with his own: "Harry said she had found herself tiptoeing past Felix's study so as not to disturb him on the days when he had worked at home, had squelched her opinions at dinners because Felix hated conflict, but he would march into her studio without knocking to ask her some trivial question" (*BW*: 254). Certainly, Huf's suggestion that, when concerning the artist heroines' husbands, "[i]n no instance do they offer the kind of encouragement let alone the services that wives give male artists" (1983: 158), could be taken into consideration here. Along the same lines, Harriet's father proves to be an unsupportive figure, since from the very beginning he rejects the presence of a ten-year-old Harriet in his workplace: "'Harriet, what are you doing here? You should not be here'" (*BW*: 152); and he is bitterly critical of Harriet's artistic work: "Her father was silent, but then right before he left, he said to her, 'It doesn't resemble much else that's out there, does It?'" (*BW*: 129).

The relationship between Harriet and Rune, however, could be understood as the most damaging for the artist heroine. Harriet found Rune as her perfect candidate to complete her experiment, for he was a famous and eye-catching young artist. Rune accepted Harriet's offer and he served as her third name for her last exhibition. Nevertheless, Rune ultimately betrays her and falsely claims that he was the real creator behind *Beneath*. As Tougaw states, "Burden loses. She cannot help becoming Rune's object, and in the end he steals her work and discredits her as a lunatic" (2016: 123). As a matter of fact, there is a fragment in the novel where Rune is asked in an interview about *Beneath* and he firmly denies Harriet's authority, claiming that her accusations were unfounded and stating that he considered her as a "muse", which indicates a return to the passive and traditional position of women as muses or sources of inspiration for the male artist, and not possible creators of the work of art:

> Harriet Lord has been really great to me, not only as a collector of my work, but as a true supporter. And I think of her as a muse for the project. Beneath could never have happened without the long talks we had together and her generous backing. What I can't understand is that she seems to claim she is responsible for my work. She seems to believe that she actually created it. I simply can't understand why she would say that. You know, she had a really hard time after her husband died, and she's been in psychiatric treatment for years. For the record, let's just say she's a kind lady, but a little confused from time to time, and leave it at that. (*BW*: 308)

Hustvedt's *Blazing World* conveys the radical elements that form the *Künstlerinroman*, for the novel acknowledges how Harriet refuses to stay quiet before a male *status quo* that undervalues her, gaining an undeserved reputation. Harriet confronts a society in which 'womanhood' and 'artist practice' are incompatible terms. Thiemann points out that Hustvedt's novel "take[s] issue with particular kinds of feminism, especially those that reduce women (artists) to victims of patriarchal oppression" (2016: 324). Then, Harriet Burden is not a defenceless victim, but a "feminist warrior" (*BW*: 168). The very first lines of the novel verbalise Harriet's aim to dismantle the gender bias in the art world: "All intellectual and artistic endeavors, even jokes, ironies, and parodies, fare better in the mind of the crowd when the crowd knows that somewhere behind the great work or the great spoof it can locate a cock and a pair of balls" (*BW*: 1). Moreover, Harriet's second mask underlines the rejection of Hustvedt's artist heroine, and at the same time, how she strives for being heard:

> It was true they didn't want Harry the artist. I began to see that up close. She was old news, if she had ever been news at all. She was Felix Lord's widow. It all worked against her, but then Harry scared them off. She knew too much, had read too much, was too tall, hated almost everything that was written about art, and she corrected people's errors. (*BW*: 134)

As seen previously, Huf defends that "[u]nlike other rebels in literature, the artist heroine is seldom accounted a liberator" (1983: 11). The fact that Harriet "scared

them off", reinforces that when the artist heroine goes against a culture that is constantly undervaluing her, she is likely to be seen as a threat to those who want to limit her freedom.

Harriet dares to escape from the people who prevented her from achieving her goals. "Maisie, I can fly" (*BW*: 22) affirms Hustvedt's protagonist once far from her home. Her flight begins when she realises that "[t]here's still time to change things" (*BW*: 18), moving consequently to Red Hook (Brooklyn) in order to fulfil her artistic desires:

> I understood that my freedom had arrived. There was nothing and no one in my way except the burden of Burden herself. The wide-open future, the great yawn of absence, made me dizzy, anxious, and, occasionally, high, as if I had doped myself, but I hadn't. I was the ruler of my own little Brooklyn fiefdom, a rich widow woman, long past babies and toddlers and teenagers, and my brain was fat with ideas. (*BW*: 28)

In this new place, Harriet fully lives as an artist, obtaining a proper place to work and aiming to encourage other young artists to succeed in their careers:

> My mother's place was immense, an old warehouse building. She had two floors, one to live in and other one to work in. […] she also had a fantasy about supporting young artists directly, putting them up, giving them space to work in. My father had his foundation. My mother had her ad hoc Red Hook artists' colony. (*BW*: 22)

Despite freeing herself from the people who cut her wings, Harriet meets an unsuccessful end, since she dies without being recognised as the true author of *Beneath*. Thiemann underlines the pessimistic side of the novel when she states that among Hustvedt's female artist novels, "*The Blazing World* is perhaps the least optimistic" for Harriet's political project "goes disastrously wrong, and she dies before the novel's end" (2016: 324). When she wanted to prove the success of her project, for she says: "Yes, it's time for me to burst into bloom, to find my happiness. It's time to tell everyone" (*BW*: 293), Rune decided that he was going to keep *Beneath* as his own. In addition to this, when Rune dies, the media trusted Rune's statement, eluding Harriet's claim for authorship, which leads her to her defeat:

> Tributes to Rune spewed from the media maw, accompanied by photos of still-youthful brooding artist decoratively slouched beside his works, including *Beneath*, no, especially, *Beneath*. […] Not a word about Harry. Her obliteration was total. […] He was dead, but she was dead to him, too, dead to the story, dead to the pseudonyms. Her shining vehicle had crashed before it reached its destination, just as his had. […] She had been more right than she had even known. The powers-that-be would never accept her art, because it was hers. Harriet Burden was nobody, a big, fat, unrecognized nobody. (*BW*: 317-8)

4. CONCLUSIONS

Mia Fredrickson and Harriet Burden share with their female predecessors an inner ruling conflict between fulfilling their role as mothers and wives, and artists. Both characters have to take care of their children and attend their husband's desires, at the same time that they need to satisfy their artistic ambitions. Mia and Harriet start their journey towards a more "selfish" artist heroine in a similar manner: they decline to put the needs of others ahead of their own goals, they feel reborn as artists, and they dare to fly. Mia is already presented as a recognised poet, but she undergoes an artistic and personal rebirth when she understands that she is better without her husband, leaving the city to focus on her artistic career in Bonden. Harriet, for her part, tired of a constant rejection from the New York art world, decides to move to Red Hook, where she carries out her project *Maskings* to show the current gender bias in the art world, experiencing an unprecedent artistic rebirth. Another feature in each of these female artist novels is the troubled relationship that the female protagonist has with men. When it comes to the freedom of the artist heroine, Mia's husband and Harriet's third male mask prove to be obstacles for obtaining it. Besides, the radicalism that Huf stresses in the female *Künstlerroman* is also present in Hustvedt's novels. Mia and Harriet have to fight against gender constraints to succeed as artists, and both confront inner fears and face a difficult social position due to patriarchal culture.

There are, however, significant features that make these contemporary artists different from previous examples. The first one resides in the strong relationship between Hustvedt's artist heroines and the other female characters. Hustvedt does not only reject the idea of the female foil for the artist heroine, but she also offers mothers who are supportive, and other woman artists that serve as a source of inspiration for the protagonists. Mia feels close to her neighbour Lola, and she can count on her mother and the elderly artist Abigail. Harriet has the friendship of Rachel, the protection of her mother, and the figure of Margaret Cavendish as a model to follow. The second variation has to do with the uncertain ending of the artist heroine's flight argued by Huf, for Hustvedt presents two final outcomes for her protagonists: a successful one for Mia, since she recovers the control of her life; and a failed one for Harriet, as she loses the opportunity to prove that she deserved to be appreciated and valued as an artist while she was alive. Hence, it should be concluded that Hustvedt updates her stories of the female artist according to the current needs and situations of the twenty-first-century artist heroine. In her writing, Hustvedt encourages and highlights the bonds between women, and shows that in the same way that the effort of the contemporary artist heroine could be rewarded, there are other cases in which her work may remain unnoticed, suggesting that the woman artist has to continue to raise her voice in today's society, and most importantly, that the rest of the world needs and – has to – listen to her.

REFERENCES

Appignanesi, L. 2011. "The Summer Without Men by Siri Hustvedt-review". *The Guardian*, 20 February. <https://www.theguardian.com/books/2011/feb/20/summer-without-men-siri-hustvedt-review>. (Accessed 22 July 2021).

Becker, S. 2016. "'Deceiving the reader into the truth': A Conversation with Siri Hustvedt about *The Blazing World* (2014)". *Zones of Focused Ambiguity in Siri Hustvedt's Works: Interdisciplinary Essays*. Eds. J. Hartmann, C. Marks, and H. Zapf. Berlin/Boston: De Gruyter. 409-422.

Boes, T. 2006. "Modernist Studies and the Bildungsroman: A Historical Survey of Critical Trends". *Literature Compass* 3 (2): 230-243.

Boyd, A. E. 2004. *Writing for Immortality: Women and the Emergence of High Literary Culture in America*. Baltimore: The Johns Hopkins University Press.

Cusk, R. 2014. "The Blazing World by Siri Hustvedt-review". *The Guardian*, 15 March. <https://www.theguardian.com/books/2014/mar/15/blazing-world-siri-hustvedt-review>. (Accessed 22 July 2021).

DuPlessis, R. B. 1985. *Writing Beyond the Ending: Narrative Strategies of Twentieth-Century Women Writers*. Bloomington, IN: Indiana University Press.

Eberstadt, F. 2014. "Outsider Art". *New York Times*, 28 March. <https://www.nytimes.com/2014/03/30/books/review/the-blazing-world-by-siri-hustvedt.html>. (Accessed 22 July 2021).

Freeman, H. 2011. "Siri Hustvedt: my life and other fiction". *The Guardian*, 25 March. <https://www.theguardian.com/lifeandstyle/2011/mar/25/siri-hustvedt-life-fiction>. (Accessed 22 July 2021).

Huf, L. 1983. *A Portrait of the Artist as a Young Woman: The Writer as Heroine in American Literature*. New York: Frederick Ungar Publishing Co.

Hustvedt, S. 2011. *The Summer Without Men*. New York: Picador.

Hustvedt, S. 2014. *The Blazing World*. Great Britain: Sceptre.

Jones, S. W., ed. 1991. *Writing the Woman Artist: Essays on Poetics, Politics, and Portraiture*. Philadelphia: University of Pennsylvania Press.

Maniez, C. 2016. "An interview with Siri Hustvedt". *Transatlantica* (2): 1-14.

Rajendran, P. 2019. "The Aesthetics of Transgression in Siri Hustvedt's The summer without men". *The Explicator* 77 (2): 47-52.

Rippl, G. 2016. "The Rich Zones of Genre Borderlands: Siri Hustvedt's Art of Mingling". *Zones of Focused Ambiguity in Siri Hustvedt's Works: Interdisciplinary Essays*. Eds. J. Hartmann, C. Marks, and H. Zapf. Berlin/Boston: De Gruyter. 27-38.

Stewart, G. 1979. *A New Mythos: The Novel of the Artist as Heroine 1877-1977*. St. Alban, V.T./London: Eden Press.

Thiemann, A. 2016. "Portraits of the (Post-)Feminist Artist: Female Authorship and Authority in Siri Hustvedt's Fiction". *Zones of Focused Ambiguity in Siri Hustvedt's Works: Interdisciplinary Essays*. Eds. J. Hartmann, C. Marks, and H. Zapf. Berlin/Boston: De Gruyter. 311-325.

Thornton, E. C. 2013. *'I am an artist, sir. And a woman': Representations of the Woman Artist in Modernist Literature*. Ph. D. thesis. London: King's Research Portal.

Tougaw, J. 2016. "The Self Is a Moving Target: The Neuroscience of Siri Hustvedt's Artists". *Zones of Focused Ambiguity in Siri Hustvedt's Works: Interdisciplinary Essays*. Eds. J. Hartmann, C. Marks, and H. Zapf. Berlin/Boston: De Gruyter. 113-132.

Varsamopoulou, E. 2002. *The Poetics of the Künstlerinroman and the Aesthetics of the Sublime*. England: Ashgate.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 113-132. http://doi.org/10.18172/jes.5161

McCARTHYISM AND AMERICAN COLD WAR IDEOLOGY IN IRISH-AMERICAN AUTOBIOGRAPHICAL WRITING: THE TANGLED RENDITION OF THE ETHNIC IDENTITY IN FRANK McCOURT'S *'TIS, A MEMOIR*

ANDREA PÉREZ ÁLVAREZ
Universidad Autónoma de Madrid
andrea.perezalvarez@educa.madrid.org

ABSTRACT. This article explores the various ways in which the protagonist of Frank McCourt's autobiographical account *'Tis, A Memoir* confronts the McCarthyite proceedings and their unsettling consequences at times of utmost conservatism in America. It addresses his negotiation of an ultimately alienated ethnic identity, arguing that the protagonist's fractured self not only reflects the slippery ground upon which McCarthyite practices are founded, but is also brought about by it. Beyond this analysis, however, the article is set to problematize the very status of McCourt's autobiographical writing by assessing the memoir's narrative codes in association with its content and purported readership. Specifically, the proposal evaluates the fictional strategies on which it is constructed, as well as the inconsistencies inherent in the narrative depiction of the character's partial assimilation into an eventual Irish-American national identity. The proposal ultimately assays McCourt's memoir as a product and reworking of the ideological tenets characteristic of McCarthyism and the early Cold War period.

Keywords: McCarthyism, Irish-American identity, colonial autobiography, ideology, migrant, ambivalence.

LA HUELLA DEL MACARTISMO Y DE LA GUERRA FRÍA IDEOLÓGICA EN LA ESCRITURA AUTOBIOGRÁFICA IRLANDO-ESTADOUNIDENSE: LA TRANSCRIPCIÓN ENMARAÑADA DE LA IDENTIDAD ÉTNICA EN *'TIS, A MEMOIR* DE FRANK McCOURT

RESUMEN. Este artículo explora las formas en que el protagonista del escrito autobiográfico *'Tis, A Memoir*, del escritor irlando-estadounidense Frank McCourt, hace frente al proceder macartista y sus efectos perturbadores en momentos de conservadurismo extremo en los Estados Unidos. Aborda la negociación que Frank McCourt hace de una identidad étnica que se ve finalmente alienada, y afirma que su consciencia fracturada no solo refleja el terreno movedizo donde se conforma la praxis macartista sino que está provocada por esta. Más allá de este análisis, el artículo se postula para problematizar la condición misma de autobiografía de la obra de McCourt, cuestionando sus códigos narrativos en relación con su contenido y el público al que primeramente va dirigido. La propuesta evalúa las técnicas ficcionales sobre las que estas memorias están construidas, así como las contradicciones en las que se incurren en la representación narrativa de la asimilación parcial que sufre el personaje, que pasa así a experimentar su identidad nacional como irlando-estadounidense. Por tanto, la propuesta en último lugar valora la autobiografía de McCourt como producto y re-confección de los dogmas ideológicos propios del macartismo y del periodo temprano de la Guerra Fría.

Palabras clave: macartismo, identidad irlando-estadounidense, autobiografía colonial, ideología, migrante, ambivalencia.

Received 12 August 2021

Revised version accepted 28 February 2023

1. INTRODUCTION: McCARTHY'S 1950S AMERICA, OR THE ALIEN'S THREAT TO NATIONALISTIC DISCOURSE

There seems to be no disputing the fact that the McCarthy era of the 1950s America proved the zeitgeist of the early and mid-Cold War ideological period. Harry S. Truman's loyalty review programs built the rightful portal to Joseph McCarthy's later indiscriminate allegations, as both put certain social and ethnic groups against the ropes, and the whole national population under threat during the first decade after WWII. McCarthy's policy and the conservative social order of postwar America were hailed by national consensus, which took to promoting the univocal view on the American patriot as the literal and allegorical soldier fighting communism in and out of national borders. And yet it is now a truism to say that liberty was most violated in the name of freedom: McCarthyite discourse and the Cold War mindset waged random yet politically-laden war against all evidence of deviance from the dominant doctrine, resulting in governmental and social persecution of the foreign, the apostate, the subversive and the dissenting. Most citizens, thus, went on to see their constitutional rights undercut while welcoming an unnerving atmosphere of censorship, conspiracy and heightened anxiety.

Not in vain, the -ism traditionally attached to McCarthy's figure and political proceedings suggests that such period in American history has not only become the epitome of mid-20th century ideological conservatism but has also raised sustained attention to the artistic portrayals of this era in national literature. 1950s McCarthyism is now considered to have fenced the American value system within one of the most nationalistic rhetoric of its history, as the proud concept of venerating American identity went hand in hand with its succeeding imperialist expansion – transforming the U.S., as Bill Ashcroft, Gareth Griffiths, and Helen Tiffin claim, into a nation holding a "neo-colonizing role" (2002: 2). Despite large research into the ravaging effects in the public and private lives of citizens, academic literature seems to have neglected a narrower focus on the impact of McCarthyite politics in each of America's different social and ethnic groups. Bearing in mind that, as Edward Said argues, "successful nationalisms consign truth exclusively to themselves and relegate falsehood and inferiority to outsiders" (2000: 176), it appears suitable to push the envelope further into assessing the wreaks of America's most conservative times in its migrant and exile communities, the marginalized others, and their writings.

To this end, what the present article explores is the memorialized experience of an Irish-American immigrant during the Cold War years in New York. Specifically, it tackles Frank McCourt's own portrait in his memoir *'Tis* (1999), and analyzes Frank as a postcolonial and working-class subject interacting with the corollaries of social paranoia during McCarthy's policies and Cold War politics. As McCourt's autobiography delineates the experience of its oppressed character during the early years of the Cold War, it necessarily provides a perspective peripheral to the master rhetoric and potentially challenging to patriotic narrative at a time of utmost nationalistic sentiments. As an immigrant, suppressed, unrooted voice in the metropolis, his outsider position turns out double-sided: it is whence he privately and publicly disturbs the status quo, and, as such, it is also one of the main targets of the McCarthyite dynamics of suspicion, allegation and trial.

This article draws on Linda Anderson's notion of colonial autobiography, which serves both "a way of testifying to oppression and empowering the subject through their cultural inscription and recognition" (2001: 104). As it levels autobiography with testimony, Anderson's perspective on the memoir written by the colonial subject seizes on paramount importance in this analysis of McCourt's contribution to Irish-American autobiographical writing, as his life narrative courses through a period where attesting to the truth of one's words became the McCarthyite measure of social regulation and subjection. Reading the memoir as a testifying account that openly calls into question McCarthy's figure and period, the article analyzes it as a counter-narrative through which the writer comes into terms with his strong feelings towards the national consensus, both undergoing and problematizing the psychotic malaise and fanatical atmosphere under McCarthyite practices and Cold War discourse. Yet, as a counter-narrative, it nevertheless proves ambivalent, self-contradictory and highly inconclusive in its commentary on American nationalistic discourse. For this reason, the inconsistencies of McCourt's self-portrait are further assessed against the backdrop of his memoir's stylistic and thematic aspects as well

as its public scope, both offering a literary interpretation against its grain and exposing the ideological poles present in his memoir.

2. COLONIAL AUTOBIOGRAPHY, IRISH-AMERICAN IDENTITY, THE NARRATIVE OF IDEOLOGY AND THE IDEOLOGY OF NARRATIVE

'Tis is Frank McCourt's second memoir and the sequel to Pulitzer Prize-winning *Angela's Ashes* (1997). If the prequel remembers his destitute childhood in impoverished Limerick after Ireland's independence war, the second volume recreates his early arrival in New York as an immigrant worker and spans the Cold War period. The little academic literature on his literary work approaches his memoirs from a sociological perspective on ethnic identity studies. Addressing the memoirs' reconstruction of Irishness, it assesses what it takes to be McCourt's clichéd characterization of his family members and their dispossessed condition in Ireland. Whereas Jennifer McClinton-Temple finds *Angela's Ashes* as McCourt's de-romanticizing attempt to go beyond the prejudiced portrait of Irishness (2013: 118), Aoileann Ní Éigeartaigh and James B. Mitchell read the depiction of miserable calamities as his inability to transcend the internalization of "colonial stereotypes" (Éigeartaigh 2004: 90-91), which paves a smooth path towards "sensationalizing his subject matter and even rendering it tantalizing" (Mitchell 2003: 618). Where criticism seems to concur is in the analysis of McCourt's prejudiced thematization of the Irish through the narrative's inscription into the autobiographical genre, specifically evaluating how the writer employs the Bildungsroman mode to recreate his personal success over stereotypical images of social deprivation and institutional negligence. To this end, both the creative abilities opened up by the warped remembrance of one's history and the authorial need for a comprehensible life account render autobiography the most suitable genre to represent imagined scenes of past reality, usually structured by well-known narrative codes of fiction. The reinterpretation of one's memories from present circumstances further challenges the veracity of the narrative, thus the author is repurposing the truthfulness of his past by adjusting the narrative within the fictional codes suitable to the narration mode. As it happens, Mitchell studies *Angela's Ashes* as "a narrative that follows the pattern of a classic Bildungsroman" (2003: 615), and *'Tis,* indeed, follows the same pattern.

The memoir tracks young Frank's linear evolution into adulthood, showing his encounters with different characters that represent social types in Cold War America, which goes on proving the witness of his ongoing acculturation into the new land. Thus, McCourt's memoir soars over the fictional in its narrative strategies, something that exemplifies Sidonie Smith's and Julia Watson's notion on the structuring use of the Bildungsroman in the colonial autobiography: as they argue, it "continues to be a decisive model for the presentation of twentieth-century lives, for postcolonial writers who cast their narratives in terms of encounters with powerful mentors at cultural crossroads of metropole and colony" (2001: 107). In the same vein, *'Tis* fits the categorization of what they term "memoirs of exile", as these "become sites through which formerly marginal or displaced subjects explore the terms of their

cultural identities and their diasporic allegiances" (Smith and Watson 2001: 107). Indeed, the autobiographical genre in McCourt's memoir also serves a documentary purpose, as it bestows the historical truth of 1950s and 1960s New York in the eyes of an oppressed Irish immigrant at the interface of Irish Catholic and American Protestant cultures. The memoir recurrently displays his inherent status as a colonized Irish individual in Europe and his adoption of the working-class, Catholic, immigrant condition in America. Not to be omitted from the equation is, of course, the undermined social consciousness of the Irish identity after the process of exile and migration undergone for most part of the 20th century. McClinton-Temple rightfully claims that "[t]he poverty and stagnation caused by the centuries of colonial rule in Ireland colored the immigrant experience for most, if not all, who left its shore" (2013: 105). As a result, Seamus Deane defines the Irish in terms of colonial dominance as an in-between national consciousness, a nerve-racking state of mind dependent on the larger actions of the allegedly powerful: "a culture that believes itself always to be provincial, always to be in need of a metropolitan world elsewhere" (qtd. in Éigeartaigh 2004: 89).

However, casting a glance over the historical accounts of Irish immigrants in the U.S. discloses tendency in the opposite direction: as Rhett Jones synthesizes,

> The nation's ethnic groups were often critical of ethnic, religious, and cultural discrimination, but Irish, French, German Americans, and others who set themselves apart and were set apart by "genuine" or White Americans settled on a strategy that blunted their criticism of U.S. institutions. (2001: 121)

Their white skin entailing social privilege at times of utmost conservatism, Irish-Americans succeeded in maintaining balance over their ethnic backgrounds, posing little challenge to national institutions. So much so that, even during America's most reactionary times, the Irish-American community took part in the underprivileged social sections tracked to have been most supportive of McCarthy's program: as historian Andrew Burt claims, his followers "were conservative Irish, German, and Italian Catholics, many of them second-generation Americans, who were neither at the top nor at the bottom of the nation's economic classes" (2015: 132). On the whole, this ambiguous feature of the social behavior of Irish-Americans before and in the new land raises further questions on the truthfulness of McCourt's portraiture in America, and indeed leads to the memoir's thematic leitmotif: on the one hand, Frank's attempt to deal with his idealizing image of the U.S. and wish for Americanization and, on the other, his criticism of its economic, cultural and religious mores, prompted by feelings of social marginality in the face of McCarthy's politics and Cold War normative order.

In McCourt's defiance of Cold War outlook, ideology is to be understood in the same vein that Marxist critic Louis Althusser conceptualized the term: "a representation of the imaginary relationship of individuals to their real conditions of existence" (1971: 163). This is, McCourt's autobiographical writing exposes the Cold War value system by unveiling the hostile conditions imposed on the working-class outsider by the dominant structures, the interests of which are challenged by the

double-sided reality of Frank's initial class struggle and cultural hybridity. Indeed, embodying the well-known terminology of Homi Bhabha's theorization of the colonial experience, Frank's partial acculturation is of course enabled by his own mimicry of the dominant social discourse. But the ruling structure also takes responsibility for this assimilating task, as it attempts to reform and appropriate an ethnic other that never completes its acculturation process. "The observer", Bhabha explains regarding the master discourse, "becomes the observed and 'partial' representation rearticulates the whole notion of identity and alienates it from essence" (1994: 89). The colonial subject therefore becomes hybridized, a distorted reflection of the dominant classes, whose ideological rhetoric is further rearticulated and contested. But, most importantly, the alienated psyche of the nation's socio-political structure establishes a kind of rapport with the working-class other based on what Althusser calls interpellation. According to the Marxist philosopher, interpellation alludes to the controlling system's operation that serves ideology to interact with the individual as a subject, who, in his submitted condition, internalizes the master discourse and thus perpetuates a social arrangement that always favors the privileged (Althusser 1971: 175). Sustained on social fraud and reality falsified by the ruling class, there seems to be no better arena to assess the workings of interpellation upon the ethnic individual during the early Cold War era. In it, the hybridized outsider takes biased part in the national discourse that promotes capitalism and the conservative values attached to it through the mechanisms of paranoia and suspicion. These in turn succeed in manipulating the colonial individual into his belief in autonomy from the master forces that actually subdue him. In the period coursed through McCarthyite anxiety, this prepares him to support the era's nationalist conservatism.

In his relation with the governing structure, then, the immigrant self articulates a complex framework that defies and yet assists the nationalistic status quo: not in vain, McCourt's life narrative is in fact an unflinching product of the ideological discourse to which his memoir serves a testifying counter-narrative. In this vein, Marxist critics Terry Eagleton and Fredric Jameson concur in understanding literature as a further expression of ideological discourse; Jameson's notion of dialectical thought, in turn, presupposes individual works in interaction with their inherent larger structure so as to "spring us outside our own hardened ideas into a new and more vivid apprehension of reality" (1971: 372). From this perspective, not only does McCourt's memoir question the times' contradictory rhetoric and practice, but also his own conflicting allegiances to his ethnic identity and to the American value system at once. Linda Anderson's interpretation of Althusser's concept of ideology gives utterance to a cardinal idea in this vein. By claiming that "[l]iterary texts are embedded in the social and economic circumstances in which they are produced and consumed" (2001: 136), Anderson perceives the autobiographical story as a narrative skein where the author's ideological tenets fall through the net and are thus exposed. McCourt's Irish-American autobiographical writing may properly find a place here: the fictional codes, the thematic concerns and the purported readership of *'Tis* sketch its author as an unappeased yet eventually conforming representative figure of the ideological script of the American 1950s.

3. WHAT FRANK FINDS: ANTI-COMMUNIST FRENZY, CENSORSHIP, WHITE-COLLAR DISCRIMINATION AND ETHNIC SECTARIANISM

McCourt's chronicle of the effects of McCarthyism may be dissected into thematic concerns that are recurrent throughout the memoir. Anti-communist paranoia is axiological to the Cold War years and, in Frank's life account, it is first fleshed out by the military draft for the Korean war. McCourt registers the racist terminology in what conveys the sergeants' fear of the foreign and rejection of the leftist in the belligerent context of the New Jersey infantry training camp and a German camp site. In New Jersey, rifles are referred to as "what comes between you and the goddam gooks and goddam Chinks" (McCourt 1999: 83) while the officer in Germany warns Frank not to allow erasures in the reports as "[w]e're holding the line against the goddam Reds here, men" (107). Nationalistic sentiments are moreover employed as the unequivocal evidence of American patriotism, showing Manichaeist lexicon that demonizes communist ideologies against the defense of American Christian mores: as Frank chronicles, "the lieutenant showing the film said communism is evil, godless, unAmerican" (1999: 95). But the memoir also recreates characters representing anti-communist assumptions that hold explicit links with McCarthy's policies. Such is the case of McCourt's portrayal of two impoverished Catholic nuns whose effervescent allegations of domestic communism at New York University serve McCourt's mocking allegory of the religious fanaticism and persecution of what was held to be un-Christian at the climax of the McCarthyite era. Describing NYU as "a hotbed of Communism where I'm in great danger of losing my immortal soul", sister Mary Thomas urges Frank to get out "before Senator McCarthy goes after it, God bless him and keep him" (1999: 213). When, towards the end of the memoir, Frank, the adult high-school teacher, resumes McCarthy's figure, his students agreed with their parents that "he was a great man for getting rid of the Communists" (1999: 413). In doing so, McCourt elucidates the high-esteem in which McCarthy is held among parents: not in vain are their menacing phone calls warning him to stop discussing McCarthy in class, as "Senator McCarthy was a good man, fought for his country. Tail-gunner Joe. Got rid of the communists" (1999: 413). At the same time, he also provides a dismal perspective on the large legacy of the conservative mindset of McCarthy's dogmatic times on new middle-class generations.

The lengthened neurosis during and after McCarthy's reactionary politics was to be sensed at the workplace, where Truman's loyalty reviews and McCarthy's paranoid accusations aimed their target at union organizers, suspicious of communist alignments. It is Frank's position at a bank where the supervisor gives free rein to indiscriminate allegation and censorship of trade unions, as he fires Frank just because he talked to a union member in the bank (McCourt 1999: 281). In fact, the continuous fear of communist threat under the same roof pervades the 1950s social atmosphere. The memoir recreates Frank's first encounter with the word "paranoid" (1999: 317) at NYU, giving utterance to the social acknowledgement of the anxieties heightened by McCarthy's ideological stirs at more liberal contexts, and presenting such lexicon and reality as a distinctive landmark in the culture and

language of the American 1950s. And, to be sure, the memoir further notes how these constant surges of schizophrenic neurosis inflict more serious harm on the ethnic outsider: on giving the news of the death of an Irishman Frank used to know, Frank's former boss warns him to stay safe as "[t]his country could drive you crazy. It drives people crazy that was born here. How come you're not crazy?" (1999: 371). Frank may not have gone crazy but does feel the weight of communal lunacy, particularly when he faces nightmarish experiences that are alien to his cultural background. When he encounters consumerist America in its array of commodified goods, he admits failing to recognize the fabric used in the clothing at Greenwich Village and its potential allergies, tellingly reflecting how "here danger lurks even in the buying of socks and shirts" (1999: 362).

But it is both the utterances of American society's xenophobic oppression of the ethnic other, and the sectarianism among different social groups that Frank finds the most recurrent effect of Cold War conservatism. Early on, his boss at the Biltmore hotel gives utterance to the tacit yet compulsory social norm that governs in New York and throughout the memoir alike: "this is America, […] stick with your own kind of people" (McCourt 1999: 30). Such idea embodies the era's bigot gist as felt in the experience of an Irish immigrant. The memoir portrays societal groups exerting oppression on the individual deviant from the white, patriotic, America-based norm. Racial discrimination comes from working-class, redneck individuals that share their deprived condition with Frank at the warehouse he works for seasonally. Their racist comments about Horace, the older black man that Frank befriends, who they describe as "a guy whose grandparents just fell out of a tree" (1999: 202), combine with their nationalistic zealotry when criticizing Frank's university education, claiming that "they aren't gonna have the wool pulled over their eyes by a half-ass shithead just off the boat from Ireland" (240). The latter comment on the Irish shipping in New York amounts to a common insult addressed to the Irish community, which is repeatedly uttered in the memoir, revealing Americans' clichéd image of the Irish in the US. However, it is even Frank's wife Alberta on their wedding day who goes on to recreate the prejudiced picture of Irishmen as depraved and fearful of commitment: as she claims, "[e]veryone warned me that the Irish are great to go out with but never marry them" (1999: 395-396). Belonging to white-collar democratic ethics, her comments contribute to the memoir's further chronicle of discrimination of ethnic minorities exerted by middle-class society in their well-accustomed liberal contexts. At the same time, this raises Frank's awareness of the class struggle that gives a political dimension to his intimate engagement with Alberta, in which he always pictures himself holding an inferior position in society. Similarly, this middle-class xenophobia is represented by public institutions where New Yorkers enjoy their education. It is at least twice when Frank's job interviews at suburban high schools are pushed aside due to his accent, which, as the teacher recruiter says, makes him sound "like a Paddy-off-the-boat", just before warning Frank to "stick with [his] own people" (1999: 288). However, cultural and ethnic bias also takes place when the oppressing atmosphere of common xenophobia in New York becomes internalized in the migrant communities themselves. The idea of the Irish sticking together, rather than comprising a cultural

shelter for the Irish community, becomes an exclusionary ethnic label that rejects company with other social groups. Significantly, Frank's friend Paddy Arthur scolds him for hanging out with "Protestants and Negros", warning him that "next thing it'll be Jews and then you're doomed altogether" (McCourt 1999: 273). To be sure, he embodies the stereotypical image of the Irish immigrant that utters nostalgia for the lost homeland and Catholic, family-based sentiments alike.

4. WHAT FRANK FEELS: CONTRADICTORY ALLIANCES AS REFLECTION OF STRUGGLING CONTEXT OF FEAR AND PARANOIA

Frank's reflections about the Irish community's partisan assumptions, characteristic of the McCarthyite social atmosphere, not only underline his refusal to adhere to such moral dogmatism but, by doing so, they also cast a glance over one of the memoir's predominant tones. This discloses Frank's recurrent attitude all along: his wish for cultural assimilation into the new land's systems of belief. At Paddy's commands to "stick with your own", young Frank regrets that "I'm in New York, land of the free and home of the brave but I'm supposed to behave as if I were still in Limerick, Irish at all times" (McCourt 1999: 274). However, it is paradoxical of Frank to make such a remark at this moment: while it voices his desire for Americanization by idealizing the nation's socio-political underpinnings, it is Frank's same voice the one that registers his previous formative experiences with the contradictions inherent in the American Cold War outlook. That Frank is aware of the inconsistencies of America's McCarthyite ideology and still shows a romanticizing vision of it indeed points at his ongoing crisis of social allegiances in the heyday of America's economic boom and conservative zeitgeist, which contributes to his fractured identity. Not only his colonial subjectivity but also his working-class status in an industrialized country force him to struggle between the rejection of his own figure as social epitome of the Irish community and his infantile view of the U.S. as the escape from his homeland's impoverished conditions. Indeed, the younger voice makes it abundantly clear that the romanticized idealization of the American way of life he entertained in his childhood years was crashed by the reality of national discourse and proceedings: "New York was the city of my dreams but now I'm here the dreams are gone and it's not what I expected at all" (1999: 54). It is this tension between criticism of the Cold War cultural script and the persistent wish for mimicry of its arrangement of beliefs that runs throughout the memoir.

On the one hand, McCourt exposes and mocks the hidden inconsistencies under the moral ideals axiological to the American Cold War period, McCarthyite practices and their persistence all along. As a newly arrived immigrant into the 20th century world's empire, the chronicle of his experience unearths the fake hypocrisy underlying the capitalistic discourse on freedom and social advancement in the American 1950s. After being turned out of the cinema for entering food, Frank's immigrant eyes contrast the nation's patriotic narratives on liberty and the actual practice of this rhetoric against the colonial individual, as he wonders

> about all those films where they're waving the Stars and Stripes and placing their hands on their chests and declaring to the world this is the land of the free and the home of the brave and you know yourself you can't even go to see *Hamlet* with your lemon meringue pie […] (McCourt 1999: 48).

Much the same commonly nationalistic terminology is used to condemn its inconsistencies about the discourse of freedom at the Korean war: Frank's chronicle of his mate Di Angelo's insubordination for appraisal of the communists ends when "[t]he lieutenant told him he was out of order and Di Angelo said this is a free country and that got him confined to barracks and no weekend pass for three weeks" (McCourt 1999: 95).

In the same vein, it is Alberta again who catalyzes Frank's bitterest challenge of the contradictions inherent in the times' value system, targeting no other than the historical antecedents of McCarthyism itself. In his reproach to her xenophobic comment on their wedding day, Frank not only raises a protest over the deceptive façade of the morals attached to Puritan cults. Specifically, he centers on the national history of 17th century witch hunts to recreate the political and religious corruption, paranoid policies and indiscriminate allegations that comprised the acme of McCarthyite politics (McCourt 1999: 412). By choosing this aim as focus of his most defying criticism of Cold War social order, the memoir reaches its thematic watershed, which is symptomatic of the relevance of McCarthyism's far-reaching effects in the colonial, working class outsider. The display of such strong feelings towards this psychotic atmosphere explains why Frank, as a high school teacher in the 1970s, resumes McCarthyite practices as a pedagogical tool in order to introduce his students to the New England witch hunts. In this instance, he explicitly links the paranoid climate of those times with Hitler's and McCarthy's ideological eras (1999: 413). Two pages later, the memoir registers how the headmaster coerces him into leaving *The Catcher in the Rye* out of the syllabus after parental complaint about its morals – as he says, he "warned me to be careful, that I was endangering my satisfactory rating" (1999: 416). The threatening tone does but evidence the dramatic impact of the McCarthyite proceedings of suspicion, regulation, and censorship in his alien perspective, and serves McCourt the purpose of disclosing the continuing furtherance of the McCarthyite conservative structure during the Cold War period.

And yet, the memoir also features Frank's struggling managing of his ethnic identity when facing the American way of life that he seems to challenge throughout. His mockery of middle-class luxury stands cheek by jowl with his conflicting idealization of the new land's cultural mindset, which at times channels his further wish for Americanization. For once, Frank conveys his wish to take part in the wealthy and consumerist credo of Protestant America. Such desire for mimicry is triggered by his ongoing assimilation into the capitalistic rationale that lines social advancement in business with success in traditional conceptualizations of the patriarchal family: while studying at university, he indeed accepts a position in an insurance company because "I might move up in the world and Emer will take me back" (McCourt 1999: 177). However, where Frank finds the zenith of the possibilities of the American value system is in education. Although the view on

education as the scaffolding towards success through the social ladder stands in opposition to the 1950s pervading capitalist ideology of economic profit, American education not only comprises one of its increasing developing industries at the time but also stands for Frank as the romanticized last stage he targets in his pursuit of the American Dream. Thus, the memoir repeatedly registers his ongoing foray into white-collar social values of consumerism and conformity by alluding to his desire for further mimicry of U.S. college life: as he says, "I'd like to be a college student in the subway because you can see from the books they're carrying their heads must be stuffed with all kinds of knowledge" (1999: 75). He indeed plunges into the inner workings of the university structure by aligning his behavior in class with the necessary requirements to achieve his own view of the American Dream. As he thinks about a professor at university, "I can't take the risk of offending him with all the power he has to keep me from the American dream" (1999: 238-239): his dream, as it happens, involves gaining a college degree to become a secondary school teacher in New York.

This tension between the fierce criticism of socio-political networks alien to his ethnic background and the simultaneous wish for adherence to the ideological narrative of the new land results in Frank's hybrid social subjectivity, sitting at an uncomfortable in-between space. In this fashion, Frank embodies the "nomadic" feature inherent in the writer of autobiographical narratives of exile, who, as Smith and Watson justly declare, is "set in motion for a variety of reasons and now inhabiting cultural borderlands" where he "necessarily negotiates cultural spaces of the in-between" (2001: 194). In this framing, the fluctuating anxiety governing Frank's consciousness is greatly enlarged by the time period of Cold War conservatism and McCarthyite paranoid effects, which have a dramatic impact on the targeted outsider. Not in vain, it is McCourt himself who points up the era's struggling context of nationalistic paranoia as the layer underlying his own contradictory outlook. Most specifically, anti-communist anxiety during his first years of American nationality sets the tone for a leitmotif recurrent for the rest of the memoir. That Frank would like to thank "Mao Tse-Tung for attacking Korea and liberating me from the Palm Court at the Biltmore Hotel" (McCourt 1999: 96) entails a remark on war apparatus whose underlying cynicism seems to be brought about by the inconsistencies of Cold War ideology, especially the contradiction between the ideals on freedom and its applications in the everyday reality of a colonial subject who can only serve as degraded workforce in the new land. And does not Frank know that such contradictory reflection entails a great deal of irony? Of course, he cannot say it publicly for fear of suspicion about communist alignments in the zeitgeist of McCarthyism. When he is sent to the German camp, Frank wants to know if any of the Germans there had participated in the Holocaust, although "we were told in army orientation sessions to keep our mouths shut and treat Germans as allies in the war against godless communism" (1999: 144). His well-naïve curiosity at remembering this episode further exposes the absurd contradictions inherent in the shallowness of the ideological war, thereby challenging the implicit dominant discourses of Cold War America. Like this, Frank's internalized anxiety further decries how the alleged goal of McCarthyite practices, while avowing to fight for

freedom in and out of domestic borders, does but deprive the ethnic outsider of it within national territory. As such, the ideological bewilderment of McCarthyite times and the deceptive fault lines of the Cold War mindset result in an increasing struggling migrant, working-class identity.

The era's inconsistencies are indeed projected on Frank's view on what he increasingly needs to consider his hybrid self. The urge to specify his stay at the in-between space by using a hyphenated term to designate his ethnicity is something first imposed by the others, as Frank goes on understanding that such is one of America's hypocrite slogans to name its ethnic populations and its attempt to appropriate and reform the colonial other. Indeed, he not only regrets what he takes as a fashionable designation but he also despises his perpetual stay in this in-between space: as he complains at the outset of his American life experience, "[y]ou always have to be something else, Irish-American, German-American, and you'd wonder how they'd get along if someone hadn't invented the hyphen" (McCourt 1999: 113). Instead of welcoming the potential richness of cultural hybridity, Frank envisages the official naming of his background as a shameful burden and a reminder of his unprivileged condition, a feeling that in his case is strengthened by the anxiously moralistic, conservative, class-ridden society of the McCarthyite era and later Cold War period. Indeed, Frank's aim for adjustment to the hostile requirements of the Cold War period pervades the meaning underlying one of the scenes registered in the memoir, when Frank decides to overlook Alberta's xenophobic comment and rather stay to enjoy dinner no matter how many "barbs at myself and the Irish in general" (McCourt 1999: 360). Although meant to become ethically reprehensible, this memory in the end also conveys the sense of the times' ideological chaos and its violent impact on the alien self. When Frank finally regrets, "I'd like to be Irish-American or American-Irish though I know I can't be two things" (1999: 360), he employs a pathetic tone that conveys the dilemma of the ethnic other's mimicry at times of utmost reactionaryism: both his wish for and his inability of complete adjustment to the contentious social and moral requirements of the ankylosed Cold War mindset. It is the oppressing power of America's utmost paranoid policies on Frank's Irish-American identity that which unfolds his struggling inconsistencies and contradictory experience of ethnic bonds.

5. WHAT McCOURT WRITES: ETHNIC SELF-VICTIMIZATION, ROMANTIC MEMOIR, THE AMERICAN DREAM AND THE AMERICAN READER

McCourt's memoir, then, becomes a testifying narrative that strongly counteracts the dominant rhetoric of paranoid procedures during McCarthyism and, at the same time, partly settles its protagonist in the national discourse. And, we need hardly emphasize, the memoir presents itself as a personal register of Frank's troubled migrant identity as a product of the uses and abuses of the Cold War community. If the individual subject embodies the reflection of such chagrined era, would not it be reasonable to argue that the narrative codes and moral rationale behind the text that has conveyed its character are also the ideological product of the same period?

As it happens, the memoir eventually reproduces Frank's considerable success in late Cold War society through the increasing social prestige achieved in the teaching positions held in the education system, which proves McCourt's partial yet definite cultural assimilation into the national community. Illuminating this movement towards the oppressed protagonist's eventual accretion of institutional and social entitlement is a whole subtext whereby McCourt draws a self-victimizing picture about his Irishness and its implicatures in his new American life experience. In this vein it is Frank's display of a reductive conceptualization of Irish culture. This courses through the abuse of Irish stereotyping so as to stress his victimized portrait as an impoverished, colonial subject faced with what he takes to be the privileges of the new land: as he reproaches Alberta about her childhood years, "you had hot and cold running water, thick towels, soap, sheets on the bed, two clear blue eyes and fine teeth" (McCourt 1999: 355). When asked to write about his younger days for a literary composition at university, Frank further daubs his own ethnic identity into stereotyped images to convey his experience as a kid in Ireland (1999: 226). As such, his victimized portrait of Irish domesticity seen from the eyes of a child contributes to popular culture's well-known prejudiced association of early and mid-20th century Irishness with destitution, Catholic fanaticism, and great misery. According to Bhabha, stereotyping "sets up a discursive form of racial and cultural opposition in terms of which colonial power is exercised" (1994: 78), a kind of exercise which in McCourt's case is repurposed by the colonial subject in order to meet the national expectations on the ethnic other. This pathetic attitude, in fact, brings into union McCourt's felt experience as an Irish immigrant in the new land – and, thus, his life narrative – and the autobiographical and fictional accounts written by other Irish-American authors: as Daniel Casey and Robert Rhodes suitably suggest, "there is some reason to think that many Irish Americans in the twentieth century have been preoccupied with not only distancing themselves from their proletarian roots but with concealing them and even creating appearances to the contrary" (1989: 13). In this line, Frank feels ashamed of a struggling past on which he nevertheless capitalizes to produce pitiful entertainment for his new audience: even if he regrets that "I'm so ashamed of the past that all I can do is to lie about it" (McCourt 1999: 226), not only does he not hide his past dearth but he also draws a tearful account of his years of deprivation and poverty, wondering at the end of his composition if his classmates are "already feeling sorry for me" (229).

Towards the end of the memoir, it becomes clear that, although still managing a perpetuating identity in conflict as a working-class immigrant at times of utmost nationalistic discourse, McCourt has succeeded in leading a lifestyle assimilated into the traditional praxis promoted by Cold War ideology in the American land of promise. A secondary school teacher in New York, he holds a struggling marriage to a Protestant middle-class woman and starts a family. His gradual growth into this moral outlook is best exemplified by a familiar scene that features elements characteristic of American domestic life indeed: at the end of the marriage scene, he joins his male Irish friend and ends up in his apartment, drinking beer and watching "television Indians drop from the bullets of John Wayne" (McCourt 1999: 399). A farcical scene representing America's conformist, patriarchal, racist societal dynamics

at large, this episode symbolizes McCourt's eventual advantage of the national values of opportunity and prestige, therefore rendering a lame picture of his own social triumph in the Cold War America in which he partakes. This image goes on to reinforce the disputed position of the Irish migrant condition in America: as Manning Marable clarifies, "[the Irish] had assimilated the values of privilege and the discourses and behaviors of domination, which permitted them to claim status within the social hierarchy" (2001: 44). True enough, he registers qualms about his victimized portrayal as an ethnic exile when facing New York's urban traces of the previous waves of European migrants (McCourt 1999: 184), and so he gains significant insight into a higher stage of his Irish-American identity. And yet, there is a cynical hue suggested by the infantile simplicity that governs his misguided reflections about racism in America – as he thinks, "it must be a nuisance when you're black and people think they have to talk about black matters just because you're there with that skin" (1999: 312). The childish undertones of such statement render it humorous: this again proves, through a domesticated view on racist discrimination, his ongoing assimilation into the current ideological discourse.

Indeed, McCourt feels the urge to show in his memoir his eventual allegiance with an edulcorated depiction of the immigrant's personal and economic success in the new land. The thematic core of this tame portrayal rests upon McCourt's sweetened view of the American Dream and the migrant subject's pursuit of it. Indeed, it should be claimed that, by criticizing the national discourse about business and opportunism, McCourt at the same time embodies the nationalistic view on spiritual success through the possibilities offered by the American education system. At a turning point for Frank's development from workforce into white-collar society, he elaborates the memoir's best exercise of epic rhetoric, based on the American culture of hard work and meritocracy, written by the protagonist in his urge to encourage himself to become a high-school teacher and reject the business industry: as he thinks, "I'd accuse myself of taking the easy way" (McCourt 1999: 343). Although apparently non-conformist, Frank's attitude actually becomes servile when looked in the light of the national rhetoric of prestige and opportunity, as it indeed promotes a sense of personal sacrifice to achieve his dream. This behavior manifests a subjectivity short of agency, therefore becoming manipulated – interpellated, in Althusser's terminology – by the ideological tenets that inform American exceptionalism, reproduced through the institutions that advocate the national education network. In this line, McCourt's memoir comprises a triumphant autobiographical narrative that extols a romanticized perspective on the prosperity promoted by the American Dream, ending on an optimistic note sustained on the economic and spiritual support that American post-war institutions and moral scripts offer the newly arrived. This positive portraiture of the insidious yet prosperous workings of the American Dream puts the focus on how overcoming past grievances through hard work, despite conservative morals and infringement on the ethnic outsider, can inform the personal rhetoric of a new self forged in the new land thanks to the American Dream. And this conceptualization of the national myth elucidates Frank's alignment with nationalistic discourse and settles McCourt's memoir as a patriotic autobiography written by an Irish-American member of the community.

It is interesting to note, to this end, how the episode in which Frank reads his university compositions metaphorizes his activity as the author of this memoir. The fact that he pays sustained attention to the prospective effect caused by his narrative skills in his classmates – as he forebears, "If I go on writing about my miserable childhood they'll say, Stop, Stop, life is hard enough" (McCourt 1999: 251) – already reveals his interest in literary writing, and foreshadows the memoir's portrait of the artist as a young man. As such, this episode in the memoir amounts to a simulacrum of his first autobiography, materializing in a sort of *mise-en-abyme* that betrays McCourt's investment in the memoir's ideal readership by using fictional techniques that render his autobiographical account a fictionalized narrative.

McCourt's choice of narrative devices provides the memoir with fictional traits that include the use of the present-tense narration for most part of the memoir. This renders the told experiences immediate, intimate, and ongoing, and paves an easy path to the description of the impressions gathered in Frank's consciousness – a kind of reading experience to which the memoir's constant free-indirect style also contributes. Similarly, the presentational mode strikes for comprising a late 20th century memoir that nevertheless aligns its fictional codes with those of prototypical 19th century autobiographies in their conventional form, employing a first-person narration and a linear arrangement of events in its chronological storyline, traditional of Bildungsroman narratives. On the same note, McCourt's protagonist is not spare in his comments: by descanting on the motives that bring about moments of narrative climax, he sometimes gives free rein to the most hectic prose, and, in so doing, he tries to explain himself and convince the reader of the truth of his word. This indeed pinpoints how McCourt provides the memoir with a protagonist relying on a unitary, stable subjectivity. In fact, Mitchell delineates criticism about *Angela's Ashes* that can be similarly applied to *'Tis*: as he suggests, McCourt never problematizes neither the written reconstruction of the difficult workings of memory nor the speaking subject that is telling, remembering and thus resenting the traumatic memories of his youth again (Mitchell 2003: 614).

Running parallel and opposite to this line, the reflections on autobiography by South-African writer J. M. Coetzee[1] are tantalizing when analyzed within the scope of McCourt's choice of narrative codes and the McCarthyite atmosphere coursing most of its protagonist's time in the memoir. Claiming that autobiography deals with the confession of guilt, Coetzee suggests that, because it implies the author's

[1] The mention of J. M. Coetzee here responds to the interests of the exploration of McCourt's managing of his national and ethnic identity. For one, Coetzee's experience of whiteness in a racist country where white skin has historically entailed privilege and higher status is largely reflected on his autobiographical work, where he usually appears as an impostor of his prestige and a traitor to his community. Moreover, the fictional devices used in his memoirs succeed in blurring the line between fact and invention, and his reflections on the confessional and testimonial tone of this genre definitely mark it as a hybrid form of writing. Both the depiction of their ambivalent condition as colonial individuals and the hybrid narrative in which they construct their life accounts make Coetzee's and McCourt's work speak volumes to each other.

"selective vision", autobiography requires the memoirist to turn the subject of his life narrative into a fictional character – sentencing that "[a]ll autobiography is storytelling" (1992: 391). This is, the reinterpretation of one's memories from present circumstances further challenges the veracity of the narrative, thus the author repurposing the truthfulness of his past by adjusting the narrative within the fictional codes suitable to the narration mode. In McCourt's case, it is clear that his choice of artificial strategy reinforces the already-fictionalized status of the memoir, making it sit between a historical account of his life narrative and a prose piece of fiction. In the same vein, Coetzee explains how the author, through the compulsory exercise of self-examination and further "self-doubt" (1992: 269) when confessing in the autobiographical account, is impelled to question his truth, in the end "betraying" (269) the sincerity of his account and, thus, his own fictional subject by picturing himself and his foray into the depicted social context in a distorted light. A testimony that both exposes the profound effects of McCarthyite practices on the colonial individual, and disputes the conservative rationale and paranoid havoc of McCarthyism, McCourt's testifying, confessional narrative consolidates the interpretation of experienced reality as a fictional reconstruction. This becomes a narrative storyline that, as such, contests the veracity of his own narrative and, thus, makes McCourt undergo an exercise of self-betrayal. This blurring of lines between reality and narrative and the ensuing self-deception becomes especially relevant for a protagonist who is portrayed to endure inner struggles when testimony served as a powerful governmental tool to imbue the fear of treachery among citizens. The official systematization of the testifying account also brought side effects, especially the legitimization of lie or the fictionalization of facts that instantly became untruths. In fact, this was exercised both by those who were questioned but most importantly by that who was questioning: as it is well-known, McCarthy's political strategy was sustained on the manipulation of the truth of the accused citizen's life events to build an easy path towards incriminating his target.

Reading against the grain, this interpretation reinforces the perception of McCourt's memoir as a literary manifestation of the ideological discourse of which it partakes. Jameson and his view on narrative suitably find a place here as he argues that "individual period formulations always secretly imply or project narratives or 'stories' – narrative representations – of the historical sequence in which such individual periods take their place" (Jameson 1981: 13). He studies how subjects can only understand experience in the shape of narrative, and how the ideological poles of society are reproduced by its individuals, their stories and their interpretations. Therefore, he promotes a perspective on society as the interaction of individual stories, the construction and interpretation of which depend on their ideological context. In this framing, if literature, in Althusserian Marxism, entails a significant means of the values that support the existing conditions of society, is not it interesting to note how the rationalization behind McCarthy's procedures is to be identified with the theoretical vision of Marxist critics?

Indeed, McCarthy's falsified storylines synchronize with McCourt's memoir as interpreting narratives developed in American Cold War ideology to deliver an

altered, staged view of the truth of one's life events and surrounding context. This is explained because McCourt's decision to structure his autobiography through fictional devices that aim to establish a pattern of unity throughout an unconflicted narrative form proves how the accounts about his own life and the interpretation of the surrounding social context are immersed in the same conservative pool in which they were engendered. What is more, Jameson's idea synthesizes the predicament encountered by McCourt as the author of a memoir where the complex social psyche of the time depicted finds an insufficient expression, and by Frank as the character that stands to tell a truthful experience that he nevertheless finds contradictory, diluted, paranoid. As Raman Selden, Peter Widdowson, and Peter Brooker develop Jameson's concept of narrative, "[t]he realist writer intends to unify all the elements in the text, but the work that goes on in the textual process inevitably produces certain lapses and omissions which correspond to the incoherence of the ideological discourse it uses" (2005: 98). McCourt's realist-attuned memoir deliberately exposes the contradictions of Cold War America, but this paradoxically reflects, in the text's inconsistencies when delineating Frank's Irish-American identity, his comfortable seat in the conservative values of his society.

There is definite evidence of McCourt's memoir as an ideological object reproducing the gesture of the social psyche, conservative and unsettling alike. That is the concert between both the presentational mode used as well as the self-portrait pictured, and his purported audience. Mitchell rightly intimates that the artifice that makes McCourt's first memoir an example of unitary autobiography "is highly appealing to a reading sensibility craving a story with easily identifiable signposts that mark a beginning, middle, and end" (2003: 614). The unproblematized formal rendering of his life narrative in *Angela's Ashes*, which he recreates in his second publication, is of a piece with the criticism on his literature, especially that which addresses his victimizing voice and image. Claiming "the current American vogue for stories of victimage – and of upbeat recovery from that condition" (qtd. in Mitchell 2003: 615), Deane mentions McCourt's use of this trend to rationalize his popularity among the entertained American audience. This highlights, then, that the victimization in McCourt's imaginary reconstruction of historical fact and personal remembrance is written in the fictional codes and portrait devices suitable to entertain the American public, therefore comprising a reworking of Cold War normativism.

Most of Irish criticism indeed reproach his excessive wielding of colonial stereotyping and dubious delineation of his Irish-American identity as a way to sustain the national audience's attention[2], illuminating the fact that migrant writers' narratives have "drawn criticism for being a literature without loyalties" (Boehmer

[2] Both Éigeartaigh and Mitchell conclude their articles by providing a critical explanation of McCourt's popularity in the U.S., the two of them alluding to the docile expectations held by this national readership: while Éigeartaigh asserts that "McCourt ultimately cedes control of his own memories to his target American audience and their expectations" (2004: 91), Mitchell argues that it meets "reader's expectations while cultivating a reality effect its American readers find comfortably familiar" (2003: 621).

2005: 232). And yet, as we have analyzed, McCourt's felt depiction of his complex Irish-American subjectivity in *'Tis* does feature community allegiances with both his old Irish heritage and the identity newly forged in America. The main issue at stake is his adult choice of narrative form and thematic picture to represent both alliances: as Elleke Boehmer writes, once acquired a comfortable place "in the wider neo-colonial world", immigrant authors' work "willy-nilly remains collusive with and an expression of that neo-colonial world" (2005: 231). McCourt's memoir amply embodies this contradictory movement, even if his narrative pinpoints his compliance with the new land's morals, which makes him partake of the need of America's immigrant population "to affirm for other Americans their legitimate membership in the nation by telling stories of assimilation" (Smith and Watson 2001: 53). Restricted to the American arena, the migrant writer's urge to show his acculturation into the rhetoric of the times finds a perfect niche of welcoming readership in late 20th century audiences: Boehmer intimates that "Western readers find that they are entertained yet at the same time morally absolved" (2005: 232) when they are made to encounter stories of the exile's suffering and his eventual readjustment to the required cultural norms – this is, Frank's life narrative in New York. From the colonial author's perspective, McCourt writes a patriotic memoir that approaches the national discourse through the attractive depiction of the American Dream and its hard-work culture. In this sense, Edward Said's words are illuminating: "[t]riumphant, achieved nationalism then justifies, retrospectively as well as prospectively, a history selectively strung together in a narrative form" (2000: 176). Within Jameson's parameters of narrative and ideology, McCourt's memoir suitably fleshes out the national myth in a self-testifying story that at once becomes a site of registration and criticism, and yet a betraying replication of the contradictory praxis of the McCarthyite era, resulting in a much-troubled negotiation of the expression of his Irish-American consciousness.

6. CONCLUSION: TESTIFYING TO THE DISRUPTIVE, OR THE AFTERMATHS OF AN UPPERMOST PSYCHOTIC ERA

It can be opportunely argued, to sum up, that the narrative, the tone and the style of *'Tis, A Memoir* succeed in demonstrating the complex engagement of the Irish-American experience with post-war culture in New York, where the psychotic surges of the paranoid atmosphere during McCarthy's stirrings inflicted an irreparable wound on the colonial identity of the immigrant individual. This article has carried out a historical-literary reading of McCourt's autobiographical narrative as a Cold War literary piece. Firstly, as a historical testimony of McCarthyism, analyzing it as a narrative: showing, counteracting, and aligning to the nationalistic rhetoric of the times. Secondly, as a reworking of the American value system and conservative doctrine of the 1950s. As the former, it has evaluated the conflicted cultural identity of Frank's colonial character as the outgrowth of the disruptive ideological context of McCarthyite times chronicled in his autobiography. As the latter, it has employed Marxist critical views on ideology and narration to argue that this piece of autobiographical writing reproduces the rationale behind McCarthy's

political practices. As a genre that features confession and testimony in the shape of narrative, the memoir's compulsory fictionalization discloses McCourt's act of betrayal of others and of himself. By purporting to express the reality of his experience and that of his social context, McCourt cannot but convey the ideological and political weight of the discomfiting grounds depicted in the text and experienced by his own self. And this ambivalent movement, in turn, emphasizes the delineation of Frank's problematized ethnic, working-class former self and the negotiation of a new national identity, which complies with the unsettling discourse of the early Cold War period.

That his autobiographical account should be understood as a romanticizing view on America's ideological underpinnings and, thus, as contributing to Cold War patriotic narrative is evident in the very title: "'Tis" is actually what Frank, at Ellis Island for the first time, answers to the officer's question that "Isn't this a great country altogether?" (McCourt 1997: 517). And yet, does not McCourt's second autobiography feature turning points in which his experience as an ethnically hybridized individual seems to be unsurmountable? As analyzed, this can be seen in his uncertain verbalization as to where his shifting cultural allegiances lie: as he thinks while coming back from one of his visits to Limerick, "even though I'm happy to be returning to New York I hardly know where I belong anymore" (1999: 375).

The complex layering of this analysis, then, testifies to the struggling dynamics at work in McCourt's memorialized attempt to define his own grasp of Irish-American identity. As such, sociologically condemning his prejudiced rendering of Irishness, which has been a recurrent pattern in the criticism of his work, is necessary, but seems to be reductive of his contribution to cultural studies; instead, considering the intersection where autobiographical codes, post-colonial theory and Marxist views meet in the analysis of the colonial, working-class character takes into account the historical circumstances depicted in the autobiography – this is, experienced by the author – and assays their ideological relevance in the writing and reception of it. The fact that McCarthyite practices and their consequences appear in the memoir in a light emphasized by Frank's quivering voice reveals their impact on his growing consciousness and the harm inflicted on the ethnic, working-class outsider. Edward Said, in this vein, rightfully puts forward the fair idea that "[e]xiles feel […] an urgent need to reconstitute their broken lives, usually by choosing to see themselves as part of a triumphant ideology" (2000: 177). And that is what McCourt appears to realize in and through *'Tis*. The McCarthyite proceedings, experienced and portrayed alike, account for the way in which McCourt's Irish-American self, this is, the conflicted writing of his national and ethnic identity, favors and embodies the triumphant discourse on both paranoid fear and nationalistic success in Cold War America.

REFERENCES

Althusser, L. 1971. *Lenin and Philosophy and Other Essays*. New York: Monthly Review Press. Trans. Ben Brewster.

Anderson, L. 2001. *Autobiography*. London: Routledge

Ashcroft, B., Griffiths, G. and H. Tiffin. 2002 (1989). *The Empire Writes Back: Theory and Practice in Post-colonial Literatures*. London: Routledge.

Bhabha, H. K. 1994. *The Location of Culture*. London: Routledge.

Boehmer, E. 2005 (1995). *Colonial and Postcolonial Literature: Migrant Metaphors*. Oxford: Oxford University Press.

Burt, A. 2015. *American Hysteria: The Untold Story of Mass Political Extremism in the United States*. Connecticut: National Book Network

Casey, D. J. and R. E. Rhodes, eds. 1989. *Modern Irish-American Fiction: A Reader*. New York: Syracuse University Press.

Coetzee, J. M. 1992. *Doubling the Point: Essays and Interviews*. Ed. D. Attwell. Cambridge: Harvard University Press.

Éigeartaigh, A. N. 2004. "*Angela's Ashes*: An American Memoir of an Irish Childhood". *Irish Association for American Studies* 13/14: 81-92.

Jameson, F. 1971. *Marxism and Form: Twentieth-century Dialectical Theories of Literature*. New Jersey: Princeton University Press.

Jameson, F. 1981. *The Political Unconscious: Narrative as a socially symbolic act*. London: Routledge.

Jones, R. S. 2001. "From Ideology to Institution: The Evolution of Africana Studies". *Color-Line to Borderlands: The Matrix of American Ethnic Studies*. Ed. J. E. Butler. Seattle: University of Washington Press.

Marable, M. 2001. "The Problematics of Ethnic Studies". *Color-Line to Borderlands: The Matrix of American Ethnic Studies*. Ed. J. E. Butler. Seattle: University of Washington Press.

McClinton-Temple, J. 2013. "Expressing 'Irishness' in Three Irish-American Autobiographies". *New Hibernia Review* 17 (2): 103-118.

McCourt, F. 1997. *Angela's Ashes*. New York: Scribner.

McCourt, F. 1999. *'Tis, A Memoir*. London: Flamingo.

Mitchell, J. B. 2003. "Popular Autobiography as Historiography: The Reality Effect of Frank McCourt's *Angela's Ashes*". *Biography* 26 (4): 607-624.

Said, E. 2000. *Reflections on Exile and Other Essays*. Cambridge: Harvard University Press.

Selden, R., Widdowson, P. and P. Brooker. 2005 (1985). *A Reader's Guide to Contemporary Literary Theory*. Edinburgh: Pearson

Smith, S., and J. Watson. 2001. *Reading Autobiography: A Guide for Interpreting Life Narratives*. Minneapolis: University of Minnesota Press.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 133-152. http://doi.org/10.18172/jes.5585

WHERE ARE THE HORSES? THE EQUINE TROPE IN ANNE McCAFFREY'S *BLACK HORSES FOR THE KING*[1]

VANESA ROLDÁN ROMERO
Universidad de Santiago de Compostela
vanesa.roldan@usc.es

ABSTRACT. Mario Ortiz Robles argues that non-human animals are reduced to tropes in literature, lacking a material referent (2016: 21) and thus facilitating their systematic exploitation (Adams 2010: 69). One type of literature in which the other-than-human has traditionally been present but marginalised is Arthurian romance. During the Arthurian revival (1980s-1990s), we find Anne McCaffrey's *Black Horses for the King* (1998), a text that attempts to rewrite this myth and pay homage to the equines of the genre. My aim, therefore, is to discern whether McCaffrey's focus on horses suffices to resist their exploitation as symbols within the anthropocentric and often dualistic Arthurian tradition. Additionally, I scrutinise whether the human/non-human dualism also reinforces, and is reinforced by, the Christian/Pagan difference.

Keywords: Animal trope, Anne McCaffrey, Arthurian romance, contemporary Irish fiction, ethical encounters, horses, re-writing.

---

[1] The elaboration and writing of this paper were funded by the research project "Relatos de frontera: Cambio global e identidad en la narrativa breve británica contemporánea" (PID2021-122433NB-I00).

¿DÓNDE ESTÁN LOS CABALLOS? EL TROPO EQUINO EN *BLACK HORSES FOR THE KING* DE ANNE McCAFFREY

RESUMEN. Mario Ortiz Robles sostiene que los animales no humanos son reducidos a tropos en la literatura, careciendo de un referente material (2016:21) y facilitando así su explotación sistemática (Adams 2010: 69). Un tipo de literatura en el que los no humanos han estado tradicionalmente presentes pero marginados es el romance artúrico. Durante el renacimiento artúrico (década de 1980-1990), la obra de Anne McCaffrey, *Black Horses for the King* (1998), intenta reescribir este mito y rendir homenaje a los equinos, el núcleo del género. Mi objetivo, por lo tanto, es discernir si el enfoque de McCaffrey en los caballos es suficiente para resistir su explotación como símbolos dentro de la tradición artúrica antropocéntrica y a menudo dualista. Además, analizaré si el dualismo humano/no humano también refuerza, y es reforzado por, la diferencia cristiano/pagano.

Palabras clave: tropo animal, Anne McCaffrey, romance artúrico, ficción irlandesa contemporánea, encuentros éticos, caballos, reescritura.

Received 7 November 2022

Revised version accepted 20 October 2023

1. INTRODUCTION

Mario Ortiz Robles points out that non-human animals have always been part of literature and, paradoxically, "as marginal as […] constant" (2016: 16), often used to construct human ontologies. Margo DeMello argues that one reason for this might be that non-human animals are "like us, but also unlike us". Because of this, DeMello explains that they have a great metaphorical potential to represent human behaviours, desires, and dreams without threatening human(ist) identities (2012: 305). Carol J. Adams similarly argues that by reducing animals to metaphors, they cannot but become the "absent referent"[2] and, in Ortiz Robles' choice of words, "disappear". In this sense, Ortiz Robles argues that "[t]he history of modern literature is […] the history of an absence; an absence made all the more poignant by the cultural embeddedness of animals during the same period" (2016: 20). One consequence, Adams explains, is that "[a]nimals [have] become metaphors for describing people's experiences" within a "human-centered hierarchy" (2010: 66-67). In other words, the material existence of the more-than-human is denied. It is in this context that Tzachi Zamir contends that to bring the non-human animal under the spotlight, that is, to front them as key characters in narratives, might cause a "present" referent, highlighting their materiality and resisting anthropocentrism (2011: 1062).

[2] Here, Adams acknowledges that she first encountered the concept of the absent referent in Margaret Homan's *Bearing the World* (1986) (2010: 13).

One literary genre in which non-human animals are generally present, although paradoxically absent, is the Arthurian romance. In Derek Pearsall's introduction to Arthurian romance, the medievalist defines romance as "the literature of chivalry", a literature that "exists to reflect, celebrate and confirm the chivalric values by which its primary consumers, the noble or knightly class, lives or purpose to live" (2013: 31). This way, Arthurian romances uphold the figure of the knight, best exemplified through the character of King Arthur. The genre revolves then around this very specific human figure, usually marginalising non-human animals or, at best, using them to construct the chivalric characters. Perhaps because of this, Ífakat Banu Akçesme argues that the Arthurian world is extremely anthropocentric and androcentric, holding "man" as its centre as well as biophobic, which is not too surprising, especially given that these stories are generally set in medieval England (Akçesme 2018: 6). Moreover, Akçesme states that the Arthurian romance tends to focus on the erroneous act performed by one man against another man. These acts include killing a knight or a lady by mistake, both judged as a sin. Tellingly, Akçesme denounces that "[n]o act towards animals or other natural entities in the forest is morally and ethically judged, though" (2018: 31). That is, the more-than-human reality is often dismissed in Arthurian romances.

The late twentieth century witnessed profound transformations across Western societies. This period encompassed pivotal milestones, such as the 1964 Civil Rights Act in the United States, heralding civil rights advancements (Hersch and Shinall 2015: 425). Concurrently, the era saw the ascendancy of environmental consciousness, epitomised by the "animal turn," which underscored the focus on animal ethics (DeGrazia 1999: 111). These societal shifts served as a catalyst, potentially compelling authors to undertake the captivating task of reimagining the enduring Arthurian tradition.

Scholars have keenly recognised and scrutinised this intriguing phenomenon. Ana Rita Martins contributes significantly to this discourse through her exploration of the captivating reimagining of the Holy Grail within *Camelot 3000*, published in 1984 (2016: 24). Additionally, Susan Aronstein's insights add to the richness of the discussion, as she contends that both Star Wars and the Indiana Jones saga loosely incorporate elements of Arthurian conventions into their narratives (1995: 3). Yet, amidst the myriad rewritings of the Arthurian tales in the twentieth century, one literary gem emerges with particular prominence and influence: Rosemary Sutcliff's bestseller, *Sword at Sunset* (1963). This seminal work has garnered immense popularity and has left an indelible mark on the reshaping of the Arthurian legacy. Taken together, these compelling observations reveal a sweeping trend of authors daring to revisit and reinterpret the cherished Arthurian stories and texts during this transformative era. The allure of the Arthurian tradition has proven timeless, resonating with contemporary sensibilities and prompting writers to explore its timeless themes in ever-refreshing ways. As the literary landscape continues to evolve, the Arthurian legend stands resilient, continually inspiring creativity and captivating audiences across generations.

Anne McCaffrey, an Irish-American writer, stands as one author profoundly influenced by the Arthurian rewritings that emerged towards the end of the twentieth century. McCaffrey's literary pursuits have consistently delved into exploring the profound bonds between humans and a myriad of non-human animals[3], including dragons[4], cats[5], and horses[6]. Notably, she achieved acclaim with her prize-winning fantasy series, Dragonriders of Pern (Roberts 2007: 7)[7]. However, despite such accolades, her works beyond the Pern series have regrettably not received the deserved attention within academic circles.

An illustrative example of these underappreciated works is *Black Horses for the King* (1998), a young adult rewriting of the Arthurian romance. Tellingly, the author explicitly expresses her intention to pay homage to horses within the Arthurian tradition in the novel (McCaffrey 1998:2), perhaps influenced by works such as *Black Beauty* (1877)[8]. Interestingly, McCaffrey herself acknowledges that *Black Horses for the King* drew inspiration from reading *Sword at Sunset* [9], positioning her novel within the trend of rewriting the Arthurian in response to other rewritings. Set in a medieval England fraught with a continuous Christian/Pagan conflict, McCaffrey's novel is narrated through the perspective of Galwyn Varianus, a Christian character orphaned and apprenticed to his Pagan – and abusive – uncle. The tale takes a momentous turn when Lord Artos arrives at their village in search of black horses for his army, introducing the novel to the Arthurian romance through the symbol of the warhorse, the emblem of knighthood *par excellence* (Ropa 2022: 345). Impressed by the narrator's understanding and empathy for the horses, Lord Artos accepts him

[3] McCaffrey's writing often focuses on the close connection between her female protagonists and different forms of alterity, including dragons in the Dragonriders of Pern, where the protagonist becomes mentally linked to a dragon until their death, and crystal in the Crystal Singers trilogy, where the protagonist's body is blended with a symbiont that turns her into a formidable singer able to resonate with crystal (Roberts 2007: 11).

[4] The presence of dragons in McCaffrey's writing can be best seen in her in her famous Dragonriders of Pern. Here, dragons and riders live in a co-dependence that, if one of them dies, results in the suffering of the survivor until their death (McCaffrey 1968: 122).

[5] McCaffrey and Elizabeth Ann Scarborough wrote *Catalyst: A Tale of Barque Cats* (2010: 2010). Here, Tuxedo Thomas, a Maine coon cat, is the captain of a ship and a cat crew.

[6] Roldán Romero contends that horses are central in McCaffrey's writing. In *The Lady,* for instance, horses are crucial in the construction of Irishness in "Irishness" and the Equine Animal (2022: 307).

[7] McCaffrey was the first woman to win both the Hugo and the Nebula awards in 1968, and she became the first science fiction writer to have a book on the New York Times best-seller list in 1978 (Roberts 2007: 7). The awards did not cease, as she kept being awarded throughout her literary career until her death in 2011. She received the Margaret A. Edwards Awards for Lifetime Literary Achievement in 1999 (Roberts 2007: 7) and the prestigious Grand Master Award in 2005 (Roberts 2007: 214).

[8] Ortiz Robles explains that "*Black Beauty*'s most significant literary innovation is not that it is written from the perspective of a horse; rather, it is that the story of the horse is written as a Bildungsroman" (2016: 61).

[9] The influence is quite straightforward in elements like Arthur's name. McCaffrey retrieves Sutcliff's use of "Artos" to refer to Arthur, for instance (1998: 2).

as a new addition to his group of men. Throughout the novel, the main character's role revolves around tending to the equines, both ponies and horses, whom he claims to love dearly.

According to Maria Pramaggiore, the horse is one of the most relevant animals in western thought and especially in Ireland, where the author lived since 1970 until her death in 2011. Pramaggiore explains that the horse is not simply a trope that has functioned as a compelling symbol within Irish culture; it is also a trope that permits the Irish to navigate between past and contemporary culture (2016: 141). Perhaps because of this, the main issue at play in the novel is the tension between the anthropocentric literary tradition underlying the Arthurian romance genre and the author's attempts to rewrite it towards post-anthropocentrism, as she has been described as an ecofeminist (Roberts 2007: 139). The role of McCaffrey's equines as cultural mediators as well as their close interaction with the human protagonist and, especially, the life-threatening-injuries and the eventual murder of a pony could provide the ideal vehicle through which anthropocentric constructions of the human(ist) subject are challenged.[10] The close interaction and arguably quasi co-dependence between the species could respond to Jeffrey Cohen's thesis in *Medieval Identity Machines*, where the academic argues that "the body is likewise a site of unraveling and invention in medieval texts of numerous genres," (2003: 13). Perhaps then for this reason, the bodily proximity between the narrator and the horses can result in a posthumanist[11] ethics whereby other-than-human animals are turned into subjects with ethical consideration and humans become ethically accountable. Moreover, by rejecting anthropocentrism and exploring equine characters, the non-humans might resist their reduction to symbols used by the human characters, common in Arthurian romance and its twentieth-century rewritings (Akçesme 2018: 32). In this sense, it is relevant that McCaffrey's novel was written as a young adult work, as some academics have argued that this genre is also the perfect vehicle to explore resistances against oppressive systems (Ventura 2011: 100) and that the ideology defended in these works cannot help but influence their young adult readers, who are still in the process of becoming matured humans (Nikolajeva 2015: 86), highlighting the political importance of McCaffrey's attempts to move beyond anthropocentrism. Because of all the above, I aim to discern whether McCaffrey's focus on the horses suffices to resist their reduction to symbols within the anthropocentric Arthurian tradition. To this end, I shall apply Ortiz Robles' critique of absent non-human animals, Judith Butler's understanding of vulnerability, Matthew Calarco's view of ethical encounters, and Banu Akçesme's ecocritical analysis of Arthurian romance to McCaffrey's novel.

[10] Perhaps because of McCaffrey's strong love for her horses (Roberts 2007: 177) as well as the regular presence of the horse trope in her writing—*Ring of Fear* (1971) and *The Lady* (1988) just to mention a few—the author may have picked up on the heavy anthropocentrism of the Arthurian romance.

[11] Posthumanism here is understood as a post-anthropocentric and *zoe*-centred philosophy in which the human(ist) subject ceases to be the focus of study and the human/nonhuman hierarchy is rejected (Braidotti 2013: 194).

2. ANTHROPOCENTRIC ARTHURIANA

Anthropocentrism[12] may constitute one of the concepts that most intimately informs dualistic constructions of identity in western societies, usually to justify the otherisation and exploitation of the more-than-human. Val Plumwood argues that anthropocentrism leads to a "sense of power and autonomy" (2002: 120) that is based on a hierarchical human/Other distinction. One common justification for human superiority is the attribution of certain traits, such as intelligence and agency, to humans only, but Plumwood highlights how this hyper-separation between the species "produce[s] typical hegemonic constructions of agency" that allow the dominant party to "'forget' the other" as long as they remain useful to the dominant group (2002: 110). Jacques Derrida similarly contends that reason is often used to otherise certain groups, both within and beyond the human species. As Derrida provocatively proposes:

> It is not just a matter of asking whether one has the right to refuse the animal such and such a power (speech, reason, experience of death, mourning, culture, institutions, technics, clothing, lying, pretense of pretense, covering of tracks, gift, laughter, crying, respect, etc.—the list is necessarily without limit, and the most powerful philosophical tradition in which we live has refused the "animal" all of that). It also means asking whether what calls itself human has the right rigorously to attribute to man, which means therefore to attribute to himself, what he refuses the animal, and whether he can ever possess the pure, rigorous, indivisible concept, as such, of that attribution. (2008: 135)

Derrida's incisive critique of classical philosophical oppositions, which unveils their entanglement in violent hierarchies rather than promoting peaceful coexistence (1981: 41) resonates with Judith Butler's comprehensive outlook on anthropocentrism and dualisms. Butler vehemently highlights that anthropocentrism negates the shared material vulnerability of all living beings, perpetuating hierarchies that privilege the dominant Self (2016: 2). Through discursive othering, anthropocentrism constructs a deceptive notion of purity and ontological protection for those considered superior. Thus, both Derrida and Butler shed light on the inherent violence and power dynamics that permeate philosophical and anthropocentric frameworks.

Moreover, at the heart of Butler's exploration into vulnerability is the probing query of who warrants the designation of grievable, as the value and care for a life become apparent only when the possibility of loss exists. According to Butler, grievability is a subjective determination in which we choose which lives matter and are worthy of consideration. As Butler states, "[p]recisely because a living being may die, it is necessary to care for that being so that it may live. Only under conditions

[12] Elisa K. Campbell explains in the article "Beyond Anthropocentrism" (1983) that the word "anthropocentrism" was first coined in the 1860s, when Darwinian theories of evolution were first discussed. Here the term refers to the assumption that humans are at the centre of the universe.

in which the loss would matter does the value of the life appear. Thus, grievability is a presupposition for the life that matters" (2009: 15). This emphasis on the question of grievability exposes the connection between anthropocentrism and its subsequent implications for how other species are ethically considered.

Delving further into her study of vulnerability, Butler links these pernicious dichotomies to the very essence of anthropocentrism. She argues that the interconnectedness of dualism and anthropocentrism arises from the commonality of material vulnerability shared by all living beings, a vulnerability paradoxically denied and obscured by anthropocentric hierarchies. In her words, the potential threats posed by each body to others, all inherently precarious, inevitably lead to forms of domination (2009: 31). This notion gains further traction through Joyce E. Salisbury's insights into medieval society, which reveal a pronounced hyper-separation between humans and other species. This chasm is exemplified in the thoughts of intellectuals like Saint Augustine (1994: 3). The ramifications of anthropocentrism's consequences are perhaps responsible for motivating Calarco's assertion that "the genuine critical target of progressive thought and politics today should be *anthropocentrism* as such" (2008: 10).

In the context of McCaffrey's *Black Horses for the King,* I contend that vulnerability and domination significantly shape the medieval framework and its understanding of inter-species relationships. Within this narrative, the intricate dynamics of power and vulnerability influence the interactions between humans and horses, echoing the broader themes addressed by Derrida and Butler. The significance of horses in the narrative is apparent not only through the title, which directly references them, but also in the novel's opening scene, where Lord Artos' group of men is depicted traveling with their newly acquired black horses. The narrator vividly portrays the awe-inspiring nature of these equines, captivating all travellers on the road. Tellingly, he explains that the only reason no one dared to steal the horses was "the sight of Prince Cador's armed men as well as Bericus' casual mention Comes Artos owned the horses" (McCaffrey 1998: 77). This observation underscores an unsettling reality - the horses are reduced to mere commodities, existing to be bought and sold. They are subjected to othering, stripped of their inherent value as sentient beings and instead viewed through the lens of utilitarian ownership. This portrayal echoes a recurring theme in the novel and, more broadly, in medieval contexts, where power dynamics heavily influence human interactions with other species. Fear of reprisal from the male characters in charge of the group serves as the horses' only shield from theft, a stark reminder of the domination humans exercise over these noble creatures. By highlighting the commodification and exploitation of horses, McCaffrey's narrative draws attention to the ways in which vulnerability is manipulated within an anthropocentric society, further reinforcing the hierarchies that subordinate non-human beings to human interests.

Early in the novel, the protagonist explains that his ability to spot high-quality horses stems from his father's business of breeding and training horses. He has not capitalised on this skill since his father's death, partly because his uncle gave him

no opportunity to do so and partly because thinking about horses is too painful as they remind him of his dead father. The narrator closely relates his skills with horses to his Christian childhood, both erased after his father's passing and his apprenticeship with his Celtic uncle. In this context, the arrival of Lord Artos to purchase horses offers an exceptional opportunity for the main character to flee his uncle and join Lord Artos and his group of men (McCaffrey 1998: 14–15). When the narrator succeeds in helping Lord Artos buy the best horses available, Lord Artos praises him, and the narrator replies, "'[m]y honour, Lord Artos, my honour" (McCaffrey 1998: 16). Such emphasis early in the novel on honour suggests that the human character's motivation to assist Lord Artos arises not from a desire to contribute to the wellbeing of the equines, but from his desire to join Lord Artos and become some sort of knight. This way, despite the importance of horses in the narrator's life, he is more interested in the human character of Lord Artos, as is often the case in Arthurian romance, already framing the novel within the anthropocentric bias of the tradition.

Moreover, before joining Lord Artos' group and their journey back to Camelot with the newly bought horses, the narrator purchases a pony whom he names Spadix (McCaffrey 1998: 21). His decision is presented as rational; after all, he would not be able to join Lord Artos' group of men without the pony, as everyone else was on horseback (McCaffrey 1998: 25). And yet, the pony is not only the means through which the main character gains material access to Lord Artos' group of horsemen. The pony is also central for Lord Artos and the other Christian characters to approve of him. At some point, Lord Artos abandons the group and the stallion he was riding, Cornix, leaving the narrator as the human in charge of leading his horse. The narrator explicitly explains that he would not be able to guide Cornix without his pony, who has a soothing effect on the stallion. The character who benefits from Lord Artos' decision is the human, not the pony (McCaffrey 1998: 38). The value is clearly social, especially after the narrator acknowledges that their leading of the stallion is "the mark of both Comes Artos' favour and *my* status" (McCaffrey 1998: 111) (emphasis added). This emphasis on the prestige that equines provide humans with in McCaffrey's text is in line then with the Arthurian romance, probably because, as Luise Borek states, "the horse […] functions as a status symbol" (2022: 143). Consequently, although the narrator's anthropocentric instrumentalisation of the equines might initially be justified by his desperation, anthropocentrism continues to shape his behaviour.

Perhaps the most straightforward evidence of anthropocentrism shaping the novel can be found in the name of Lord Artos' stallion and the narrator's pony. In the case of the pony, he is named Spadix, a Latin name chosen by the protagonist. Accordingly, the pony would serve to emphasise his owner's ideological affinity with Roman, and implicitly Christian, values as well as his rejection of Celticity and Pagan. The other equine that is continually mentioned in *Black Horses* is the stallion Cornix. Similar to Spadix, the name is Latin, clearly Roman-influenced. This time, the human who chooses the name is Lord Artos, who explains that the name is a reference to ravens, which, for those from Comes Britannorum such as him, is a "good omen" (McCaffrey 1998: 36). Once again, the name gives no information

about the horse, but about his rider and beliefs. Moreover, that the stallion is named in relation to the symbolic reduction of ravens points to that the material reality of non-human animals in general is dismissed. The naming of the equines cannot help then but reinforce species dichotomic boundaries.

3. A CHRISTIAN/PAGAN DIFFERENCE

Akçesme explains that Arthurian romances are no stranger to dualisms; after all, they often represent a world erected on a culture/nature opposition in which culture is associated with knights and order while nature stands for chaos and challenge for the knights (2018: 25). The most striking dualism in the novel is indeed the human/non-human one, which is parallel to, and perhaps reinforced by, a Christian/Pagan dualism. The alleged anthropocentrism of Christianity in contrast with Paganism is not an uncontroversial issue, though. Salisbury, for instance, explains that, "in spite of evidence that many classical thinkers dignified animals with human qualities and regularly saw humans acting as animals, there is no evidence that they treated animals any better than [Christians]" (1994: 7). On the other hand, other academics like Akçesme contend that Christianity "is the most anthropocentric religion" with "Man" as its centre. According to Akçesme, one consequence of the arrival of Christianity was the end of animistic Pagan culture, which fostered some level of respect towards the more-than-human world (2018: 21). In the case of McCaffrey's text, we find a clear clash of Christian and Pagan culture through the horses, as is common in modern Arthurian romance (Łaszkiewicz 2017: 133). To examine the role of horses in this conflict, however, is not a common occurrence (Ropa 2019).

John Darrah's *Pagan in Arthurian Romance* examines a number of animal tropes in the genre; interestingly, the academic argues that most of them, especially horses, are heavily Pagan-influenced if not Pagan themselves (1994: 150). However, *Black Horses* seems to depart from this tradition. Although the horses in the novel are not represented using direct religious descriptions, they are continuously associated with their human riders and their religious beliefs. Within the novel, the most unarguably central and magnificent horseman is Lord Artos, the figure the protagonist admires most. Lord Artos is a "purely", albeit somewhat tolerant, Christian character. When the main character first joins him and his human companions, he hears them use typically Christian expressions such as "Hallelujah!" and "Amen". The Christian faith of the group is, along with his admiration towards Lord Artos, the main reason why the main character wants to follow them. For instance, when the group are discussing the next time they will be able to hear mass, the narrator is positively shocked by their open Christianity: "I said nothing then, mindful that Lord Artos and his companions wore the crosses of the Christian ethic and spoke of God, rather than gods, and of this I was glad" (McCaffrey 1998: 29). This way, Lord Artos and his human companions are Christian characters whom the protagonist feels admiration for.

Moreover, Lord Artos' stallion, Cornix, is aligned with his Christian rider and so he can embody Christianity. After Lord Artos leaves his stallion with the group and moves faster on his own, the issue of who shall ride or lead Cornix arises. The narrator and his pony are the ones chosen to lead the stallion (McCaffrey 1998: 38). Tellingly, the narrator is a clearly Christian character, much like Lord Artos, and the name he ascribes to his pony, Spadix, is more related to Christian than to Pagan values. That the narrator is the character chosen to lead the stallion could then be related to that the stallion recognises the Christianity in the pony and the human and would, consequently, accept them. In other words, both stallion and pony might be constructed through a human character, but only to the extent to support the Christian/Pagan dualism and the dismissal of their material dimension. This instrumentalisation is further and more clearly elaborated through two (human) Celtic characters. One of them is the narrator's uncle, a "purely" Celtic and Pagan figure. When the narrator reflects on his uncle after first meeting Lord Artos' group, he describes his relative in the following terms:

> My uncle and his crew were Pagan in their superstitions and I had never had a chance to hear Mass in my uncle's employ. At that, I was exceedingly grateful my uncle was not my blood kin, but my mother's younger sister's husband. My mother had looked down on that marriage as beneath what her sister could have achieved. Only now did I realize that my mother had done very well indeed to have attracted the substantial man my Christian father had been. He had adored her and given her everything she desired. (McCaffrey 1998: 29-30)

The narrator's abusive uncle clearly identifies with Paganism,[13] whereas both the protagonist's father and Lord Artos identify with Christianity. Through this excerpt, the narrator identifies Christianity with human characters he admires, while he identifies Pagan with those he hates, outlining a fairly obvious Christian/Pagan dualism. The narrator's rejection of non-Christian beliefs for supposedly moral reasons is deepened through the description of the other Celtic character and his main foe, the Cornovian character of Iswy[14]. The Celt is described as hostile towards the protagonist from the outset, who first describes him in the following terms: "[m]y first impression of him was that of a sly and devious fellow, envious of any attentions which he did not get to share" (McCaffrey 1998: 63). Interestingly, this quite detailed description of the Celtic character is made within minutes of meeting him, before they even engage in conversation. And yet, the main character makes a quick moral judgment of his foe based on his distinctly Celtic name, acknowledging only his riding abilities as positive.

[13] That the protagonist of McCaffrey's novel is an orphan with an apparent openness to horses who is forced to go work for his Pagan uncle could echo one of the most important medieval texts, Bevis of Hampton, and its protagonist, orphaned and forced to work for Pagan kings. Tellingly, Susan Crane explains that this text is far from anthropocentric (2013: 154), perhaps pointing to McCaffrey's intention to go beyond anthropocentrism.

[14] The Cornovii were a Celtic People of Iron Age and Roman Britain (Ellis 2013: 29).

The foe's "Celticity" is not limited to his name or birthplace, both of which are circumstantial and not his choice. The foe is however more comfortable speaking in Celtic than in Latin. Once the narrator is already part of the group, he observes the Celt while eating dinner and resting. Here, he notices that his foe and his Celtic friends were "frequently lapsing into the Celtic" (McCaffrey 1998: 69). This way, the foe character's actions are deeply shaped by his Celtic culture, which he fully embraces. Moreover, right after noticing Iswy speaking in Celtic, the narrator states that, unlike the Celt and his friends, he had "been taught to speak a *purer* Latin that they could follow" (McCaffrey 1998: 69) (emphasis added), as if trying to reassert his superiority in the Christian anthropocentric hierarchy that we find in the novel.

The negative presentation of the Celtic character cannot be separated from equines and his obsession with riding Lord Artos' stallion Cornix. Because the Celt is first denied his request to ride the stallion and the group decides instead that the narrator will lead him, the foe threatens human and other-than-human characters alike. The Celt's threats do not remain verbal; on the same night his request is denied, he wounds the protagonist's pony, so that Cornix is left with nobody to lead him, making a rider necessary to continue the journey (McCaffrey 1998: 81). The main consequence is that the Celt is finally allowed to ride the stallion; and yet, his success is short-lived. When he finally rides Cornix, the other-than-human character "abruptly twisted" and "sen[t] Iswy ploughing his length in the dust" (McCaffrey 1998: 85). More importantly, the narrator states that:

> There was a silence while I stood motionless lest Iswy know that I had overheard his humiliation. Then he began a flow of soft cursing such as I had never heard before: viciously promising vengeance from Pagan gods on the high and mighty Lord Bericus for denying Iswy his simple request. (McCaffrey 1998: 79)

Tellingly, this paragraph conflates Iswy's viciousness and his Paganism. In other words, Celtic people are described as vicious and traitorous in the novel, capable of harming the non-human animals they should protect, according to Lord Artos and his second in command, Bericus (McCaffrey 1998: 85). Consequently, the narrator reinforces the Christian/Pagan boundary whereby Celts who refuse to follow Christianity are morally inferior, hereby justifying their otherisation. Although it is true that some academics have argued that in medieval texts we can find instances of horses throwing humans away as proof of their agency, as Marieke Röben has argued in her analysis of two medieval texts: "Casus Sancti Gali" and "Decem libri historiarum" (2021: 72), I contend that this is not the case in McCaffrey's text. Despite the large number of riders and horses, this is the only moment when we read of an equine throwing a rider. It is then not an instance of agency but a moment in which the equine is reduced to a trope and a narrative device to highlight the foe as the non-Christian Other. Furthermore, the narrator describes the Celt's reaction as soon as he stands up from the fall as follows: "[t]he look on the Cornovian's face as he sprang up from the roadway was vicious. As he followed the stallion back to Spadix, I saw his hand go briefly to the slingshot looped over his belt" (McCaffrey 1998: 86). That is, the Celt resorts to violence as soon as he realises that he has been rejected.

After the horse avoids the first shot, the Celt is readily dismissed from the group by Lord Artos' second-in-command, another Christian character. Here we find then a clear Christian/non-Christian distinction, positing the Celts as morally inferior in their treatment of horses and, consequently, as faulty knights within the Arthurian tradition.

The Celt's pride and failure to ride a Christian horse can hardly be separated from his otherisation as a Pagan character. When another member of the group asks the Celt why he is so obsessed with riding the stallion, he explains that it is "because no-one else had" (McCaffrey 1998: 78). Although it is not entirely true, as Lord Artos has indeed ridden the stallion, it is true that this Christian character is the only one who has managed to ride the horse so far. Tellingly, the narrator identifies the Celt's obsession with riding the stallion with pride, showing his Christian bias.

However, I contend, the Celt's motivation might be more complex than the text superficially suggests precisely because the Celt is obsessed with a specific horse, Lord Artos' stallion. Iswy's attitude could indeed suggest that he, perhaps unconsciously, resists the hierarchical power dynamics operating in the novel. The symbolic power of the stallion is made explicit when the narrator has finished his training in the shoe-forging and prepares for the last part of their journey back to Camelot, where Lord Artos waits for them. Here, the narrator is told to ride the stallion and lead the pony. The narrator is left speechless because, in his own words, this was one of "my most private dreams" (McCaffrey 1998: 123). In the end, Cornix is turned into a symbol of social prestige, who complements his rider. As an otherised character, riding Lord Artos' stallion, symbol of the highest authority in the novel, could have provided the Celt with the social prestige the protagonist benefits from by leading and later riding the stallion. If Iswy rode the Christian stallion, he would trespass the Self/Other—Christian/Pagan—dichotomy. This is why he must be immediately punished and humiliated for it. Thus, horses become the symbols through which power is negotiated in the novel, once again ignoring their material reality and denying any kind of ethical accountability of the human characters; equines are only relevant in that they contribute to reinforce the Roman/Celtic dualism and their categorisation as the non-human Other. In this regard, it is important to discern whether the text attempts to expose the hierarchies at work in the narrative, perhaps through ethical encounters.

4. INTER-SPECIES ENCOUNTERS

In spite of the ongoing influence of anthropocentrism within both western society and McCaffrey's novel, the emergence of various forms of resistance remains plausible. Drawing on Levina's ethical framework, Matthew Calarco underscores that the Self's perpetual engagement with "others" does not inherently disrupt his egoism; nevertheless, such egoism, often rooted in anthropocentrism, can be subjected to scrutiny and transformation through the conduit of ethical encounters (2008: 65). As the academic explains,

> Perhaps I notice someone's deep vulnerability […] In such moments I encounter the Other as ethically different […] The Other here issues a challenge to my way of life and allows me to recognize that there are Others who are fundamentally different from me and to whom I unthinkingly do violence in my daily life. (2015: 32)

The ethical encounter with the oppressed Other can thus provide the means to force an acknowledgment of the shared material reality of living beings, human or not and, potentially, to regard the Other as an ethical subject that obligates the Self in ways that cannot be fully anticipated (Calarco 2008: 5). I argue that we can find some instances of ethical encounters in McCaffrey's novel. All of these encounters are of course filtered by the narrator, who is physically close to the equines as their caretaker. This material proximity might echo Susan Crane's analysis of the relation between a knight, the figure of the Arthurian romances *par excellence*, and a horse. Crane argues that this relation is "the most densely represented of all cross-species interactions" in the Middle Ages (2013: 137). McCaffrey's novel goes further and explores not the knight and his horse, but a different version of this figure through the protagonist and his pony, probably because of the author's interest in those in the margins.[15] The narrator does not fight in any battle, as he ends up becoming a horseshoes maker. However, he displays some of the "knightly" traits such as honour and loyalty to the lord (Akçesme 2018: 10). Likewise, the narrator tends to the equines to the utmost detail, as knights in the Arthurian romance are expected to do (Pearsall 2013: 91). The first time the protagonist embarks with Lord Artos' men and horses, he is the only one unbothered by it, being used to sea travelling. At first, he explains that the seasickness that both horses and humans are experiencing is slightly different. The narrator states that the reason for such a difference is that the humans on the ship "simply had no time to be sick" (McCaffrey 1998: 46). Species boundaries seem then to be at best fragile, showing cracks that might be exploited to deconstruct the hyper-separation.

Furthermore, the narrator seems to be a character who sympathises with non-human animals. After the horses embark, the narrator is forced to face the vulnerability of the paradoxically extremely big and strong horses he is forcing to embark for Camelot. Here, the narrator can tell that the horses are terrified. Although their fear does not prevent their forced embarking, the protagonist tries to converse with them soothingly:

> "You'll be on land before dark, my lad," I murmured to the stallion. He stood with his head bowed between his splayed front legs, his finely shaped ears drooping to either side of his elegant head, his black coat grimed and rough with sweat though we had groomed him morning and night. Remembering his fine displays on land, it was disheartening to see his proud spirit so low. (McCaffrey 1998: 46-47)

[15] Roldán Romero argues that McCaffrey's writing often revolves around horses, whom the author loved dearly, enabling her to analyse otherised entities and that "human and nonhuman alike" characters manage to connect (2022: 311).

Despite the stallion's lack of verbal communication, the narrator does pick up on some of his non-verbal communicative items, such as his bowed head, his dropped ears, and his sweat after being recently groomed. All these aspects allow the narrator to imagine, if not know for certain, what the stallion thinks, wants, or feels. That is, the narrator does not make the anthropocentric assumption that ethical considerations should be applied exclusively to human animals on the basis of reason and articulated language. Instead, he acknowledges that equines are not devoid of emotions and, more importantly, that they deserve to be soothed instead of simply tossed aside. Similarly, the narrator speaks to the horses perhaps because he is somewhat aware of the fact that, as Crane explains, "human speech produces physical effects in the speaker that another species can grasp" (2013: 159), enabling inter-species communication. In other words, he does not deny the inter-connection and messy influences between the species, in clear resonance with Donna Haraway's "relating"[16] and her advocacy for interspecies kinship.

The establishment of this kinship emerges as an especially pivotal consideration. As underscored by Haraway's thought-provoking imperative to "Make Kin Not Babies!", this imperative holds substantial implications. To forge a path toward a more sustainable global future, one that safeguards both the planet and its inhabitants from the deleterious effects of human-animal anthropocentrism, it becomes imperative to foster a network of "posthumanist allies." This entails a radical reimagining of our interrelationship with other animals, turning them into subjects of ethical consideration (2015: 161). In a parallel vein, Braidotti accentuates the critical significance of nurturing empowerment while recognising the intricate web of interconnections that facilitates the formation of alliances grounded in the tenets of non-anthropocentrism (2009: 530-31). Consequently, these alliances, emancipated from anthropocentric biases, assume a profound capacity to confront and undermine the marginalising tendencies that inherently reside within anthropocentrism. Hence, the way in which the protagonist engages with the equines here could display some form of posthumanist ethics and so a non-anthropocentric comprehension of human/other-than-human relationships.

The narrator explains that the sea trip results in both equine and human characters, all being bruised and exhausted. He does not pay much attention to his human companions and instead elaborates on the condition of the horses, who right after the landing "were barely able to drink water when it was offered to them" (McCaffrey 1998: 57). Here, the non-human animals are beyond exhaustion, which is recognised by the narrator and another Christian character, Lord Artos' second-in-command, Bericus. Right after the landing, Bericus commands: "[n]ow, let's get these poor creatures to the pasture before they fall down on the hard wharf stones." (McCaffrey 1998: 59). This way, the text presents the narrator as a sympathetic character who builds inter-species bridges based on their common vulnerability to

[16] Donna Haraway contends that inter-species relatings is "a messy, difficult love which seeks to inhabit an inter-subjective world that is about meeting the other in all the fleshy detail of a mortal relationship with all its inevitable comic and tragic mistakes in the permanent search for knowledge of the intimate other" (2003: 34).

sickness, exhaustion, and sentience. In this context, ethical encounters might provide a useful context to blur anthropocentric hierarchies and boundaries.

Unlike the narrator and Bericus, other human characters are simply not sympathetic towards the equines. The protagonist's foe, Iswy, offers an example of this. The Celt first hurts the narrator's pony to earn the right to, albeit momentarily, ride Lord Artos' stallion (McCaffrey 1998: 85). He likewise ambushes the narrator with a group of horsemen and tells them to target the equine he is riding (McCaffrey 1998: 181) and, finally, he murders the protagonist's pony (McCaffrey 1998: 192). This is not too surprising in the context of young adult fiction, for, as Patty Campbell argues, non-human animals, especially pets, are usually murdered to dramatize just how bad the bad guys are" (2010: 56). Death and vulnerability, explored within the realm of corporeal existence, reveal the interconnectedness shared by human and nonhuman animals. Gilles Deleuze posits that becoming-animal blurs the boundaries between human and nonhuman, primarily due to their shared vulnerability in material reality. This leads us to realise that "every man who suffers is a piece of meat. Meat's the common zone of man and the beast" (2003: 23). Hence, through the forced ethical encounter and the destabilisation of ontological hierarchies, provoked by the proximity of the main character to the death of the non-human in the text, can the human be potentially decentred of the established order and explore other frameworks of thought and life and become "meat," a concept typically reserved for farm animals. Such shock could therefore permit the protagonist to open his vision of the relationship between humans and non-humans and embrace an ontology that rejects the artificial hyper-separation between animal species. To acknowledge shared vulnerability and materiality denies *anthropos* the sovereign, central position in the anthropocentric human/non-human. The Celt's mortal revenge is performed by the end of the novel, while everyone else is busy getting ready for the upcoming battle. Once the protagonist arrives at the stables where the pony is killed, it is too late to save his life: "I knelt beside my faithful old pony and closed his eyes. Then I yanked the knife from his skull" (McCaffrey 1998: 192). Death becomes then not only an abstract motif related to the protagonist's deceased father, but a material phenomenon, through the murder of the pony. The pony's death raises the question of whose passing is grievable, which Butler argues is a political and social practice (2009: 29). Although the protagonist might regard the pony as grievable and even worthy of revenge, this is not the case for all the equines in the novel.

Early in the novel, when the human characters are still leading and riding the recently purchased equines, one of the foals breaks a foreleg. The reaction of the human characters is devoid of sympathy, and no attempts to treat the injured animal are made. Instead, the narrator says almost in passing: "[o]ne foal broke a foreleg and had to be destroyed" (McCaffrey 1998: 52). Although one might argue that to kill this pony is almost an act of mercy, as they would be unable to continue walking at the rhythm required of them to arrive to Camelot on time, the choice of words, "destroyed", eliminates any regard for the equine's material existence. This telling wording illustrates the naturalisation of anthropocentric discourse and, more

importantly, that the ethical encounters taking place in the novel are not acknowledged but ignored and left to the margins despite the centrality of the equines. The text even engages in a short but vivid description of the pony's slaughter: "Artos himself severed its jugular vein, not wanting anyone else to have such a sad duty. Then the foal was heaved overboard. A sailor swabbed the blood off the deck within minutes" (McCaffrey 1998: 52-53). The death of the unnamed foal serves to construct Artos as an honourable knight who seeks to spare others from hurting the innocent, following the Arthurian tradition (Brewer 2002: 34). Given that Borek argues that "the catalyst function of the horse has proven valid for the dead horse as well as for the living one" (2022: 158), the killing of the foal constructs Lord Artos as a proper knight, dismissing the suffering and death of a living being as well as the potential ethical encounter. Moreover, the narrator explains that the blood is washed away in a matter of minutes; that is, any consequences for the human character are "erased" with the blood, proof of what has just transpired. As Akçesme explains, "Arthurian Romances do not have any bio-ethics [and] 'green' virtues like empathy, nurturance or connectedness to others are completely ignored" (2018: 30). Such seems to be the case in *Black Horses*, where the protagonist, while apparently attuned to the emotions and injuries of the horses, only seeks to avenge the murder of one equine and not another.

In the case of the pony, the protagonist quickly abandons his corpse and goes after his murderer, Iswy, whom he finally murders, avenging the deceased pony (McCaffrey 1998: 200). That is, the pony is appropriately avenged, especially considering that he was perfectly healthy and there was no reason to kill him. Although one might argue that the reason for this difference is that the foal was killed because he was already hurt and so it would be a form of euthanasia whereas the pony was perfectly healthy, the text seems to be a bit more complicated. Considering that equines are often seen in Arthurian romances as symbols of the social status of their riders and that to kill the equine is to dishonour their rider (Brewer 2002: 37) and a threat to the rider's ontology (2022: 140), the killing of the other-than-human character might be motivated not by the pain of losing an equine companion, but to reassert the human's Arthurian honour.

In this regard, although one might be tempted to argue that McCaffrey's text is limited by its genre (Roldán Romero 2022: 317), there exist previous cases of characters in romances able to build inter-species bridges. One example is Bevis, a medieval character in the Arthurian poem *Bevis of Hampton*. According to Crane, this knight defends his love towards his horse without falling into naïve anthropomorphism, acknowledging that their relationship is not symmetric (2013: 160). More importantly, the strong connection between the knight and his horse causes his death right after his horse's (Crane 2013: 166). In the case of *Black* Horses, the narrator remains alive and riding the newly acquired stallion after killing the Celt. That is, the text fails at its attempts to go beyond anthropocentrism, despite the focus on the equines, unlike other works set in similar contexts. In other words, despite the author's attempts to move beyond anthropocentrism, the novel defends

the superiority of the human species, despite the concessions to other species like killing foals to end their suffering.

5. CONCLUSIONS

McCaffrey's novel *Black Horses for the King* undoubtedly enters into a compelling dialogue with the Arthurian tradition, placing a significant emphasis on the equine world. This dynamic interplay between human and horse characters offers valuable insights into the impact of anthropocentrism on human relationships with other-than-human beings within the genre. Yet, amidst the engrossing narrative, certain ambiguities emerge that merit attention.

While the text reflects upon the human/other-than-human relationship, it falls short of fully exposing the materiality of the horses themselves or advocating for their ethical consideration. Instead, the novel utilises the equine characters as mere instruments to shape the protagonist and his adversary. Strikingly, this lack of challenge to anthropocentrism in the narrative is closely tied to the absence of resistance to the dualistic hierarchy between Christianity and Paganism. McCaffrey's work reinforces and is reinforced by the human/non-human dichotomy, mirroring the Christian/Pagan binary. Consequently, the dualisms pervading the text reinforce one another, avoiding any transformative challenge.

Amidst moments that might suggest resistance to anthropocentrism, such as the protagonist's keen attention to the equines' bodily language, these efforts often arise as unintended by products of the instrumentalisation of the horses. The ethical encounters depicted in the novel inadvertently serve to reinforce the supremacy of Christian humans over non-Christian humans, perpetuating the marginalisation of the horses' genuine existence, relegating them once again to mere instruments for human purposes. This portrayal paints a somewhat pessimistic outlook for the reader, suggesting that a mere representation of the more-than-human in literature cannot safeguard them from being reduced to symbolic tropes.

Indeed, focusing solely on other-than-human animals and striving for an ethical encounter between species falls short of dismantling anthropocentrism and the exploitative reduction of non-human beings to tropes. To genuinely challenge the Western dualistic thought system heavily reliant on anthropocentrism, we must dismantle all hierarchical dualisms and truly respect all forms of zoe. In this pursuit, we realise that merely centring on non-human animals may not suffice to achieve a successful ethical encounter and avoid succumbing to anthropocentric tropes in the Arthurian tradition, as Akçesme rightly warns us (2018: 18).

In conclusion, while McCaffrey's novel indeed engages in a thought-provoking dialogue with the Arthurian tradition and highlights the impact of anthropocentrism on human/other-than-human relations, it leaves open spaces for deeper exploration and more transformative encounters. The interplay of ambivalences throughout the text urges a more holistic approach, one that challenges all dualisms to foster authentic ethical exchanges and cultivate an environment for harmonious

coexistence with other species. Hence, while McCaffrey's expressed aim was to honour the equines within the Arthuriana, it becomes apparent that this intention inadvertently results in a variation of anthropocentrism, in line with Calarco's astute critique of the shortcomings of animal rights discussions – a critique that reminds us how such discourse can occasionally generate "a slightly different version of anthropocentrism" (2008: 9).

REFERENCES

Adams, C. J. 2010 (1990). *The Sexual Politics of Meat*. Twentieth Anniversary Edition. New York, London: Continuum.

Akçesme, Í. B. 2018. "Ecocritical Insights into Medieval Epic Romances: A Comparative Study of Le More D'Arthur and Dede Korkut Stories." *Understanding Culture through Language and Literature*. London: Cambridge Scholars Publishing. 3-33

Aronstein, S. 1995. "'Not Exactly a Knight': Arthurian Narrative and Recuperative Politics in the 'Indiana Jones' Trilogy." *Cinema Journal* 34 (4): 3-30.

Barr, M. W. 1984. *Camelot 3000*. New York: DC Comics.

Basch, N. 1986. "The Emerging Legal History of Women in the United States: Property, Divorce, and the Constitution." *Signs: Journal of Women in Culture and Society* 12 (1): 97-117.

Borek, L. 2022. "Dead Horses in Arthurian Romance (and Beyond)." *Echoing Hooves: Studies on Horses and Their Effects on Medieval Societies*. Eds. A. Ropa and T. Dawson. Leiden, Boston: Brill. 139-167.

Braidotti, R. 2009. "Animals, Anomalies, and Inorganic Others." *PMLA* 124 (2): 526-532.

Braidotti, R. 2013. *The Posthuman*. Cambridge: Polity Press.

Brewer, D. 2002. "Paradoxes of Honour in Malory." *New Directions in Arthurian Studies*. Ed. A. Lupack. Suffolk (UK): Boydell & Brewer. 33-54.

Butler, J. 2009. *Frames of War: When Is Life Grievable?* London, New York: Verso.

Butler, J. 2016. "Rethinking Vulnerability and Resistance." *Vulnerability in Resistance*. Eds. J. Butler, Z. Gambetti, and L. Sabsay. Durham, London: Duke University Press. 12-27.

Calarco, M. 2008. *Zoographies: The Question of the Animal from Heidegger to Derrida*. New York: Columbia University Press.

Calarco, M. 2015. *Thinking Through Animals*. Stanford: Stanford University Press.

Campbell, E. K. 1983. "Beyond Anthropocentrism." *Journal of the History of the Behavioral Sciences* 19: 54-67.

Campbell, P. 2010. *Reflections on Young Adult Literature*. London, Toronto, Plymouth: The Sacrecrow Press.

Cohen, J. J. 2003. *Medieval Identity Machines*. Minneapolis, London: University of Minnesota Press.

Crane, S. 2013. *Animal Encounters: Contacts and Concepts in Medieval Britain*. Philadelphia: University of Pennsylvania Press.

Darrah, J. 1994. *Paganism in Arthurian Romance*. Woodbridge: Boydell.

DeGrazia, D. 1999. "Animal Ethics Around the Turn of the Twenty-First Century." *Journal of Agricultural & Environmental Ethics* 11: 111-129.

Deleuze, G. 2003. *Francis Bacon: The Logic of Sensation*. London: Continuum.

DeMello, M. 2012. *Animals and Society*. New York: Columbia University Press.

Derrida, J. 1981. *Positions*. London: The University of Chicago Press.

Derrida, J. 2008. *The Animal That Therefore I Am*. Ed. M. L. Mallet. New York: Fordham University Press. Translated by Bass Alan.

Ellis, P. B. 2013. *A Brief History of the Celts*. London: Hachette UK.

Haraway, D. 2003. *The Companion Species Manifesto: Dogs, People, and Significant Otherness*. Chicago: Prickly Paradigm Press.

Haraway, D. 2015. "Anthropocene, Capitalocene, Plantationocene, Chthulucene: Making Kin." *Environmental Humanities* 6: 159-165.

Hersch, J. and J. Bennett Shinall. 2015. "Fifty Years Later: The Legacy of the Civil Rights Act of 1964." *Journal of Policy Analysis and Management* 34 (2): 424-456.

Łaszkiewicz, W. 2017. "Religious Conflicts and Their Impact on King Arthur's Reign in Marion Zimmer Bradley's The Mists of Avalon." *Acta Neophilologica* 19 (2): 133-143.

Martins, A. R. 2016. "Rewriting the Holy Grail: The Grail-Hero (From Arthurian Romance to Pop Culture)." *International Journal of Social Sciences & Humanities* 1 (1): 15-28.

McCaffrey, A. 1968. *Dragonflight*. New York: Ballantine Books.

McCaffrey, A. 1971. *Ring of Fear*. New York: Borgo Press.

McCaffrey, A. 1988. *The Lady: A Novel*. New York: Ballantine.

McCaffrey, A. 1998. *Black Horses for the King*. London: Random House Children's Publishers UK.

McCaffrey, A. and E. A. Scarborough. 2010. *Catalyst: A Tale of the Barque Cats*. Random House Worlds.

Nikolajeva, M. 2015. "Memory of the Present: Empathy and Identity in Young Adult Fiction." *Narrative Works* 4 (2): 85-107.

Ortiz Robles, M. 2016. *Literature and Animal Studies*. London, New York: Routledge.

Pearsall, D. 2013. *Arthurian Romance: A Short Introduction*. London: Blackwell Publishing Ltd.

Plumwood, Val. 2002. *Environmental Culture: The Ecological Crisis of Reason*. London, New York: Routledge.

Pramaggiore, M. 2016. "Animal Afterlives: Equine Legacies in Irish Visual Culture." *Modernist Afterlives in Irish Literature and Culture*. Ed. P. Reynolds. London: Anthem Press. 141–152.

Röben, M. 2021. "The Horse Behind the Text: Animal Agency in Early Medieval Historiography." *Cheiron: The International Journal of Equine and Equestrian History* 1 (1): 68-85.

Roberts, R. 2007. *Anne McCaffrey: A Life with Dragons*. Jackson: University Press of Mississippi.

Roldán Romero, V. 2022. "'Irishness' and the Equine Animal in Anne McCaffrey's the Lady: A Novel." *Green Letters* 26 (4): 307-322.

Ropa, A. 2019. *Practical Horsemanship in Medieval Arthurian Romance*. Budapest: Trivent Publishing.

Ropa, A. 2022. "Conclusions: Gendering Horse Riders in Medieval Romance and Modern Racing Media." *Echoing Hooves: Studies on Horses and Their Effects on Medieval Societies*. Eds. A. Ropa and T. Dawson. Leiden, Boston: Brill. 323-348.

Salisbury, J. E. 1994. *The Beast Within: Animals in the Middle Ages*. New York, London: Routledge.

Sewell, A. 1877. *Black Beauty*. London: Jarold & Sons.

Sutcliff, R. 1963. *Sword at Sunset*. London: Hodder & Stoughton.

Ventura, A. 2011. "Predicting a Better Situation? Three Young Adult Speculative Fiction Texts and the Possibilities for Social Change." *Children's Literature Association Quarterly* 36 (1): 89-103.

Zamir, T. 2011. "Literary Works and Animal Ethics." *The Oxford Handbook of Animal Ethics*. Oxford: Oxford University Press. 1057-82.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 153-179 http://doi.org/10.18172/jes.5731

TEACHERS' AND STUDENTS' PERCEPTIONS ON THE ACQUISITION OF COMPETENCES THROUGH PROJECT-BASED LEARNING (PBL) IN BILINGUAL EDUCATION

ROSA SÁNCHEZ GARCÍA
Universidad Loyola
rsanchez@uloyola.es

ABSTRACT. Project Based Learning (PBL) has recently acquired a paramount role in education with a new respectability and a burgeoning number of proponents. Its envisaging as an instructional approach that embraces the basic concepts of research, reflection, production, complexity and rigor when dealing with relevant issues for students and society has led to PBL being heralded as a transformational educative strategy and a catalyst of competences. However, there is scanty research on students and teachers' perceptions of Project-Based instruction and Content and Language Integrated Learning (CLIL) run in parallel. This article aims to report the findings of a research study conducted in three primary and secondary schools in Seville (Spain) to investigate the level of competence development achieved by students when working through a project in a bilingual learning context. The study has been conducted in a hybrid way with quantitative and qualitative method following an exploratory survey-type methodology for which two ad hoc questionnaires have been designed, addressed and adapted to the two sample units selected for our study: teachers and students. The results of this study suggest that project work activates a range of skills that can be transferred to real-life situations, enabling students to become socially and academically competent, being likewise a promising activity to socialize and promote language learning.

Keywords: project-based learning, competences, 21st century skills, bilingual education, CLIL, communication.

PERCEPCIONES DE PROFESORES Y ALUMNOS SOBRE LA ADQUISICIÓN DE COMPETENCIAS MEDIANTE EL APRENDIZAJE BASADO EN PROYECTOS (ABP) EN LA ENSEÑANZA BILINGÜE

RESUMEN. El Aprendizaje Basado en Proyectos (ABP) ha adquirido recientemente un papel primordial en la educación con una nueva respetabilidad y un creciente número de defensores. Su concepción como un enfoque pedagógico que abarca los conceptos básicos de investigación, reflexión, producción, complejidad y rigor a la hora de abordar cuestiones relevantes para los estudiantes y la sociedad ha llevado a considerar al ABP como una estrategia educativa transformadora y un catalizador de competencias. Sin embargo, son escasas las investigaciones sobre las percepciones de estudiantes y profesores acerca del ABP y el Aprendizaje Integrado de Contenidos y Lenguas Extranjeras (AICLE) implementados en paralelo. Este artículo pretende dar a conocer los resultados de un estudio de investigación llevado a cabo en tres centros de primaria y secundaria de Sevilla (España) para investigar el nivel de desarrollo competencial alcanzado por los alumnos cuando trabajan por proyectos en un contexto de aprendizaje bilingüe. El estudio se ha realizado de forma híbrida con método cuantitativo y cualitativo siguiendo una metodología exploratoria tipo encuesta para la que se han diseñado dos cuestionarios ad hoc, dirigidos y adaptados a las dos unidades muestrales seleccionadas para nuestro estudio: profesores y alumnos. Los resultados de este estudio sugieren que el trabajo por proyectos activa una serie de habilidades que pueden transferirse a situaciones de la vida real, permitiendo a los estudiantes ser social y académicamente competentes, siendo asimismo una actividad prometedora para socializar y promover el aprendizaje de idiomas.

Palabras clave: Aprendizaje-basado en proyectos, competencias, habilidades del siglo XXI, educación bilingüe, AICLE, comunicación.

Received 26 April 2023

Revised version accepted 15 December 2023

1. INTRODUCTION

The competence-based approach to education stems from a worldwide trend of educational overhauls in favour of quality instruction. Groundbreaking as it may sound, this instructional approach is used to seek solutions to one of the oldest and most complex educational challenges: *educating for life*.

As recent as it may seem in the field of education, the term 'competence' meets the requirements of a sector of society that places the emphasis on encouraging formal education to offer tangible results, which conveys the development of certain skills to effectively join the world of work (Díaz-Barriga 2011), and to prepare students for a role as "agents of change" in order to transform our current society into a more sustainable one (UNESCO 2016). This new pedagogical current is aimed at changing the vision of traditional education to give a more active and social sense to learning, being the student the centre of the learning process and avoiding rote learning in favour of learners' autonomy and independence (Fried-Booth 2002),

while fostering collaboration, creativity, responsibility (Hedge 2000) or critical thinking (Labrador and Andreu 2008). In the development of life-long learning skills, essential part of competence-based learning (CBL), an active contextual construction of knowledge and understanding is stimulated. The learning environment resulting from CBL, which combines actual practice and explicit reflection on what and how to learn from that experience, triggers critical thinking and creativity, as the learners are constructing their knowledge while trying to solve a real-world problem (Larmer *et al.* 2015). Similarly, being the task to be performed open ended and the active integration of different parts a prerequisite for problem solving, collaboration and creativity become part and parcel in the whole process, which, in the meanwhile, will foster students' responsibility for the quality and timeliness of their own work (Berger 2003; Hallermann *et al.* 2011).

Accordingly, over the course of the past two decades, experts have been acclaiming the need to incorporate this progressive and innovative pedagogical strategy into educational centres based on active methodologies which adapt to the new profile of 21st century students (Hernández Gómez 2015; Pérez Gómez 2007). These pedagogies are based on cooperation, integrated knowledge and the development of student competences with the aim of linking learning with the real world.

Universal institutions are not strangers to this necessary educational transformation. In 1996, UNESCO heralded the principles for the application of teaching based on the development of competences when it identified the concepts of "learning to know", "learning to do", "learning to be" and "learning to live together" as the basic pillars of lifelong education. By the same token, the Organisation for Economic Co-operation and Development (OECD) launched the DeSeCo (Definition and Selection of Competences) project with the purpose of developing a conceptual framework that defines and selects the competences needed to lead a personally and socially valuable life in modern democratic states (OECD 2005).

Within this social and educational backdrop and taking into account the needs it generates, the European Union echoes the need for citizens to acquire key competences as an indispensable condition for individuals to achieve full personal, social and professional development that meets the demands of a globalised world and makes possible economic development linked to knowledge (BOE 2015). Accordingly, in Spain, the Organic Law for the Improvement of the Quality of Education (LOMCE 2013) includes the term "competence" in the regulations by emphasising a "competence-based curriculum" model characterised by transversality, dynamism and an integral nature, which has been lately endorsed by the LOMLOE (2020). It suggests therefore choosing active learning methodologies (task and project-based learning) either in the student's mother tongue, in an additional language or in a foreign language, as opposed to more traditional methodological options.

PBL or "learning through the process of producing and completing a Project" (Gras-Velázquez 2020: 1), meets these requirements, as it involves not only the acquisition of knowledge, but its application and transfer to other contexts while developing skills and competences which will later be used by students in their personal and professional lives.

Over and above the competences, the communicative skill has exceeded in a globalised society as a way to adapt to the new social and communication environments that affect all spheres of life. This backdrop justifies and greatly encourages our research in a bilingual context, as CLIL does not only include this new discourse on competences in its foundations, but also responds to the profile required to satisfy the current educational recommendations and the demands of a globalised, modernised and interconnected society that promotes the acquisition of skills for a sustainable lifestyle, global citizenship and appreciation to cultural diversity, as shown in the results outcoming from the projects carried out in this research.

Therefore, the main focus of the analytical aspect in our study is the process of developing a project in a bilingual teaching context under the methodological proposals of PBL and CLIL, thus allowing us to determine the value of their educational action in the acquisition of competences, to seek solutions to specific problems that may arise in the process and to enrich the action strategies for subsequent implementation.

Most of the existing studies on the acquisition of competences through project work have been conducted in the students' mother tongue (Fried-Booth 2002; Hallerman *et al.* 2011) or in EFL contexts (Beckett 2005; Gras-Velázquez 2020). However, Project Based Learning literature shows a gap in its goal for a content learning and the development of competences in bilingual settings under CLIL approach. This study tries to bridge this gap by presenting the findings of an investigation conducted in three primary and secondary bilingual schools in Seville (Spain), since not only does meaning construction depend on the language use when acquiring content matter, as stated by Dalton-Puffer (2011), but also the acquisition of competences rests, to a considerable degree, on the students being able to handle a foreign language (Sánchez-García 2022).

Once acknowledged the need for competence-based learning, there is a twofold objective ahead: to identify the key competences required for 21st century society and their level of development in students when working through a project, on the one hand; and to analyse their conceptual content and the learning and assessment strategies most in line with this perspective, which may stand for new educational interests, on the other.

2. THEORETICAL FRAMEWORK

2.1. COMPETENCE-BASED APPROACH

Competence-Based Learning (CBL) consists of developing the generic or transversal competences (instrumental, interpersonal and systemic) and the specific professional competences in order to train people in both, scientific and technical knowledge, and in their ability to apply it in diverse and complex contexts, so as to integrate them with their own attitudes and values in a personal and professional way of acting (Villa and Villa 2007).

In addition to the work-related and pedagogical-didactic approaches, it is based on a solid socio-constructivist approach of learning by doing (Dewey, 1938), insofar as the importance of school work is to bring about learning contexts that allow students to build their own knowledge based on their approach to cognitive objects (Díaz Barriga 2011). The concept of "meaningful learning" is thus established by linking new learning to a previously established cognitive structure, hinged on the assumption that people bring forth information from what they already know (Jonnaert 2001). This approach also underlines the need to acknowledge the importance of the learning context, as it is through the involvement of students in discursive and disciplinary tasks when meaningful learning experiences happen (Almulla 2020). However, the reality that is presented as authentic learning contexts arises from specific and unpredictable events, so we would be faced with the dilemma between two different logics: (i) on the one hand the school, where the situation is familiar to the student; and (ii) on the other, the real world, which demands thinking in authentic situations of everyday life and from which the concepts are articulated (Díaz-Barriga 2011).

PBL goes beyond solving this quandary when it presents learners with authentic learning situations so that they can conceptually process them (Boss and Larmer 2013; Gras-Velázquez 2020). In the process of solving the challenge stated in the project, students, like in real life, need to analyse issues, evaluate sources of information, share the information with their peers and teachers, make decisions and take action, to finally present their results in public. It also implies a radical change in the learning process by restoring the natural order of learning, "challenges tend to come first; then we learn how to meet them" (Lenz *et al.* 2015: 91). Essentially, PBL starts by dishing out the challenge before the instructions are given by the teacher, so that the learning that follows has a purpose (Lenz *et al.* 2015).

But what are the competences demanded by 21st century society? After the DeSeCo definition of competence as complex sets of knowledge, skills, attitudes, values, emotions and motivations that each individual or group puts into action in a particular context to deal with the particular demands of each situation, the "key competences" would point to the fundamental expertise that every human being would need to cope with the demands of the different contexts of his or her life (Pérez Gómez 2007).

Over the past two decades, numerous public and private institutions have developed their own framework of skills and competences for 21st century citizens (Salas-Piko 2013). Communication, collaboration, digital literacies, creativity, critical thinking, sociocultural awareness or leadership are the most frequently mentioned competences in these frameworks. All of them are aligned with the characteristics that competence-based learning must have in order to achieve what is known as "21st century skills, cross-curricular skills, soft skills, interdisciplinary skills, habits of mind and work, deeper learning, and college- and career- readiness skills… success skills" (Larmer *et al.* 2015: 6).

In a nutshell, students need much more than knowledge of atomized disciplinary content to be socially and personally competent. The development of competences must involve complex mental procedures, supported by thinking schemes, which make it possible to determine and effectively carry out an action that is relatively adapted to a given situation (Perrenoud 2004). In this sense, as many experts state, PBL is a desirable approach for the development of competences as it provides appropriate situations, similar to those they may encounter in real life, that favour the continuous growth of the characteristics underlying their competences, thus fostering the psycho-affective development of the student and, consequently, an integral learning (Álvarez *et al.* 2010; Lenz *et al.* 2015; Wurdinger 2016). Another characteristic of competence-based learning met by PBL is its organisational flexibility for generating creative learning contexts, characterised by the exchange of information and experiences through peer cooperation and collaboration (Pérez Gómez 2007). These contexts should provide a safe environment for students by accepting error as part of the process (Berger 2003) and providing spaces for critique and reflection through formative assessment that includes self- and peer-evaluation (Larmer *et al.* 2015).

2.2. PBL AND THE DEVELOPMENT OF COMPETENCES

The discourse of 21st century competences entails a series of pedagogical implications that require the use of active methodologies, cross-cutting contents and competencies and the creation of real learning situations (Esteve *et al.* 2013). Project-Based Learning meets this profile, being an approach that teaches a multitude of strategies critical for success in the twenty-first century: "from gleaning new, viable technology skills, to becoming proficient communicators and advanced problem solver, students benefit from this approach to instruction" (Bell 2010: 39).

The project authenticity, resulting from its connection to the real world, gives rise to learning contexts for students to develop their competences, ending up in more meaningful learning (Bell 2010). The need to respond to a highly significant question, challenge or problem forces students to design their own research, to organise the resulting data, observations and conclusions, and to implement a range of learning strategies that foster critical and lateral thinking and creativity (Bell 2010; Hallermann *et al.* 2011). In addition, solution-finding promotes collaboration among peers and with the teacher and/or experts (Warren 2016), which enables students

to approach their tasks with responsibility due to the expectation that each student contributes equally to the project and eventually fostering positive interdependence (Johnson, Johnson and Holubec 1999).

PBL also promotes social learning. Collaboration forces students to develop communication skills. Active listening, respect for the opinions of others, teamwork and the production of individual and group ideas that lead to the collective solution of the problem or challenge are all skills that spring up when negotiating for decision-making (Du Toit *et al.* 2016). Collaborative work thus promotes the development of students' inter and intrapersonal competences. That is, focusing on students' attitudes towards what and how they learn (Hernández-Ramos and De La Paz 2009) on the one hand, and towards their peers, on the other (Cheng *et al.* 2008).

Students' voice and choice in the project leads to intrinsic motivation that is crucial for their academic and professional success. It also favours the development of their own interests in the process of acquiring content and allows students to progress and learn at their own pace (Bell 2010). According to Doppelt, "motivation to learn their discipline and their willingness to work on their projects for longer hours indicate that they behave... like high achievers" (2003: 264), developing self-directed learning and achieving better results in general assessment tests than students taught with traditional methodologies (Doppelt 2003). This is also true for students with learning difficulties or at risk of social exclusion (Halvorsen *et al.* 2014), which ultimately leads to a reduction in truancy and dropout rates (Larmer *et al.* 2015).

Digital competence is another demand of 21st century society. Technology as a means and not as an end in itself allows learners to conduct deeper research on the topic they are working on in the project (Chu *et al.* 2011). Information literacy is essential for students to browse the net critically, discriminating the unreliable information that may not be useful for their study (Bell 2010). This technology literacy promotes creativity and out-of-the-box thinking, skills that are in high demand in professional sectors, according to the research carried out by Hart Research Associates in 2013.

However, the development of this range of competences will only be possible when teachers are able to negotiate and collaboratively develop a common educational project that challenges students, while putting forward situations that allow them to design and carry out actions that serve for more than just interpreting the environment. The aim, therefore, is for the student to be able to take action in the environment, transforming and improving it.

2.3. MEASURING COMPETENCES IN PBL

Many of the competences mentioned above are not measurable from traditional assessment tools based mainly on tests completion, so a change is needed not only in the assessment instruments but also in the agents involved in the process (Bell 2010).

In teaching models focused on the development of competences such as PBL, which seeks to give value to both content and competences (Vergara 2015), we must consider what De Miguel (2005: 20) calls "constructive alignment" of content and competences. In other words, teaching methods and assessment systems must be outlined in a parallel and integrated way as regards the competences to be achieved, providing it with practical and concrete applicability. More specifically, the approach given should be achievement-levelled and defined *a priori* rather than selective and measured *a posteriori* as traditional assessment does (Vergara 2015).

Assessment in PBL is not a casual, minor or partial action, but a planned and comprehensive process aligned with the competences to be achieved in order to respond to the needs demanded by 21st century society. This movement known as "authentic assessment" (De Miguel 2005: 44) considers that genuine assessment should propose real-life tasks or challenges to students, so that, in order to solve them, they must deploy an integrated set of knowledge, skills and attitudes. This means fleeing from analytical assessment that requires the performance of a single skill or knowledge, towards a more holistic assessment.

Under this new perspective, the teacher does not have a sole and privileged assessment function, but gives the student an active and responsible role, blurring thus the boundaries between the learning and the assessment activity. Self-assessment, peer assessment and even co-assessment become essential as long as students take responsibility for their achievements, become self-motivated and autonomous (De Miguel 2005).

In this sense, both rubrics and portfolios have been proved to be appropriate assessment tools for competence-based learning. These twofold-aimed documents demonstrate the level of achievement attained, on the one hand, and promote reflection on the learning process, on the other (Rué 2008).

A review of recent literature bespeaks that evaluation should be understood as a collective process through which students are provided with criteria and instruments that allow them to understand their mistakes, overcome them, and finally acknowledge their success (Berger 2003; Sanmartí 2007).

2.4. CLIL AND PBL LINK-UP

The ample literature that has emerged in the last two decades on CLIL, its characteristics, its potential and the possible difficulties of implementation and development, have raised interest in establishing other methodological lines that maximize the use of the language within the classroom and, if possible, also outside it, while promoting the acquisition of content, skills and competencies (Sánchez-García 2022). Specifically, PBL has not only been advocated as the main framework through which collaboration, communication, creativity, critical thinking, problem solving, time management or digital competences are acquired (Berger 2003; Boss and Larmer 2013; Salas-Pilko 2013), but also as "an effective means for promoting

purposeful language learning" (Stoller and Myers 2020: 6), which makes it a potentially applicable proposal in bilingual contexts with CLIL implementation.

Being socio-constructivism the source of both proposals, the students acquire an active role providing them with learning environments rich in educational resources in which they can develop projects and tasks while discovering, acquiring, and applying knowledge to real situations in a foreign language, thus favouring communication, collaboration and cooperation (Pavón and Ellison 2013).

Recent neuroscience studies show that the quality of the actions involved in our personal and academic experiences will determine the type of neural relationships that generate the quality of mental representations and the activity of each person (Davidson 2011). In this sense, CLIL and PBL are presented as powerful proposals that promote critical thinking, as projects and tasks are generated from authentic topics that lead to deep reflection, through a selection of tasks carefully scaffolded by the teacher and aimed at promoting the development of tools and strategies for reflective thinking. A direct consequence of the need to make decisions when carrying out tasks or projects is the development of critical thinking, problem solving, and a creative attitude (Vergara 2015). Consequently, it seems to be pointed out that when a project is implemented in a bilingual teaching environment with CLIL methodology, both approaches merge in a synergy that contributes to the strengthening of the teaching and learning process through the development of competences.

3. RESEARCH METHOD

3.1. OBJECTIVES

The main objective of this study is to analyse the perceptions of teachers and students on the students' acquisition of competences when using Project-Based Learning (PBL) in a Content and Language Integrated Learning (CLIL) context. More precisely, the following specific objectives have been set:

1. To identify the type of competences acquired by students when learning through a project in a bilingual learning context.
2. To analyse students' and teachers' perceptions on the level of competence development achieved by students when working through a project.
3. To analyse to what extent the use of L2 affects the development of competences when working in a project.
4. To analyse the effectiveness of the evaluation criteria and instruments used to measure the acquisition of competences in PBL.

3.2. CONTEXT AND PARTICIPANTS

The study was conducted in a private and two state-funded schools in Seville (Spain). The selection of the participating samples was carried out following a purposive sampling, in which the researcher identified and selected information-rich samples related to the phenomenon of interest (Bustamante 2011) in accordance with four fundamental selection criteria which resulted in the choice of three primary and secondary bilingual schools familiar with CLIL and PBL approaches. A total of 157 students and 50 teachers participated in the study. These agents have been active recipients of bilingual education policies and are characterised by their receptiveness to endeavours aimed at implementing project-based learning in their classrooms. For the sake of an ethical study, full consent was obtained from all subjects involved in the study, who were previously informed of the anonymity of data processing.

The students participating in our study are aged between 10 and 17 years with a fairly even gender distribution, 43.3% male and 56.7% female. This same equal proportion shows up with respect to the educational level of the students, 43% enrolled in primary education (5th year) and 57% in compulsory secondary education (4th year). Their nationality is mainly Spanish (94%) with ethnic minorities from other countries (6%). As for their knowledge of English, according to the CEFRL, only 39% have certified their level, with A1 being the most frequent level (46.5%), followed by B2 (20.4%), A2 (19.7%), B1 (10,2%), C1 (1.9%) and C2 (1.3%). The remaining 61% showed an average level of A1 in Primary Education and B1 in Secondary Education according to the diagnostic tests carried out by the teachers at the beginning of the academic year. Tests that were revised by the researcher for the sake of greater reliability. Regarding their experience in bilingual teaching programmes, 20% have more than 10 years of experience, 36% between 6 and 10 years, 31% between 1 and 5 years, and 13% less than 1 year.

As for the teachers, the gender distribution is less equal than that of the students' body, being 62.5% female and 37.5% male. However, parity does exist in the educational stages in which they teach, 50% in both primary and secondary education, being the majority of Spanish nationality (87.5%) and only 12,5% British. In terms of knowledge of English, according to the levels established by the CEFRL, 75% of the teachers have certified English level of B2 or higher (B2 25%, C1 12,5%, and C2, 37,5%). The remaining 25% are distributed between B1 and A2 (12,5% each). Though not belonging to the bilingual program, these teachers have been interdisciplinarily involved in the projects.

3.3. INSTRUMENTS

The study has been conducted in a hybrid way with quantitative and qualitative method (Creswell and Plano Clark 2007), following an exploratory survey-type methodology. Two *ad hoc* questionnaires have been designed, applied and validated, based on the dimensions proposed by Pérez-Cañado (2016) and the

theoretical framework mentioned above. The questionnaires were addressed to and adapted for the two sample units selected for our study (teachers and students) and belong to a broader scope study on PBL and CLIL. In terms of structure, they consist of a first part designed to gather information on sociological data, and a second part divided into 8 scales (7 Likert-type scales with answers ranging from 1 to 4, and a final scale of open questions on general perceptions of project work).

Specifically, in order to get data for our study, we have taken into account 5 of the 8 scales that make reference to the development of competences in the students' questionnaire, and 4 in the teachers' one (See Appendix 1). On the one hand, a quantitative approach is used, with a descriptive comparative survey-type design on a selection of items form scale 1, 2 and 4. For the statistical treatment of the data collected by this study, the quantitative analysis software IBM SPSS Statistics (v. 24) has been used. On the other hand, some of the open questions in scale 8, have allowed us to carry out a qualitative analysis of the perceptions of the two sample units from a more reflective point of view, from which the most repeated quotations were selected in order to prioritize brevity and precision in the presentation of the insights.

3.4. PROCEDURE

A total number of six projects were developed in 2019-2020 and 2020-2021 academic years, having all of them a social dimension and a commitment to the environment, so that students understand reality, what they are learning, and how they can act on the environment to change and improve it. In one of the projects, for instance, students had to investigate the concepts and interrelation between speed, displacement and time to subsequently apply them to a well-known real-life situation such as the impact of distractions caused by the use of mobile phones while driving. In order to raise awareness about how to drive judiciously and act accordingly, the student shot a video showing the results and conclusions and sent it to the police authorities in charge of traffic control (DGT).

Prior to the project implementation, two semi-structured meetings were scheduled with teachers who were provided with a project model (blueprint) and three types of rubrics to assess the project, the competences and teamwork. In a second phase of implementation and presentation of projects, two on-site visits were also scheduled to monitor the project development and create a more relaxed and trustful atmosphere for both, teachers and students. These visits were aimed at giving effective feedback to both teachers and students so that the projects did not lead to undesirable results. Finally, online questionnaires were given to teachers and students and, after data gathering, the researcher held an interview with the teachers to socialize and analyse the experience, so that approaches could be strengthened and new ones welcomed in order to upgrade future project experiences.

3.5. RESULTS AND DISCUSSION

Based on the method described in the previous section, the results are presented below. They have been categorised according to the type of research conducted (quantitative and qualitative) and then analysed individually. For the qualitative sections, quotes from learners and teachers have been used to demonstrate how the findings and interpretations have emerged from the data. The quotations have been selected and labelled according to this categorisation of codes (table *x*, quotation *y*), where *x* and *y* are the number corresponding to the order of table and quotation within the document respectively.

3.5.1. Types of competences and level of competence development

Tables 1 and 2 feature the results from the students' questionnaire on a selection of items regarding the competences developed by students when using PBL in a bilingual context. Likewise, Figure 1 and Table 3 show the results from the teachers' questionnaire on the same issue. Finally, Figure 2 presents teachers' and students' perceptions on the level of competence development students acquire when working through projects in a bilingual context with CLIL implementation.

Table 1. Average values and statistics dispersion of the results of the items on the level of competence achieved by the pupils (students' body)

	Mín.	Máx.		Σ	S^2
1. My knowledge of the contents of the subjects taught in English has improved due to my participation in the project	1	4	3,11	,859	,738
2. My English level has improved due to my participation in a project	1	4	3,09	,809	,671
3. My Spanish has improved due to my participation in a project	1	4	2,73	1,00	1,00
4. I have been able to understand, analyse and evaluate the contents in my project	1	4	3,28	,706	,498
5. I have been able to develop my creativity in a project	1	4	3,3	,720	000
6. The knowledge gained in the project is the result of my research	1	4	3,23	,859	,738
7. The project has allowed me to interact more with my classmates and teachers	1	4	3,30	,695	,483

8. The project has enabled me to acquire emotional and social skills	1	4	3,21	,706	,498
9. I have more self-confidence when I work in a group	1	4	3,07	,812	,666
10. I have actively collaborated in the project	1	4	3,40	,608	,333
12. I have learned to be more autonomous in the project	1	4	3,16	,778	,605
14. I have appropriate listening and speaking skills in English to carry out the project	1	4	3,17	,933	,870
15. I have appropriate writing and reading skills in English to carry out the project	1	4	3,08	,891	,794
16. I have appropriate knowledge of the digital tools to carry out the project	1	4	3,46	,625	,333
23. I have developed decision-making skills in the project	1	4	3,17	,700	000
24. I reflect on the project on a regular basis	1	4	2,88	,787	1,00
63. I have acquired skills and competences due to my participation in a project	1	4	3,16	,730	,333

Table 2. Perceptions of the type of competences acquired by students (students' body)

Quote 42: "Digital competence, autonomy in study, social competence, communication and cooperation, critical thinking"
Quote 43: "Social competence, learning to listen, critical thinking, group leadership, respecting the opinions of others"
Quote 45: "Working in groups, organising, long term planning"
Quote 46: "Editing and creating videos and audio-visual communication skills"
Quote 47: "You need to research and help the group, so you develop new skills like research"
Quote 48: "It helps you to research, to be creative, more independent, to work with more people, to identify reliable information etc..."
Quote 49: "Teamwork, reflection on information and research"

Data obtained in table 1 reveal students' firm belief that learning through a project enables them to develop a range of skills and competences, as shown in item 63 (3,16). Collaboration (item 10) and digital literacies (item 6) stand out among the competences that the project allows students to develop more readily, having obtained medium-high average results (3,40 and 3,46 respectively). More specifically, as observed in table 2, when asked about the type of competences they consider to have acquired in the project, they bring up those related to collaboration and social and communicative nature together with skills related to critical thinking, respect for others and digital literacy (quotes 42 and 43). It seems that the interaction resulting from collaboration promotes social learning and citizenship since they become more proficient with negotiation, communication and collaboration, as seen in the results in item 7 (3,30). Additionally, the use of active listening skills and productive communication when negotiating and generating ideas together enhances the collaborative ability, item 14 (3,17). Apart from the exchange of ideas, collaborative work also nourishes time and resources management and helps students to organise, analyse and present the information acquired, thus fostering critical and reflective thinking, which will eventually make them become better researchers, problem solvers and higher order thinkers, as also pointed out by Gultekin (2005). Students frequently emphasize the practical aspect of the instruction received by their teachers, valuing its usefulness and productivity, as well as the benefits this type of work has had on their work planning process (quote 45).

Also, when asked directly about the skills they think they benefit most from project work, the responses are unanimous in stating that the most developed skills are those related to research and information seeking, reflection and teamwork (quote 49), all three archetypical elements of PBL that will hone the essential competences necessary for the 21st century. In line with Edelson *et al.* (1999), results attest that involving students in the use of inquiry and research to solve a real problem or challenge provides them with opportunities to develop reasoning skills and thus enhance meaningful learning, mainly due to the possibility offered by the project to build on the knowledge they already possessed and to fill in their knowledge gaps as the project unfolds.

Likewise, reflection (item 24) and students' voice and choice within the project (item 23), with medium to medium-high results on average (3,17 and 2,88), encourage critical thinking, problem-solving and decision-making skills, as well as a greater possibility for the development of creativity, innovation and leadership in the students. Considering alternatives, recognising and even evaluating the quality of the information acquired for the resolution of the challenge or question within the project has favoured the development of their creativity and problem-solving competences, thus developing what cognitive scientists call "usable knowledge" (Bransford *et al.* 2000), a must-have in 21st century society (Larmer *et al.* 2015). Although reflection on the project has displayed less favourable results (2,88), it still provides the learner with the possibility of making stops in the process to assess their development, while fostering the students' metacognition, as also shown in quote 49.

Regarding the use of ICTs (item 16), the systematic use of digital resources generates a perception in the students of an increase in their digital competence. The authentic use of technology taps into their fluency with computers (3,46). Beyond the fun dimension and socializing aspect that the use of digital tools may imply, the judicious use of the internet when searching for information does not only cater for instruction to the student by evidencing new and innovative usage of a wide array of applications, but it also helps them identify the trustworthy sources of information provided by the web, as shown in quotes 47 and 48. We can therefore state that PBL is an instructional proposal that contributes to the development of the digital competence, insofar as it allows students to develop a didactic project that favours more meaningful learning, easily transferable to authentic situations.

As for the impact of the use of L2 on the acquisition of competences by students, data show that most students consider the project has given them the opportunity to improve their communicative competence in L2 and L1, items 2 and 3 (3,09 and 2,73 respectively), due to the interaction bred by cooperative work, as shown in item 7 (3,30). This difference in results between L1 and L2 stands for a greater use of English in the projects. Likewise, the majority of the students responded positively when asked about their listening and speaking skills in English to carry out the project (3,17). A result that, though not being negative, slightly declines when touching upon their reading and writing skills in L2 (3,08). This evinces again the spontaneous oral and reading/written interaction that the project fosters, being the former a little bit more straightforward approach than the later. These outputs are also consistent with the fact that PBL goes along with the opportunities to focus explicitly on form and other aspects of language that are more easily distinguished at three stages as the project unfolds: information gathering, information processing, and presentation of results, as also reported by Alan and Stoller (2005). In these phases the teacher is responsible for providing strategies and methodological resources through appropriate scaffolding to overcome students' possible struggles for expressing ideas and concepts arising from impaired competence in the L2, which may hinder learning and the achievement of the academic objectives (Pavón 2014).

In other words, the better the ability to understand and express themselves orally and in writing in L1 and L2, the greater the possibility of acquiring content knowledge and competences when searching for information, delving into it, analysing, evaluating, applying and reflecting on it within the project.

Given the projects social dimension and commitment to the environment, students were able to develop sociocultural sensitivity. For instance, in one of the projects, students had to create an infographic that could be easily transmitted via WhatsApp or social networks, clearly explaining the ways of preventing the spread of the COVID-19 disease. To our minds, it is also a competence related to social variability and awareness, and personal growth that emerge as a result of the possibility to find out different solutions to social or environmental issues.

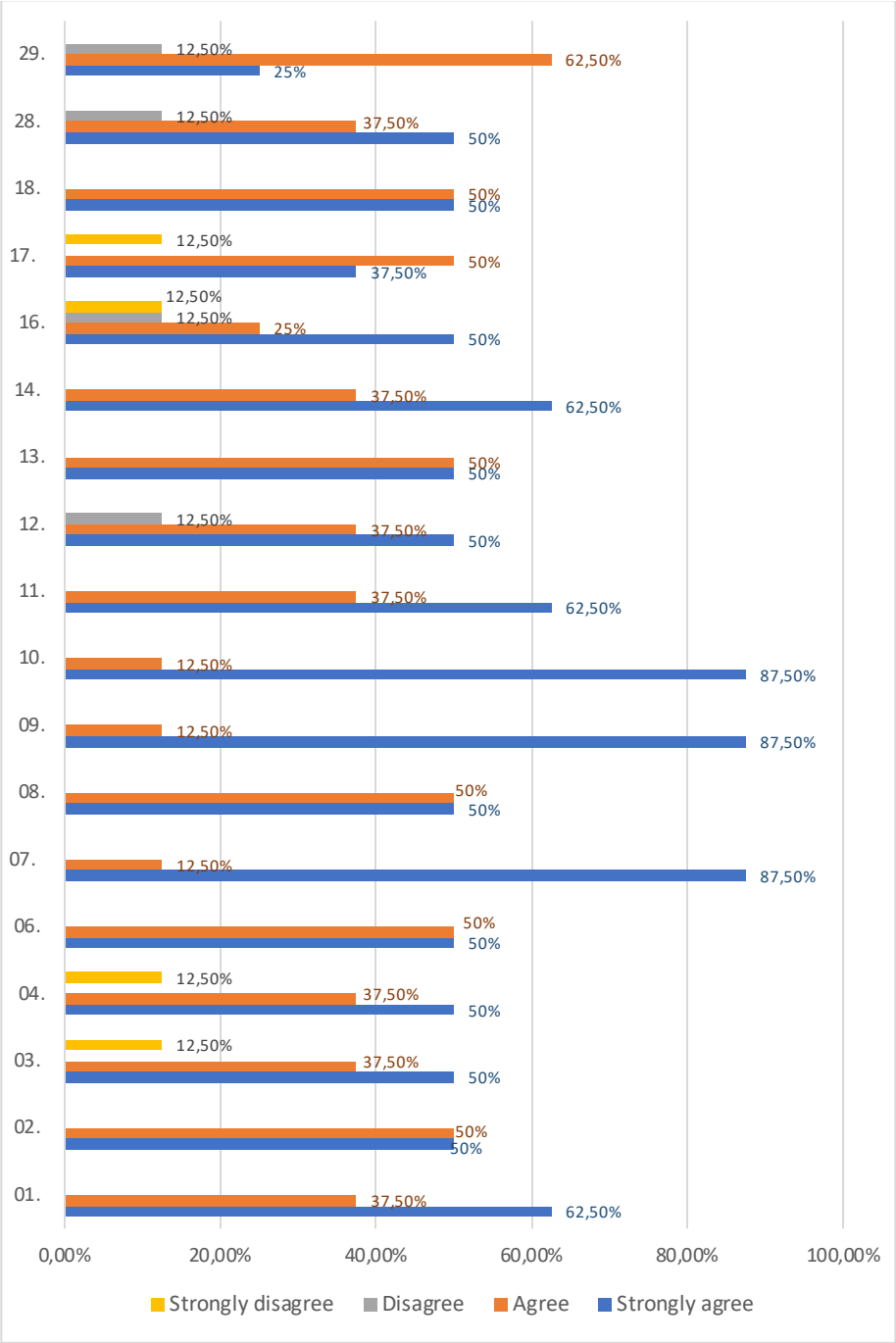


Figure 1. Results of teachers' responses to the items on the competences achieved by students in project work.

Table 3. Teachers' perception of the type of competences acquired by students in PBL

Quote 1: "We have worked with an active methodology in which students have faced a real-life situation posed as a challenge. The aim has been to guarantee theoretical and competence learning ending up with the design and presentation of a product with social validity"
Quote 2: "During the project, students researched the topic using online materials and resources. The oral presentations of their final product have been based on multimedia resources and the portfolios have been collected through digital platforms"
Quote 3: "They have used critical, analytical and creative thinking while working collaboratively and cooperatively to improve the teaching-learning process"
Quote 4: "As it is an active methodology for students, they become more involved in the project, it increases their level of reflection and decision making and allows them to further develop their creativity"
Quote 5: "PBL improves my students' communicative competence in L1 and L2"
Quote 6: "In PBL students investigate, share, interact, plan, make decisions and evaluate"
Quote 7: "The students work better when research and practice are merged in the same activities"
Quote 8: "The level of competence acquisition in project work is very high. The path students have to follow is so marked that you can steadily check what they are acquiring. You do not just focus on the result but you assess a process continuously evolving"
Quote 10: "PBL is as good as the traditional method in terms of content acquisition although it is more fixed in time and the development of competences is immensely greater with PBL than with the traditional one"
Quote 11: "It is a methodology based on students' own enquiry thus encouraging independence, autonomy and self-management. It has been shown that they develop skills that can only be developed in this way and learning is totally meaningful"
Quote 12: "Project work facilitates students' work development"
Quote 13: "It can be adapted to students' interests, needs and abilities"
Quote 14: "Greater students' involvement. It embeds critical reflection. Greater possibility for the development of students' organizational and decision-making skills. Development of creativity. It allows peer evaluation"
Quote 50: "It gives them a lot of opportunities to reflect on their own learning"
Quote 51: "It is a method that helps you to cover not only the content that learners need to acquire. Skills and decision making are also developed from the beginning, without leaving aside personal and individual development"
Quote 52: "We encourage the acquisition of competences and skills, connecting the content with authentic experiences"

As seen in figure 1, teachers take a more positive stand than students when it comes to their view on the acquisition of competences in project-based learning. More specifically, when asked about the development of creativity in the project (item 7), active collaboration (item 13) or appropriate knowledge of the use of digital tools (item 18), teachers unanimously show their strong agreement with the possibility the project gives to students to acquire these competences.

According to the teachers' perception, the development of critical thinking and decision-making is determined by the students' ability to reflect and make decisions in order to undertake the project (items 28 and 29), given the high percentage of favourable responses in this respect, 87.5% in both cases.

The increased involvement of students in the learning process is largely due to the possibility the project gives them to collaborate, investigate and reflect on it (table 3, quotes 4, 14). When students are confronted with a research process, they must process the information from an active and critical stance, for which they need to understand the message, its intention and what is implicit in it. These learning experiences demonstrate PBL inherent qualities of authenticity, applicability and versatility, being able to meet the students' demands in terms of interest and abilities, without leaving those with special needs unattended (table 3, quote 13).

Concerning the effect of the use of L2 on the acquisition of competences by students, data show again more positive results than the students' on all items related to the linguistic performance of project work (item 2), where 100% of teachers agree or strongly agree on the improvement of their students' English level due to their taking part in the project. It is clear that the possibility of adding language objectives to the content objectives in the project, with due balance between attention to form and content in an attempt to link cognition and language (Dalton-Puffer 2007), makes PBL and CLIL highly adaptable when implemented together. As a result, this greater capacity in oral and written comprehension and expression in English has enabled them to better understand and deepen their content knowledge, which makes project work being considered "the quintessential experiential language learning approach" (Eyring 2001: 336).

However, along the process, and bearing in mind the bilingual setting, language mixtures like code-switching and translanguaging can be considered a legitimate linguistic possibility to make communication as effective as possible, which, far from being considered a deficiency, is an expression of bilingual competence, in line with Coperías-Aguilar (2020). In this vein, they are becoming more competent in both L1 and L2 (table 3, quote 5) not only in the linguistic side of communicative competence, but also in its sociocultural and pragmatic prospects. The interaction resulting from collaborating in a bilingual context (item 9) stands out as a standardized procedure in project work with 87,5% of strong agreement among teachers. This seems to accomplish a double purpose: an improvement in classroom relationships due to working closely with students, on the one hand, and the development of students' linguistic competence, on the other.

Regarding digital literacy, though being aware of its convenience (quote 2), teachers give less prominence to the use of digital media than students, as they focus more on the bounteous possibilities for research and reflection that these media provide than on the mere use of them (quotes 1, 4 and 50).

In a nutshell, they show their strong believe that students work better when research and practice are merged in the same activities (quote 7), and take a stand for active approaches such as PBL and CLIL in terms of content learning, its long-term fixation and the development of competences (quotes 8 and 10), while undermining the plausibility of traditional methods of achieving these outcomes (quote 10).

As illustrated in Figure 2, regarding the level of competence acquisition, teachers have a more positive view than students in almost all the competences, except for critical thinking and linguistic competence where students show slightly better results. Though being all of them between medium and medium-high level, in teachers' view, communication, creativity and autonomy stand out as the competences that PBL makes students nurture academic, social and personal competences. While in the students' view, collaboration and digital literacies are the ones that emerge easily on a high level. It seems that, when well-designed, project ability to foster the acquisition of competences is organic and not forced.

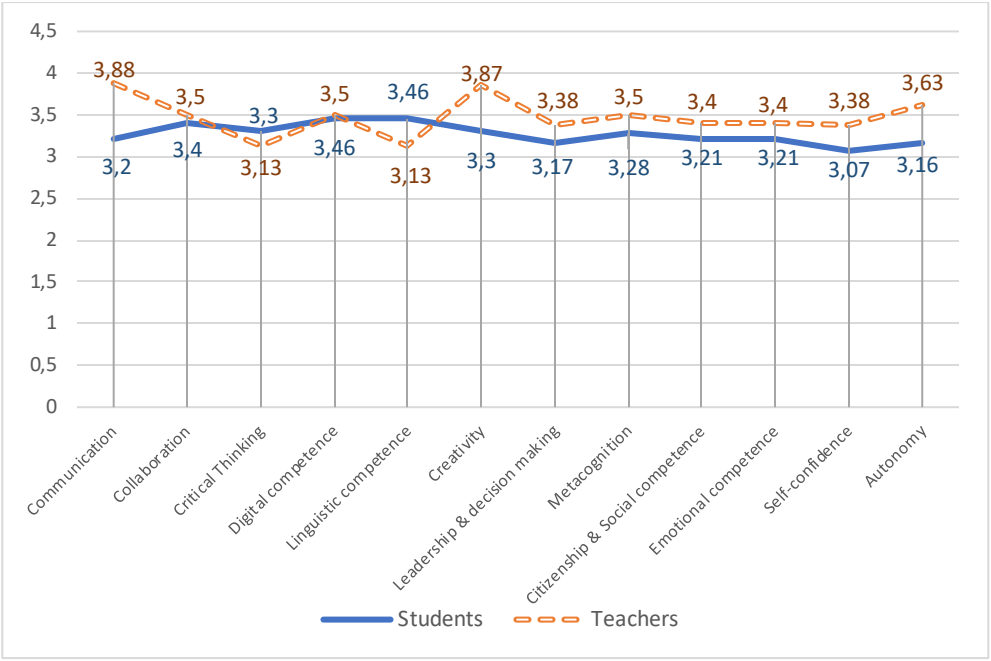


Figure 2. Teachers' and students' perception on the level of competences attained by students.

3.5.2. Measuring Effectiveness of Competence Acquisition in PBL

Table 4 and figure 3 feature the results from the students and teachers' questionnaires on assessment.

Table 4. Average values and statistics dispersion of the results of assessment scale (students' instrument).

	Mín.	Máx.		Σ	S^2
40. All contents taught in the bilingual programme are assessed	1	4	3,29	,743	,552
41. I use rubrics to assess my own work and my classmates'	1	4	3,02	,957	,916
42. Teachers use rubrics to assess my work and the work of my classmates	1	4	3,45	,720	,518
43. Formative and summative assessment is practised	1	4	3,46	,635	,404
44. The portfolio is used as an assessment tool	1	4	2,51	1,096	,1200

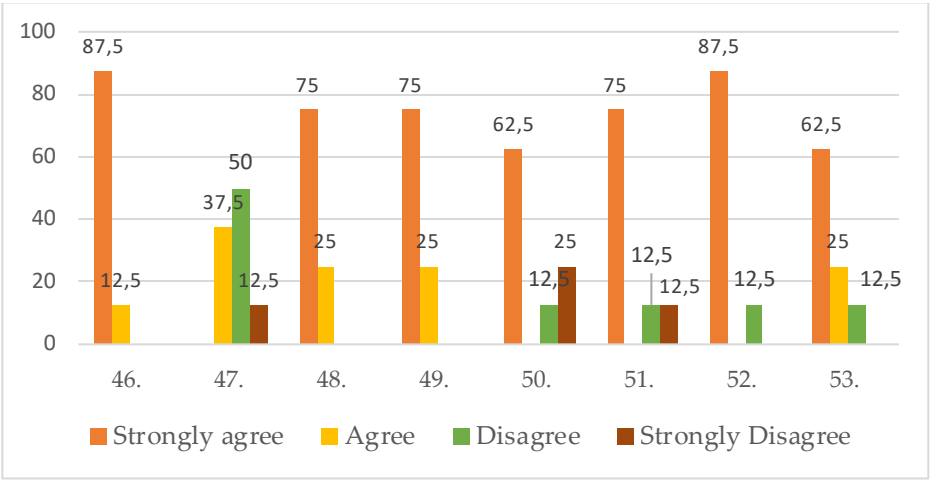


Figure 3. Teachers' response on the 'Assessment' scale in percentages.

As shown in table 4, the average scores are all in the upper and upper-middle range of the scale. These positive results show that students have a hand in the assessment process and place major value on it. Thus, data obtained in item 43 (3,46) unveil the students' awareness and contentment with the type of assessment being carried out. In this respect, the students perceive how the project allows teachers' monitoring and recording of their performance, which provides them with authentic feedback on the quality of their work at different points in the project.

The possibility of reviewing and improving their project leads to greater autonomy, self-confidence and motivation of the learner, ultimately favouring metacognition and confirming the mainstream conviction of formative assessment as one of the most powerful influences on learning (Hattie 2012).

Similarly, in table 4, items 41 and 42, referred to the use of rubrics, show the wider presence of this tool when assessing a project. Although the use of rubrics by teachers (3,45) outweighs the students' (3,02), they still prove a more active role for learners in the assessment process within the project than in traditional assessment. However, given the less positive data on item 44 related to the use of portfolios (2,51), we are invited to question the appropriate current use of this tool for formative assessment, and led to suggest a greater level of depth in the use of more reflection devices during and after the project, so that students can get authentic feedback on the project implementation on a regular basis.

Data obtained in figure 3 show teachers' contentment with the type of evaluation brought off and the variety of tools used for this purpose since all items have been highly rated.

Significantly, around 87% of teachers strongly agree that all the contents of the bilingual programme are assessed in the project (item 46), as well as competences and skills (100% between agree and strongly agree). This standards-aligned performance assessment system has allowed teachers to evaluate what their students were doing by observing them doing it, getting proven outcomes of their students' competences development. Teachers' being able to monitor and record the work done by the student during the project (item 49) makes possible to bolster the success and withdraw the downsides while equally providing the opportunity to meet the students' special needs.

Data are also consistent with the type of assessment carried out (item 52), where 87% of teachers state that the assessment has been diversified, formative and summative (item 52). A reported benefit of focusing on the process, the effort and the strategies used is increasing students' motivation and accomplishment and the improvement of their academic results (Sukandari 2013).

Regarding the assessment tools, around 87% of teachers acknowledge the systematic use of rubrics to assess their students' work (item 51). However, though being positive, only 62.5% of teachers admit to the use of rubrics by students to assess their own work and that of their peers (item 50). These data will allow us to reconsider teachers' awareness of the full active students' role in the assessment process or whether, on the contrary, they assume the responsibility is still in their hands. Concerning the use of the portfolio, they have shown more favourable results than students in this respect since around 87% of teachers state the use of this tool for both, reflection and assessment. The different results in both questionnaires may be on account of the students' perception of a lack of feedback and assessment guidelines by their teachers which, otherwise, could have affected more positively in their self-regulation of learning, self-efficacy and emotional excitement and motivation.

4. CONCLUSION

The present study drilled down into and yielded important information on one of the essential conditions for individuals to be able to achieve full personal, social and professional development: *the acquisition of competences*.

Therefore, taken jointly and in alignment with other studies (Sánchez-García and Pavón 2021), the results presented herein, and according to teachers' and students' perceptions, allow us to affirm that project-based learning is a catalyst of competences. Concerning the first objective, together with the awareness of a direct relationship between the use of PBL and the acquisition of surface competences such as communicative and linguistic competence in L1 and L2, collaboration, digital literacy or metacognitive competence, the agents surveyed report a high level of attainment of a series of underlying competences related to versatility, social variability and personal and cognitive development that emerge from the possibility offered by the project to interact with their classmates and teachers to identify troubling situations, find out appropriate solutions to social or environmental issues, manage and organize information and present and share results with different types of audiences. These competences involve a sense of initiative and entrepreneurship, responsibility for learning, critical, lateral and creative thinking, resilience or social and civic commitment, as well as increased self-confidence and self-esteem. It is undeniable, therefore, that PBL is a realistic path for their social competence and personal development, as also supported by Beckett (2005).

As for the second objective, it seems clear thus that the project solves the contingent dilemma of traditional teaching models by blurring the barriers between the classroom context and real life. The applicability of learning to real-life contexts provided by PBL, as referred to by respondents, seems to be the cornerstone in the achieving of high levels of competence development, which endows students with the necessary strategies to actively participate in democratic culture and intercultural dialogue (Barrett 2020).

Another relevant conclusion of this study that acknowledges the third objective is that L2 is not a hindrance to the students' acquisition of contents and competences when working in a project. Throughout the presentation of the results, we were able to highlight teachers and students' awareness of the increased possibilities for interaction when they have to work collaboratively in a bilingual project, which ultimately favours the acquisition of meaningful language, competences and content learning, while still developing the linguistic competence in L1. This is due to the fact that the use of language mixtures like code-switching and translanguaging is a rule and not an exception in bilingual learning contexts. This leads us to construe that there is a synergy between PBL and CLIL when it comes to the positive effect on learning English and the contents through a project, since it allows a shift in the educational experience of L2 and content learning from a classroom-focused one to a broader and more enriching one in scope, as already pointed out by Fitzgerald and Garrison (2016).

Regarding the effectiveness of the evaluation criteria and instruments in the last objective, they have addressed that learning through a project has turned into an element of reflection applied to real situations supported by holistic, diversified, formative and summative assessment. It is evident that the project requires the students to take responsibility not only for their own learning but also for the assessment process, which will benefit students' autonomy, self-confidence, motivation and growth. This performance assessment allows students to be aware of and hone their social readiness skills, being thus more competent in the 21st society.

Finally, when reflecting critically on this study, some limitations pop up regarding the assessment of the application of targeted skills. By definition, performance assessment in PBL must enact the skills you are intending to measure (Lenz *et al.* 2015). In our case, a greater refinement of the items in the evaluation scale could have provided more internal consistency and could have yielded data that more accurately assessed the level of competence achieved by the students when developing specific skills. Despite the constraints, we hope that the results of this research help maximize PBL potential to make students develop competences to succeed in 21th century society, and encourage us to extend our knowledge about its challenges and benefits in subsequent studies.

REFERENCES

Alan, B and F. L. Stoller. 2005. "Maximizing the benefits of project work in foreign language classrooms". *English Teaching Forum* 43: 10-21.

Almulla, M. A. 2020. "The Effectiveness of the Project-Based Learning (PBL) Approach as a Way to engage Students in Learning". *SAGE open 10*. Available online: https://doi.org/10.1177/2158244020938702

Álvarez, V., Herrejón, V., Morelos, M. and M. Rubio. 2010. "Trabajo por proyectos: aprendizaje con sentido". *Revista Iberoamericana de Educación* 52 (5): 1-13.

Barrett, M. 2020. "The Council of Europe's Reference Framework of Competences for Democratic Culture: Policy context, content and impact". *London Review of Education* 18 (1): 1–17. https://doi.org/10.18546/LRE.18.1.01

Beckett, G. H. 2005. "Academic language and literacy socialization through project based instruction: ESL student perspectives and issues". *Journal of Asian Pacific Communication* 15: 191-206.

Bell, S. 2010. "Project based learning for the 21st century: skills for the future". *The Clearing House: A Journal of Educational Strategies, Issues and Ideas* 83 (2): 39-43.

Berger, R. 2003. *An Ethic of Excellence. Building a Culture of Craftsmanship with Students*. Portsmouth, NH: Heinemann.

BOE 2015. Real Decreto 1105/2014, de 26 de diciembre, por el que se establece el currículo básico de la Educación Secundaria Obligatoria y del Bachillerato.

Boss, S. and J. Larmer. 2013. *PBL for 21st Century Success: Teaching Critical Thinking, Collaboration, Communication and Creativity*. Novato, CA: Buck Institute for Education.

Brandsford, J., Brown, A. and R. Cocking, Eds. 2000. *How people learn: Brain, mind, experience, and school*. Washington DC: National Academy Press.

Bustamante, G. 2011. "Aproximación al muestreo estadístico en investigaciones científicas". *Revista de Actualización Clínica* 10: 476-480.

Cheng, R. W., Lam, S. F. and J. C. Y. Chan. 2008. "When high achievers and low achievers work in the same group: The roles of group heterogeneity and processes in project-based learning". *British Journal of Educational Psychology* 78 (2): 205-221.

Chu, S.K.W., Tse, S.K., Loh, E.K.Y. and K. Chow. 2011. "Collaborative inquiry project-based learning: effects on reading ability and interests". *Library & Information Science Research* 33 (3): 236-243.

Coperías-Aguilar, M. J. 2020. "Diversity and Second Language Acquisition in the University Classroom". *Project-Based learning in second language acquisition: building communities of practice in higher education*. Ed. A. Gras-Velazquez. New York, USA: Routledge. 9-24.

Creswell, J. W. and V. L. Plano Clark. 2007. *Designing and conducting mixed methods research*. Thousand Oaks, CA: Sage.

Dalton-Puffer, C. 2007. "Academic language functions in a CLIL environment". *Diverse contexts – converging goals. Ed.* D. Marsh and D. Wolff. Frankfurt: Peter Lang. 201–210.

Dalton-Puffer, C. 2011. "Content and language integrated learning: from practice to principles". *Annual Review of Applied Linguistics* 31: 182-204.

Dewey, J. 1938. *Education and experience*. New York: Macmillan.

Díaz-Barriga, A. 2011. "Competencies in Education: Schools of Thoughts and Implications for Curricula and work in the Classroom". *Revista Iberoamericana de Educación Superior* 2 (5): 3-24.

Doppelt, Y. 2003. "Implementing and assessment of PBL in a flexible environment". *International Journal of Technology and Design Education* 13: 255–272.

Edelson, D. C., Gordin, D. N., and R. D. Pea. 1999. "Addressing the challenge of inquiry-based learning". *Journal of the Learning Sciences* 8: 392-450.

Esteve, F., Adell, J. and M. Gisbert. 2013. *El laberinto de las competencias clave y sus implicaciones en la educación del siglo XXI*. In II Congreso Internacional Multidisciplinar de Investigación Educativa (CIMIE 2013). Retrieved from: https://www.researchgate.net/publication/235946755_El_laberinto_de_las_competencias_clave_y_sus_implicaciones_en_la_educacion_del_siglo_XXI

Eyring, J. L. 2001. "Experiential and negotiated language learning". *Teaching English as a second or foreign language*. Ed. M. Celce-Murcia (3rd ed). Boston: Heinle & Heinle. 333-344.

FitzGerald, L., and K. L. Garrison. 2016. "Investigating the guided inquiry process. *Information Literacy: Key to an Inclusive Society. ECIL 2016. Communications in Computer and Information Science, vol. 676*. Ed. S. Kurbanoğlu. Cham: Springer. 667–677.

Fried-Booth, D. L. 2002. *Project work* (2nd ed.). New York: Oxford University Press.

Gras-Velázquez, A., ed. 2020. *Project-Based learning in second language acquisition: building communities of practice in higher education*. Nueva York, NY: Routledge.

Gultekin, M. 2005. "The effect of project based learning on learning outcomes in the 5th grade social studies course in primary education". *Educational Sciences: Theory and Practice* 5 (2): 548-556.

Hallermann, S., Larmer, J. and J. Mergendoller. 2011. *PBL in the Elementary Grades: Step-by-Step Guidance, Tools and Tips for Standards-Focused K-5 Projects*. Novato, CA: Buck Institute for Education.

Halvorsen, A., Duke, N. K., Brugar, D., Block, M., Strachan, S., Berka, M. and J. Brown. 2014. *Narrowing the achievement gap in second-grade social studies and content area literacy: the promise of a project-based approach*. Working Paper #26. East Lansing, MI: Education Policy Center at Michigan State University. Retrieved from: https://files.eric.ed.gov/fulltext/ED537157.pdf

Hart Research Associates 2013. *It takes more than a major: Employer Priorities for College Learning and Student Success. An Online Survey Among Employers Conducted On Behalf Of: The Association Of American Colleges And Universities*. Washington: Hart Research Associates. Retrieved from: https://www.aacu.org/research/it-takes-more-than-a-major-employer-priorities-for-college-learning-and-student-success

Hattie, J. 2012. *Visible learning for teachers: Maximizing impact on learning*. New York: Routledge.

Hedge, T. 2000. *Teaching and learning in the language classroom*. Oxford: Oxford University Press.

Hernández-Gómez, E. 2015. *Factores determinantes en la comunicación de los procesos de Innovación Docente. Aplicación en los centros de Enseñanza Secundaria Públicos de la Región de Murcia*. Ph.D. thesis Murcia University: Spain.

Hernández-Ramos, P. and S. De La Paz. 2009. "Learning history in middle school by designing multimedia in a project-based learning experience". *Journal of Research on Technology in Education* 42 (2): 151-173.

Johnson, D. W., Johnson, R. T. and E. J. Holubec. 1999. *El aprendizaje cooperativo en el aula*. Buenos Aires: Paidós.

Jonnaert, P. (12th December, 2001). *Competencias y socioconstructivismo. Nuevas referencias para los programas de estudios*. Text in support of the Second Annual Conference of Secondary Education Inspectors. Bobo Diulasso, Burkina Faso.

Labrador, Mª. J. and M. A. Andreu. 2008. *Metodologías activas. Grupo de innovación en metodologías activas (GIMA)*. Valencia: Editorial de la Universidad Politécnica de Valencia.

Larmer, J., Mergendoller, J. R. and S. Boss. 2015. *Setting the Standard for Project Based Learning: A Proven Approach to Rigorous Classroom Instruction*. Alexandria, VA: ASCD.

Lenz, B., Wells, J. and S. Kingston. 2015. *Transforming Schools. Using Project-Based Learning performance assessment, and Common Core Standards*. San Francisco, CA: Jossey-Bass.

Ley Orgánica 8/2013, de 9 de diciembre, para Mejora de la Calidad Educativa (LOMCE). Boletín Oficial del Estado, 10 de diciembre de 2013, núm.295, pp. 97858-97921.

Ley Orgánica 3/2020, de 29 de diciembre, por la que se modifica la Ley Orgánica 2/2006, de 3 de mayo, de Educación. Boletín Oficial del Estado, 340, de 30 de diciembre de 2020, 122868–122953. https://www.boe.es/eli/es/lo/2020/12/29/3

De Miguel, M. Coord. 2005. *Modalidades de enseñanza centradas en el desarrollo de competencias. Orientaciones para promover el cambio metodológico en el Espacio Europeo de Educación Superior*. Oviedo, Asturias: Ediciones Universidad de Oviedo.

OECD 2005. *The definition and selection of key competencies*, executive summary, OCDE. Retrieved from: https://www.oecd.org/pisa/35070367.pdf.

Pavón, V. 2014. *Programas Bilingües/Plurilingües. Plan Integral de Excelencia Educativa Oxford*. Madrid: Oxford University Press.

Pavón, V. and M. Ellison. 2013. Examining teacher roles and competences in Content and Language Integrated Learning (CLIL). *Linguarum Arena, 4*: 65-78.

Pérez-Cañado, M. L. 2016. "Evaluating CLIL Programmes: Instrument Design and Validation". *Pulso* 39: 79-112.

Pérez Gómez, A. I. 2007. *La naturaleza de las competencias básicas y sus implicaciones pedagógicas*. Cantabria: Cuadernos de educación.

Perrenoud, P. 2004. *Diez nuevas competencias para enseñar*. Barcelona: Grao.

Pozuelos, F. J. 2007. *Trabajo por proyectos en el aula: descripción, investigación y experiencias*. Sevilla: Ediciones MCEP. Cooperación Educativa.

Rué, J. 2008. El portafolio del alumno, herramienta estratégica para el aprendizaje. *Aula de Innovación Educativa* 169: 29-33.

Salas-Pilko, S. Z. 2013. Evolution of the framework for the 21st century competencies. *Knowledge Management & E-Learning: An International Journal* 5 (1): 10-23.

Sánchez-García, R. 2022. *Project Based Learning: Impact on the Acquisition of Content, Competencies and Skills in Primary and Secondary Bilingual Education*. Ph.D. thesis. University of Córdoba: Spain.

Sánchez-García, R., and V. Pavón. 2021. "Students' perceptions on the use of Project-Based Learning in CLIL: Learning outputs and psycho affective considerations". *Latin American Journal of Content & Language Integrated Learning* 14 (1): 69–98. https://doi. org/10.5294/laclil.2021.14.1.X

Sanmartí, N. 2007. *10 ideas clave. Evaluar para aprender*. Barcelona: Graó.

Stoller, F. L. and C. C. Myers. 2020. "Project-Based Learning. A Five-Stage Framework to Guide Language Teachers". *Project-Based learning in second language acquisition: building communities of practice in higher education*. Ed. A. Gras-Velázquez. Routledge: New York, NY, USA. 25-47.

Sukandari, B. 2013. "Assessment in project based learning". *Language Policy and Planning: What Are the Issues?* The 7th International Seminar Indonesia: Widya Sari Press. 52-73.

Du Toit, A., Havenga, M. and M. Van del Walt. 2016. "Project based learning in higher education: new skills set for consumer studies teacher education". *Journal for New Generation Sciences* 14 (3): 54-71.

UNESCO 1996. *La educación encierra un tesoro. Informe de la Comisión Internacional de Educación para el siglo XXI. Informe Delors*. Madrid: Santillana.

Vergara, J. J. 2015. *Aprendo porque quiero. El Aprendizaje Basado en Proyectos (ABP) paso a paso*. Madrid: SM.

Villa Sánchez, A. and O. Villa Leicea. 2007. "El aprendizaje basado en competencias y el desarrollo de la dimensión social en las universidades". *Educar* 40: 15-48.

Warren, A. M. 2016. *Project-Based Learning Across the Disciplines Plan, Manage, and Assess Through +1 Pedagogy*. Thousand Oaks, California: Corwin Publishing.

Wurdinger, S. 2016. *The power of project based learning. Helping students develop important life skills*. United States of America: Rowman & Littlefield.

JOURNAL OF ENGLISH STUDIES – vol. 21 (2023): 181-196. http://doi.org/10.18172/jes.5552

ABSTRACT MACHINES IN J. G. BALLARD'S *HIGH-RISE*

BEGÜM TUĞLU ATAMER
Ege University (Turkey)
begum.tuglu@ege.edu.tr

ABSTRACT. This article sets out to explore how J. G. Ballard's *High-Rise* (1975) can be read through Deleuze and Guattari's concepts of rhizome, abstract machines and schizophrenia. The social structure of the Seventies in England, High-Rise as a building and *High Rise* as a novel are connected to one another to portray a rhizome that manifests a dystopian answer to the inquiry of human nature. *High-Rise* can be studied as an abstract machine since it is a machine of fiction through which the readers question the meaning of humanity. High-Rise, the building, is also an abstract machine in itself since it operates as a means to reveal the constant process of becoming under late capitalism. Therefore, this article aims to reveal the Deleuze-Guattarian dynamics in *High-Rise* in relation to High-Rise, the building, by focusing on the social elements that expose the schizophrenic aspects of late capitalism.

Keywords: J. G. Ballard, High-Rise, Deleuze and Guattari, Abstract Machine, Rhizome, Schizophrenia.

MÁQUINAS ABSTRACTAS EN *HIGH-RISE,* DE J. G. BALLARD

RESUMEN. El objetivo de este artículo es explorar cómo *High-Rise* (1975), de J. G. Ballard, puede ser leída a través de los conceptos de Deleuze y Guattari de rizoma, máquinas abstractas y esquizofrenia. La estructura social de los años setenta en Inglaterra, High-Rise como edificio y *High-Rise* como novela están conectados entre sí para retratar un rizoma que manifiesta una respuesta distópica a la pregunta de la naturaleza humana. *High-Rise* puede ser estudiado como una máquina abstracta dado que es una máquina de ficción a través de la cual los lectores se cuestionan el sentido de la humanidad. High-Rise, el edificio, también es una máquina abstracta en sí misma dado que opera como medio para revelar el proceso constante de ser bajo el capitalismo tardío. Por ello, el propósito de este artículo es el de revelar las dinámicas de Deleuze y Guattari en *High-Rise* en relación con High-Rise, el edificio, al centrarse en los elementos sociales que exponen los aspectos esquizofrénicos del capitalismo tardío.

Palabras clave: J. G. Ballard, High-Rise, Deleuze y Guattari, Máquina Abstracta, Rizoma, Esquizofrenia.

Received 22 September 2022

Revised version accepted 11 May 2023

1. INTRODUCTION

The residents of J. G. Ballard's *High- Rise* do not merely live in a building; they are moulded by it. *High-Rise* is an ultimate manifestation of fears regarding what would happen to humans if they were left to live in fashionable prisons. The structure of the building does not only shape its characters but it further alters the perceptions of the novel's readers, inviting them into a "rhizome" as residents of the narrative themselves. Deleuze and Guattari define "rhizome" as an entity that "has no beginning or end; it is always in the middle, between things, interbeing, *intermezzo*" (2005: 25; emphasis original). It is true that the structure of High-Rise, the building, seems to be divided into three parts, at least socially, but once the building starts to dysfunction and the social lines begin to blur, it turns into a middle-ground on which there are no social or moral codes that can be used to clearly separate the residents of the building from one another. In fact, even though the readers learn at first glance that the apartment is divided into the classic understanding of upper, middle and lower classes[1], soon they also figure out that these social classes do not include the real lower and upper classes of the world that exist outside the borders of High-Rise. The residents are actually "a virtually

[1] Ballard's fiction outlines the struggles between the upper, middle and lower classes in order to reveal the human condition under the influence of capitalism. Studies of these classes are usually centred around the struggles of the middle class, referring to upper and lower classes in a manner of relative importance (Wilson 2017: 96; Wood 2017: 203; Caserio 1988: 303; Beckman 2013: 276). Studying the three classes under such a lens is problematic since it disguises the operating forces of the rhizome as a whole.

homogeneous collection of well-to-do professional people" (Ballard 2012: 9) which reveals that the upper and the lower classes outside the building are not actually included in the narration. The concrete jungle of High-Rise is placed just outside the city, but not too far away to be completely detached from it, creating an in-between space where the residents can roam freely without the laws that constrain the citizens living in the city: "For all the proximity of the City two miles away to the west along the river, the office buildings of central London belonged to a different world, in time as well as space" (Ballard 2012: 7). Once the operational systems of the building start to fail, it becomes more apparent that the building is formed as a never ending circle of labyrinths with its many elevators, chutes, and corridors. Therefore, this article focalizes how *High-Rise*, the novel, is an abstract machine that (de)constructs its characters' beings, leading its readers to question the nature of the human species. Furthermore, High-Rise, the building, can also be considered as an abstract machine that makes its subjects a part of its own continuous process of becoming with its design that creates "a body without organs" by using its apartments as mental prisons. In order to expose the Deleuze-Guttarian dynamics of the narrative, this article makes use of terms such as the rhizome and abstract machines to exemplify how the characters in the narrative display schizophrenic symptoms and how these symptoms are actually side effects of life under late capitalism as narrated by Ballard as a reflection of the English society during the seventies.

2. RHIZOME AND *HIGH-RISE* IN ENGLAND IN THE SEVENTIES

Deleuze and Guattari define the rhizome as a system of non-hierarchical web of multiplicity that can be likened to a "subterranean stem" (2005: 6). The rhizomatic stem refers to a flowing network that operates more like a "map" rather than a formulaic tracing of meanings (2005: 12). Deleuze and Guattari assign six principles to better explain the characteristics of the rhizome: Connection, heterogeneity, multiplicity, asignifying rupture, cartography and decalcomania (2005: 7-13). Ballard's narrative that interweaves the realities of his time with his fictional structure clearly reveals the connection of *High-Rise* to the social dynamics in England. This connection transforms the novel into a cartographic representation of English society under late capitalism in Ballard's perspective. As if performing decalcomania, it can be argued that Ballard aims "to explore an unconscious that is already there from the start, lurking in the dark recesses of memory and language" (Deleuze and Guattari 2005: 2) by imagining a building in a form of animated machinery that would act as a microcosmic symbol of a capitalist society that drives its residents towards a schizophrenic mode of being. High-Rise, the building, further displays heterogeneity and multiplicity in its depiction of the characters and the social classes they form in the narrative. The "well-to-do professional people" (Ballard 2012: 9) seem to belong to middle class whereas it is quickly understood how the definition of class is altered contextually once placed in an abstract machine that further separates them into smaller units of upper, middle and lower formations. There are certain asignifying ruptures in the building, the technical along with architectural

design issues that make it not so suitable for humans to live in, and yet, the building still stands as a whole at the end of the narrative despite being direly attacked. Moreover, the existence of other High-Rises reveal how "[a] rhizome may be broken, shattered at a given spot, but it will start up again on one of its old lines, or on new lines" (Deleuze and Guattari 2005: 9). To Deleuze and Guattari, "[t]he map" that the rhizome offers "does not reproduce an unconscious closed in upon itself; it constructs the unconscious. It fosters connections between fields, the removal of blockages on bodies without organs, the maximum opening of bodies without organs onto a plane of consistency" (2005: 12). Such an understanding of theoretical approach to narratives makes it possible to read *High-Rise* both as a map that exemplifies the human condition in England in the seventies and also as a map that creates its own rhizomatic existence through a connection between the abstract machine of the building and its residents.

Considering that *High-Rise* was a product of England in the seventies, it can be suggested that the novel is part of the rhizomatic entity of the era which demonstrates the intrinsic fears of the period within its body of narration. *High-Rise*, the novel, operates within the socio-cultural setting of the time to underline the threats that are caused by class wars, economic regression, political extremism and violence (Morgan 2017: 2). Likewise, High-Rise, the building, is situated as a machine which actively drives its residents towards a certain direction of entropy. In appearance, the novel enables the residents to freely discover who they truly are: "For the first time it removed the need to repress every kind of anti-social behaviour, and left them free to explore any deviant or wayward impulses" (Ballard 2012: 34). Nonetheless, under this appearance there is a false sense of freedom. The residents never really experience the building as a fully functioning operational system for them to explore their isolation. It does not take more than a couple of months for the building to completely fail its residents and force them to form clans to survive. Every class of the building has a different set of elevators, entrances and lobbies which suggests that the architects of the building directed the residents towards their respective groups quite inconspicuously. Hatherley states that the High-Rise provides its residents with primal desires such as "sex, violence, clan loyalties, rigid hierarchies of power and seniority" and this creates liberation in a "terrifying fashion" (2016: 71). Bradshaw and Brown agree with Hatherley and further comment that High-Rise manifests a failure of "socialist or social democratic imagination" which has "disappeared from the political landscape" (2018: 14). High-Rise is evaluated as "the final failure of an attempt towards modernist spatial planning; as modernism's death-knell" (2018: 14). Contrary to this popular belief, I believe that High-Rise does not represent the disappointment in socialist spatial planning more than it emphasizes the insistence of portraying a socialist utopia as doomed in a narrative.

The residents are never actually given the opportunity to be free in this narrative. They are ultimately bound by the cell-like structure of the building that imprisons them and thus turns them into perpetrators. The abstract machine of High-Rise seems to have a will of its own, almost contributing to the violence through power shortages that cause blackouts, failing air-conditioning systems that make the air

hard to breathe and garbage-disposal chutes that get clogged. In Stoner's words, *High-Rise* is "modern dystopian narrative of architecture's power to provoke conflict, alienation, and violence" (2013: 179). To divert the attention from such failures and to emphasize the innate evil nature of the human species, it is noted how "Laing had already discovered, people in high-rises tended not to care about tenants more than two floors below them" (Ballard 2012: 7). The residents of the building almost expect such an outcome: "Despite the harassment and increasing violence, no one was surprised by these events" (Ballard 2012: 57). The narrator even points out that "[i]n the future, violence would clearly become a valuable form of social cement" (Ballard 2012: 88). In his article that focuses on the issue of mental health problems in high-rises, Cappon draws attention to how humanity has to be careful towards the "vertical coffins" that may lead to "the premature death of our civilization" and yet, this does not mean that there is any "in-controvertible evidence and the mechanism whereby the high-rise leads to the low fall of urban humanity" (1971: 431). This argument suggests that what causes the mental "fall" of urban humanity is not solely the buildings, or architectural designs for that matter. It is the rhizomatic entanglements of the effects of late capitalism that create an illusion of the High-Rise as such an impressive machine. High-Rise is completely detached from nature but its residents such as Laing start to make "less and less effort to leave the building" because of how "delighted" he is by the "glut of conveniences" (Ballard 2012: 7). It is apparent that High-Rise creates an artificial space in which humans are made to believe they can survive only to realize that it is only a matter of time before their mental health deteriorates much similar to the late capitalist society that offers unlimited technology but little care for its consequences on the human psyche.

Thus, it can be argued that *High-Rise*, the novel, and High-Rise, the building, are interwoven into one another as parts of the same rhizome. 1970s England is represented through a dystopian lens which intertwines reality with fiction, ever transforming the residents of High-Rise and the readers of *High-Rise* alike. Nonetheless, this transformation does not include the possibility of humans acting in cooperation. It is yet another proof that without law and order and the existence of an ultimate figure of authority, human beings are doomed to a chaotic and violent future. The effeminate psychiatrist of the High-Rise, Adrian Talbot, regards all the violence in the building as natural consequences of living in such a society. After being assaulted by other residents he comments on how he is also on the verge of losing his rationality:

> I had a bucket of urine thrown over me this afternoon. Much more of that and I may take up a cudgel myself. It's a mistake to imagine that we're all moving towards a state of happy primitivism. The model here seems to be less the noble savage than our un-innocent post-Freudian selves, outraged by all that over-indulgent toilet-training, dedicated breast-feeding and parental affection – obviously a more dangerous mix than anything our Victorian forebears had to cope with. Our neighbours had happy childhoods to a man and still feel angry. Perhaps they resent never having had a chance to become perverse. (Ballard 2012: 105)

The emphasis on having "a chance to become perverse" reveals to what extent the narrative focuses on criticizing the ideals of capitalism that keeps the society intact. It is suggested that the reason humanity is headed towards a vandal future is because of the ontological state of human nature that is perverse, evil and violent.

Yet, the initial "over-priced cell" (Ballard 2012: 6) like design, the failing "glut of conveniences" and the structure of the building that offers less as the floors descend reveals that the violence in the building has more to do with an economic, political and social structure of a capitalist society that is already a high-rise on its own that drains any potential of a peaceful future. Ballard is well aware of the rising levels of urban violence (1991: 34). He does not believe in an optimistic future: "If people are going to survive they will need to do this on the plane of the imagination much more than they have done. Otherwise, they'll simply become a mark on some consumer chart" (1991: 32). In accordance with Ballard's views, the narrative underlines that human beings would choose violence as long as they can form groups and they are not left alone in isolation: "For the first time it occurred to Wilder that the residents enjoyed this breakdown of its services, and the growing confrontation between themselves. All this brought them together, and ended the frigid isolation of the previous months" (Ballard 2012: 57). The interesting point here is that the residents are free to leave the building any time they want but they choose to remain in this chaos: "Despite the growing chaos around them, the residents showed less interest in the external world" (Ballard 2012: 73). Even when the level of vandalism grows "deliberately excessive", the residents continue "cutting themselves off from the outside world" (97). These lines manifest how humans are portrayed as beings that would choose violence rather than learning how to live together in a high-tech building. Once tasting the pleasure of "a chance to become perverse", they do not want to go back to the heart of civilization that is the city. Thus, the residents seemingly choose to remain in this violent rhizome when, in fact, it can be understood that this decision is manipulated by High-Rise, the abstract machine.

3. ABSTRACT MACHINE AS A HIGH-RISE, *HIGH-RISE* AS AN ABSTRACT MACHINE

High-Rise does not have a clear beginning or an ending, or rather it starts exactly where it ends creating an infinite loop, forcing its readers to remain in a narrative purgatory. In parallel, High-Rise the building, is also designed to create a middle ground on which a constant state of becoming can be organically represented. The becoming of the building, as "a huge machine designed to serve" (Ballard 2012: 9), its constant deterioration along with the characters' decent into madness and violence as the narration progresses, its ending that reveals the circularity of the events with the first signs of technological failure in one of the other High-Rises, reveal a backward and forward motion simultaneously. In "Concrete Rules and Abstract Machines", Deleuze and Guattari put forward that "[e]ach abstract machine is a consolidated whole of matters-functions" that can be traced in "a technological 'plane'" (1984: 15). High-Rise, that can be read as such a "technological plane", "is

not simply made of formed substances, aluminum, plastic, electric wire, etc., nor of organizing forms, program, prototypes,etc., but of a totality (ensemble) of unformed matters" (1984: 15). This totality formed as an "assemblage", "occur[s] in forms and substances with variable states of freedom" (1984: 15). As Massumi explains, "[t]he abstract machine is interpretation. It is the meaning process, from the point of view of a given expression. Any sign, quality or statement, as the trace of a process of becoming can be considered a de facto diagram from which a formal diagram of the operative abstract machine could be developed" (1996: 17). *High-Rise* as a narrative and High-Rise as a building both come to represent the two parts of the same rhizome since the meanings they create are intertwined with one another. Furthermore, they constitute this rhizomatic structure by functioning as two simultaneously operating abstract machines. The narrative conceptualizes the fears of the seventies in England while the building exposes to what extent the human psyche can be challenged through these fears, ultimately creating a meaning process for the readers to experience the operative systems of the society they are living in. At the very beginning Robert Laing, who interestingly lives right in the middle of the building, is surprised that "there had been no obvious beginning, no point beyond which their lives had moved into a clearly more sinister dimension" (Ballard 2012: 6). At the very end of the novel, it is again Robert Laing who witnesses how the second of the blocks starts to fail, "ready to welcome [its residents] to their new world" (2012: 166). Laing's orientation as a character that greets the readers and then bids them farewell contributes to the circularity of the narration in terms of time and space. The readers who experience Laing's account of the events are also invited to be part of the abstract machine as common agents who experience the schizophrenic state of the characters in the novel through Ballard's narrative.

The building and its residents are part of the abstract machine that enables them to be both organically and metaphorically incorporated into one another. The High-Rise is defined "as if it [is] some kind of huge animate presence, brooding over them and keeping a magisterial eye on the events taking place" (Ballard 2012: 37). When the events take a darker turn and the residents gradually begin to lose any civilized form of communication (Stephenson 1991: 83), the building is defined as an organic entity once again: "At night the dark bands stretched across the face of the high-rise like dead strata in a fading brain" (Ballard 2012: 72). According to Wilson, "Ballard equates the technological machine with the soft machinery of the human body. The high-rise feels like a living being" (2017: 95). The building is likened to an entity that has its own brain, or in other words, its own rational will to act. Ballard manages to create a character out of a space using an architectural design to give voice to an entity that has an influence on the beings living within it. The design of the building as an organic entity has a quite specific purpose of warning the human species against the dangers of living in isolated vertical structures (Fässler 2020: 5). And yet, despite appearing as a warning, the High-Rise takes the form of "a body without organs" in Deleuze and Guattari's terms. High-Rise can be read as "[a] body without organs" that functions as a "medium of becoming or of transformation" (1984: 12). The residents of High-Rise are ultimately afflicted by the building, finding themselves in a constant process of becoming. This transformation from seemingly "well-to-do

professionals" into violent savages reveals to what extent the building plays a role on their mental states.

It is also significant that Deleuze and Guattari point out to different types of a "body without organs" such as "the *hypochondriac*", "the *paranoid*", "the *schizo*", "the *drugged*" and "the *masochist*" (2005: 150, emphasis original). The residents of the High-Rise create their own bodies without organs under the constant becoming state of the building. All residents of the High-Rise reveal symptoms of these bodies, especially in terms of paranoia, schizophrenia and masochism. It is important that the first quarrel in the novel is due to the "higher" residents of the building being disturbed by the possibility of young children of the "lower" residents contaminating the swimming pool, revealing a hypochondriac tendency. In the "Fourth Chapter", Wilder's growing hatred towards the "higher" residents becomes more apparent, manifesting his paranoia against the structure of the building. Laing starts to drug Eleanor and Alice since "their addiction would tilt the balance of authority in his direction again and increase their dependence on him" (Ballard 2012: 165). Finally, the extent of masochism becomes more striking once Laing starts to accept all the violence as "normal": "On the whole, life in the high-rise had been kind to him. To an increasing extent, everything was returning to normal" (2012: 165). Laing is uttering these words as the building is severely damaged, many are killed and he, himself, is eating a dog on a balcony while parts of the building are deteriorating. All residents that are introduced in the novel seem to end the novel in a quite schizophrenic state, where women form a community of their own as "sisters of sinister charity" (2012: 113), Wilder completely losing his mind, Royal never leaving the building even though he intends to do so and Laing, Eleanor and Alice seem to live in a sado-masochistic relationship.

High-Rise can also be read as an "abstract machine" because it constantly represents a state of becoming through its body without organs; therein creating an endless web of meaning processes and simultaneously interweaving the "being" of the building with that of its residents (Deleuze and Guattari 1984: 17). In parallel, *High-Rise*, the novel, invites its readers into a rhizomatic narrative that has neither a clear beginning nor an end. The origins of how and why the buildings are planned, to whom the money earned by the apartments go to, or the ending of the narration are all left without clear explanations. Therefore, this article situates *High-Rise*, the novel, as an "abstract machine" that operates to manipulate the readers' perceptions of modern society and human nature through its plot to disguise the dynamics actually responsible for the mayhem caused in the novel. While the readers are focused on Royal, as if to label him as a scapegoat for everything that happens, they fail to see that there is actually a group of architects who continue their experiments. The readers learn that Royal is a "well-to-do architect, a former member of the consortium which had designed the development project" (Ballard 2012: 14). Royal is not only a member of a larger group who has come up with designing such an inhumane project but he is a former member, too. This detachment from the consortium signals how Royal stops functioning as a part of the authorial control once he moves into the building. He has become one of the parts of the machine

he aids to create. Wilson agrees with the idea that "Royal may have produced the machine, but like everybody in High-Rise, he is a product of the machine" (2017: 96). Even though Anthony Royal is at the very top of the building and seems to be the face of the "richest" group and the one responsible for the whole experiment, I believe there is a much stronger and invisible body of authority here at play in disguise of the building. In the first half of the novel, there is an illusion, an on-going impression that the residents of the highest floors have power and they can assume an authoritative role over the lower floors: "What angered Wilder most of all about life in the apartment building was the way in which an apparently homogeneous collection of high-income professional people had split into three distinct and hostile camps. The old social subdivisions, based on power, capital and self-interest, had reasserted themselves here as anywhere else" (Ballard 2012: 49-50). Nonetheless, the first human death of the building is that of a resident from the fortieth floor (Ballard 2012: 39) which directly signals how none of the so-called classes of the building are free from the abstract machine's operation. High-Rise lacks any kind of visible authority and its residents make sure to fend off the police when they come too close, "reassuring [the police] that everything was in order, despite the garbage and broken bottles scattered around the building" (Ballard 2012: 125). Orr states that this avoidance from the police is "Ballard's great leap [...] to isolate the characters for their desperate struggles but have them all conspire to keep the fighting going" (2000: 490). Even the richest people, including Anthony Royal and other fortieth level residents cannot survive the building, which reveals that the entire population of the building is under war conditions. Davis argues that "[t]he building is cast as a libidinal time machine of sorts, rekindling atavistic tendencies, conjuring a 'renascent barbarism' and 'a falling interest in civilized conventions of every kind'. Characters adopt pre-linguistic wails and grunts, engage in intoxicated rituals and orgiastic bouts of violence, daub themselves with war paint and scrawl graffiti like 'the priapic figures drawn by cave-dwellers'" (2017: 1750).

There is no question that all the residents are at war as the building turns into a no man's land, but who is waging this war? The responsibility here lies with the invisible capitalist workings of a State that is hidden under the guise of a consortium of architects that designs such an abstract machine to be able to profit from it, to condition people into believing there is no other alternative possible to live in such an environment dominated by technology. There appears to be a huge lack in the narrative that hides the body of a capitalist State which places its citizens in a "megamachine" only to destroy them, not to mention that they continue building such blocks despite already witnessing what has happened in the first one. Deleuze and Guattari assert that "if it is the modern State that gives capitalism its models of realization, what is thus realized is an independent, worldwide axiomatic that is like a single City, megalopolis, or 'megamachine' of which the States are parts, or neighborhoods" (2005: 434-5). I believe High-Rise, the building, serves as a microcosmic representation of such a "megamachine". Laing notices that there is "something alienating about the concrete landscape of the project – an architecture designed for war, on the unconscious level if no other" (*High-Rise* 9). Deleuze and Guattari also note that "[t]otal war is not only a war of annihilation but arises when

annihilation takes as its 'center' not only the enemy army, or the enemy State, but the entire population and its economy. The fact that this double investment can be made only under prior conditions of limited war illustrates the irresistible character of the capitalist tendency to develop total war" (2005: 421). It is only profitable to create such an environment built for war if the people can be convinced that they need to be controlled by the State. The point of the narration here is quite problematic since it seems to suggest that human nature is inherently evil and without the State as the ultimate authority that forces manners of civilization, it will turn back to its savage ways of violence. The building is built to be sold and consumed, much like its residents who are ideologically manipulated to buy into the idea of "the intangible appeal of life in a luxury high-rise" (Ballard 2012: 9) and then perish in the process. Ballard himself comments in *Extreme Metaphors* that "I myself think that man, if you like, is a naturally perverse animal, that the elements of psychopathology or perversity or moral deviancy are a very large part of his character" (2012: 80). Depicting humans as perverse animals stuck in a zoo-like environment is ontologically labelling human nature as evil and therefore doomed to fail to adapt to the high-tech society of the future. Ballard leaves no alternative to question whether the residents of the High-Rise would manage to adapt to their conditions if the building did not fail in the first place. Matthews is of the opinion that "the novel depicts violence in a conventional light as a force that threatens and fragments communities" (2013: 124). Without any kind of law enforcement to control the violence, even these "well-to-do" professionals are bound to lose their ways. It is worth noting that "no one had fired a single shot, despite the epidemic of violence. Wilder knew perfectly well why. He himself would never bring himself to fire this shotgun, even at the point of death. There was an unspoken agreement among the residents of the high-rise that their confrontation would be resolved by physical means alone" (Ballard 2012: 120). The return to physical violence, even the hint at "cannibalism" out of "necessity" (Ballard 2012: 164-5), seems to be forgiven in the name of exploring the human psyche in its "free" condition and seen as a natural consequence of living under such circumstances. Nevertheless, this implication that the violence in the building is ultimately derived from a natural inclination towards self-protection and has nothing to do with modern tools of warfare is rendered meaningless once Wilder murders Royal with a pistol (Ballard 2012: 159). The nameless narrator warns at the very beginning that "[p]art of [the building's] appeal lay all too clearly in the fact that this was an environment built, not for man, but for man's absence" (Ballard 2012: 23). Groes points out how "the high-rise is not a machine for living but a self-contained and self-sustaining organism divorced from community" (2012: 134). Such an organism designed to protect its own existence at the expense of its residents is bound to separate individuals from one another, thereby preventing any opportunities of social interaction, communication and cooperation – all tools that would have made it possible for the residents of high-rise to be able to survive together in peace. Furthermore, this organism does, in fact, stand as an abstract machine that operates in such a manner that it sustains its own body without organs through its schizophrenic residents.

In support of the dangers of creating abstract machines in the form of high-rises, Doxiadis and Hill's study evaluates "the construction of high-rise buildings" as a "crime" that will make "generations to come" suffer since the balance between "Nature" and "Man" is overthrown (1972: 296). Such buildings "work against Man himself, especially against children who lose their direct contacts with Nature", they break the familial bonds in a society such as "the extended family, the neighbourhood etc.", and problematize "Networks" because they are very hard to sustain (1972: 296). They conclude that high-rises are economically, socially, politically, technologically, culturally and aesthetically problematic (1972: 296). As an expression of the fears directed towards such structures, High-Rise was also never meant to be built to sustain humans but it was designed to consume them and to turn them into parts of its organic body without organs. Groes points out that High-Rise expresses "late capitalism's brutal reshaping of the social and cognitive processes that determine everyday lives" which "capture[s] the texture of modernity" (2012: 124). In such an environment, language loses its importance and concrete technology assumes a fatal role in determining social relations in a "monstrous" and "dehumanizing" manner (2012: 124). To be human in such a high-tech environment is "to be partly machine" as Ballard, Baudrillard and Donna Haraway would argue in common, yet, this transformative process is ultimately "traversed by the ideologies of multinational capitalism" (Butterfield 1999: 74). Therefore, the argument that High-Rise is a social experiment to freely explore the psychopathological conditions of humans as suggested by the narrator and critics[2] analyzing the novel seem to miss a crucial point: Human nature is deliberately portrayed as destructive and violent whereas the influence of the abstract machine on the residents of the High-Rise seems to be overlooked. The issue at hand is, perhaps, not as much about the ontological state of human nature than it is about how late capitalism gives way to the production of such abstract machines that would drive that nature to an extreme state of violence purposefully.

4. LATE CAPITALISM, SCHIZOPHRENIA AND RESIDENTS OF THE WAR MACHINE

In alliance with R. D. Laing, whose influence on the character of Laing has been studied by scholars such as Bradshaw and Brown (2018), Deleuze and Guattari claim that "the schizophrenic process" is "a voyage of initiation, a transcendental experience of the loss of the Ego" (2000: 84). This transcendental experience is the "process of the production of desire and desiring-machines" (2000: 24). The three main characters of the novel are neatly placed in their respective floors with Royal on the fortieth, Laing on the twenty-fifth and Wilder at the second as if to map out the "transcendental experience" of the residents through various floors that reveal their social status. Even their names, Royal, Laing and Wilder expose their characters

[2] High-Rise is depicted as "a model of all that technology had done to make possible the expression of a truly 'free' psychopathology" by Ballard in the novel (2012: 34). Matthews (2013: 123), Bradshaw & Brown (2018: 5), and Gray (2019: 152) study the novel in this psychopathological context.

to a certain extent[3]. As critics such as Groes (2012), Sellers and O'Hara (2012), and Bradshaw and Brown (2018) have also noted, Royal, Laing and Wilder come to represent the classical social groups of lower, middle and upper classes. As the building's technical operation system starts to fail, the residents slowly begin their "voyages of initiation" in a concrete jungle. Since Anthony Royal is placed at the top and stated as the "zoo-keeper" (Ballard 2012: 63), it is almost too easy to assume that he is the one responsible for the project. In fact, D. Harlan Wilson addresses Royal as "a mad (social) scientist" and claims that "the high-rise is *his* monster and laboratory" (2017: 95, emphasis mine). Bradshaw and Brown call the building Royal's "moribund creation" (2018: 7). Stoner writes that "[t]he 'Royal' architect has designed a building that arouses primitive survival instincts in its residents" (2013: 180). In alliance, Groes argues "[t]he name of the resident architect of the high-rise, Anthony Royal, already implies that his attempt at creating an egalitarian microcosm" will lead to failure (2012: 136). Furthermore, Stephenson points out that "[t]he high-rise is repeatedly likened to a zoo, and indeed, we are told that 'Zoos and the architecture of large structures' had always been the 'particular interest' [...] of the architect of the high-rise, Anthony Royal" (1991: 81). What all these critics have in common is that they name Anthony Royal as the sole architect of the building and the only one responsible for the mayhem. Yet, I argue that this is actually far from the truth since "[f]or all his professional identification with the high-rise as one of its architects, Royal's contribution had been minor, but sadly for him had concerned those very sections which had borne the brunt of the residents' hostility" (Ballard 2012: 66). Why, then, is Anthony Royal picked out as a scapegoat? Royal is placed in the building to control the residents; however, his being is also altered by the abstract machinery of the building. Royal is called the "zoo-keeper" for a reason; he does live in the building and insists on remaining there until the very end when his life is taken by no other than Wilder as if to signify the revenge of the lower class. Royal, too, is punished in the novel for being a visible symbol of authority who assumes an ultimate role of control, when in reality, he is one of the parts of the abstract machine. He may be a keeper but he does not own the zoo. He is yet another schizophrenic resident that is undeniably transformed by the body of the building without organs.

Royal insists on trying to keep his position of authority to the very end until he is fatally wounded by Wilder, after which he climbs down the social ladder of the building to die at the 10th floor. The only one surviving at the end is not the richest, nor the poorest of the building. It is Laing who is the best to adapt to the conditions he is living in. Perhaps Laing is not the fittest as Wilder, nor is he the richest as Royal, but he is certainly the one who manages to truly adapt to the building by learning how to survive in a most dysfunctional environment. In Wagar's words, "Ballard does not preach resistance, if by resistance one means fighting in the arena of politics and economics to overthrow the capitalist system or the warfare state or

[3] Analyzing the name of the characters, Bradshaw and Brown pinpoint Royal as the ego, Wilder as the id and Laing as the ego which enables a psychoanalytic study of the novel (2018: 5).

neo-colonialism or sexism and racism" (1971: 65). The survival of Laing does not depend on resistance, or any belief in changing the system for the better, it depends on adaption. Laing finds freedom in learning how to become one with the abstract machine by remaining passive and managing to stay alive. To Davies, Laing is "equally adapted to the dynamics of the building at the beginning of the novel as at the end, and it comes as no surprise that in the final scene he is thinking of returning to work and refurbishing parts of the high-rise" (2017: 1758). Laing is the prototype of a new kind of human being: "A new social type was being created by the apartment building, a cool, unemotional personality impervious to the psychological pressures of high-rise life, with minimal needs for privacy, who thrived like an advanced species of machine in the neutral atmosphere" (Ballard 2012: 33). Despite being labelled as "neutral", the atmosphere of the building is clearly biased since it creates a new kind of species with Laing as its representative that embodies "a new alliance between perversion and capitalism" to use Davies's words (2017: 1758).

Deleuze and Guattari argue that "total war remains subordinated to State political aims and merely realizes the maximal conditions of the appropriation of the war machine by the State apparatus" (2005: 421). In the context of *High-Rise*, all residents of the building are under a total war that has no apparent cause apart from the ontological perversity of human beings. The underlying cause of this war seems to be a form of State which "undertakes its integrative and neutralizing role in a way that accords with what Deleuze and Guattari [...] have identified as the fundamental law of the State – war and the fear of war" (Surin 1991: 110). The war-machine status of High-Rise reveals a larger system of capitalist dynamics that force the residents out of their rationality. The air is constantly stale, the lights keep fading and it is hard to find food – none of the basic physiological needs in Maslow's hierarchy of needs are met in the building. It is almost as if the building is built in this manner on purpose in order to create a "worldwide war machine", which has "no other aim than itself", forcing individuals to live in a world of "the peace of Terror or Survival" (Deleuze & Guattari 2005: 421).

5. CONCLUSION

As the rest of the High-Rises are being built, they continue the legacy of the first High-Rise in the exact same chaotic manner which reveals that the most powerful entity that survives despite being severely attacked is the abstract machine itself that protects its own totality one way or the other. This machine is a product of such a formation of State that it keeps its residents under the constant fear of war and, in doing so, leads to schizophrenic symptoms in the novel's characters. Laing, who neither assumes the position of authority as Royal, nor tries to rebel against the system as Wilder, is left alive to prove that if one manages to adapt to the abstract machine, no matter how chaotic or oppressive things get, they will at least survive as part of the machine.

High-Rise is constructed to prove that humans without a state to discipline and punish them are bound to be lost. Studies referred to in this article frequently assert

that the ontological state of the human nature as an evil entity is responsible for the chaos that overruns the High-Rise. Nonetheless, the real evil behind the scenes is the formation of a State that builds the High-Rise in a manner that would drive its residents to violence in the first place. This entity is forever invisible and presumably stronger and richer than all the residents combined when it is considered that all the apartments are eventually sold. Much like the omnipresent narrator of the novel, this invisible bank of power even destroys agents such as Anthony Royal once the agent becomes visible as part of the machine. In the end, it can be understood that Royal, Laing and Wilder and all other residents are turned into organic articulations of the High-Rise as an abstract machine. In fact, the influence of the abstract machine of High-Rise is so important that it becomes clear how "[t]heir real opponent was not the hierarchy of residents in the heights far above them, but the image of the building in their own minds, the multiplying layers of concrete that anchored them to the floor" (Ballard 2012: 55). The evil nature of humans is depicted as the core of the problem while the consortium of architects and the investment used to design the building's operations remain hidden.

Deleuze and Guattari point out that "abstract machine refers to other abstract machines: not only because they are inseparably political, economic, scientific, artistic, ecological, cosmic – perceptive, affective, active, thinking, physical, and semiotic – but because they make their different types interweave as much as they make their functioning converge" (1984: 17). *High-Rise* refers to High-Rise since the external dynamics that have produced the novel are ultimately inseparable from that of the internal dynamics that create the chaotic conditions of the building. Ballard's fixation on "consumer-capitalism and the culture machine" (Wilson 2017: 2) transforms the fears of his times to the realities of his narration. Wilson argues that "[a]s with Deleuze and Guattari's desiring-machines, the tenants' breakdown is also a breakthrough to a new form of thinking and being" (2017: 95). Yet, this new form of thinking is without any humane logical or emotional foundation. These beings learn how to survive through murder, abuse and theft. The capitalist tendency to dissolve "all institutional stability (schizophrenia)" is revealed through the delirium of the residents (Hoa 2012: 79). *High-Rise* is complete with its "inherent tendency brought to fulfilment", with the exploration of psychopathology, "its surplus product", that is the illusionary abundance of the building while being marketed, "its proletariat", that is its lower floor residents and its "exterminating angel", Wilder (2012: 79). Stephenson argues that Ballard "warns us against succumbing to the pressures brought to bear upon us by our rational-technological environment and becoming 'like an advanced species of Machine' (35), and against the hazards inherent in a surrender to atavism as a desperate reaction to the sterility and dehumanization of our lives" (1991: 84). The danger, however, is not turning into machines. It is considering that the enemy is technology and the violent and the perverse means "attaining liberation" and "repossessing authentic being" (1991: 84). Beckman points out that the problem is to "free" people "from their specific spatiotemporal prisons" (2013: 280). The residents of High-Rise may seem like they are in their own prisons but destroying their prison through violence and justifying it by exploring the limits of humanity creates a false sense of freedom and an

unreasonable fear against technology. Despite being hailed as a novel that criticizes the capitalist system that devours its individuals, I conclude that *High-Rise* actually reinforces the main ideals of such a schizophrenic political, economic and social structure by focusing on the particulars and neglecting the entirety of the abstract machine that was designed by a late capitalist State.

REFERENCES

Ballard, J. G. 2012. *High-Rise*. New York: Liveright Publishing.

Ballard, J. G. and J. Lewis. 1991. "An Interview with J. G. Ballard". *Mississipi Review*, 20 (1/2): 27-40. <https://www.jstor.org/stable/20134507>. (Accessed 23 May 2022).

Beckman, F. 2013. "Chronopolitics". *Symplokē,* 21.1-2: 279-289.

Bradshaw, A. and S. Brown. 2018. "Up Rising: Rehabilitating J. G. Ballard's High-Rise with R. D. Laing and Lauren Berlant". *Environment and Planning D: Society and Space*, 36 (2): 1-19. https://doi.org/10.1177/0263775817748329

Butterfield, B. J. 1999. "Ethical Value and Negative Aesthetics: Reconsidering the Baudrillard-Ballard Connection". *PMLA*, 114 (1): 64-77. <https://www.jstor.org/stable/463427>. (Accessed 23 May 2022).

Cappon, D. 1971. "Mental Health in the High-Rise". *Canadian Journal of Public Health*, 62 (5): 426-31. <https://www.jstor.org/stable/41986998>. (Accessed 23 May 2022).

Caserio, R. L. 1988. "Mobility and Masochism: Christine Brooke-Rose and J. G. Ballard". *NOVEL: A Forum on Fiction,* 21 (2/3): 292-310.

Davies, J. 2017. "Transition, Abstraction and Perverse Concreteness in J.G. Ballard's *High-Rise*". *Textual Practice*, 32 (10): 1741-1761. https://doi.org/10.1080/0950236X.2017.1301546

Deleuze, G. and F. Guattari. 1984. "Concrete Rules and Abstract Machines". *SubStance* 13 (3/4): 7-19. <https://www.jstor.org/stable/3684771>. (Accessed 25 May 2022).

Deleuze, G. and F. Guattari. 2000 (1983). *Anti-Oedipus: Capitalism and Schizophrenia*. Minneapolis: University of Minnesota Press. Trans. Robert Hurley, Mark Seem, Helen R. Lane.

Deleuze, G. and F. Guattari. 2005 (1987). *A Thousand Plateaus: Capitalism and Schizophrenia*. London: Athlone Press. Trans. Brian Massumi.

Doxiadis, C. A. and D. Hill. 1972. "Inhuman High-Rise apartments". *Ekistics*, 33 (197): 296-299. <https://www.jstor.org/stable/43621711>. (Accessed 23 May 2022).

Gray, J. 2019. "J G Ballard and the Phenomenology of the Absence of Law". *Law and Humanities*, 13: 148-176. https://doi.org/10.1080/17521483.2019.1676522

Groes, S. 2012. "The Texture of Modernity in J. G. Ballard's *Crash*, *Concrete Island* and *High-Rise*". *J. G. Ballard: Visions and Revisions*. Eds. J. Baxter & R. Wymer. New York: Palgrave Macmillan. 123-141.

Fässler, R. "The Vertical Deconstruction of Public life: An Analysis of the Evolution of Chaos in a Lack of Public Spaces in J.G. Ballard's *High-Rise*". https://doi.org/10.13140/RG.2.2.32065.79202

Hatherley, O. 2016. "Crimes of the Retro-future: Historicising J. G. Ballard and Ben Wheatley's High-Rises". *Critical Quarterly*, 58 (1): 70-75. https://doi.org/10.1111/criq.12251

Hoa, J. H. B. 2012. "Pornographic Geometries: The Spectacle as Pathology and as Therapy in *The Atrocity Exhibition*". *J. G. Ballard: Visions and Revisions*. Eds. J. Baxter and R. Wymer. New York: Palgrave Macmillan. 71-87.

Massumi, B. 1996. *A User's Guide to Capitalism and Schizophrenia: Deviations from Deleuze and Guattari*. London: MIT.

Matthews, G. Winter 2013. "Consumerism's Endgame: Violence and Community in J.G. Ballard's Late Fiction". *Journal of Modern Literature*, 36 (2): 122-139.

Morgan, K. O. 2017. "Britain in the Seventies – Our Unfinest Hour?". *French Journal of British Studies*, 1-17. <https://journals.openedition.org/rfcb/1662>. (Accessed 21 September 2021).

Orr, L. June 2000. "The Utopian Disasters of J. G. Ballard". *CLA Journal*, 43 (4): 479-93. <https://www.jstor.org/stable/44325010>. (Accessed 23 May 2022).

Sellers, S. and D. O'Hara, eds. 2012. *Extreme Metaphors: Selected Interviews with J. G. Ballard, 1967-2008*. London: Fourth Estate.

Stephenson, G. 1991. *Out of the Night and into the Dream: A Thematic Study of the Fiction of J. G. Ballard*. New York: Greenwood.

Stoner, J. 2013. "High Optimism". *Cityscape*, 15 (3): 179-182. <https://www.jstor.org/stable/10.2307/26326840>. (Accessed 23 May 2022).

Surin, K. 1991. "The Undecidable and the Fugitive: "Mille Plateaux" and the State-form". *SubStance*, 20 (3), 66: 102-13.

Wagar, W. W. March 1991. "J. G. Ballard and the Transvaluation of Utopia". *Science Fiction Studies,* 18.1: 53-70.

Wilson, D. H. 2017. *J. G. Ballard*. Chicago: University of Illinois Press.

Wood, J. C. 2017. "'Going Mad Is Their Only Way of Staying Sane': Norbert Elias and the Civilized Violence of J. G. Ballard". *J. G. Ballard: Visions and Revisions*. Eds. J. Baxter & R. Wymer. New York: Palgrave Macmillan. 198-214.

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).

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).

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.

JES is published and distributed by:
Universidad de La Rioja - Servicio de Publicaciones
Calle Piscinas, 1
26004 LOGROÑO (España)
Tel.: (+34) 941 299 187 Fax: (+34) 941 299 193
E-mail: publicaciones@unirioja.es
http://publicaciones.unirioja.es

JES is available electronically at:
http://publicaciones.unirioja.es/revistas/jes
EISSN 1695-4300
E-mail: jes@unirioja.es

Indexation and Quality Analysis
Journal of English Studies is currently indexed in the following international databases and directories:

- A Bibliography of Literary Theory, Criticism and Philology
- Bibliography of European Journals for English Studies (BEJES, European Society for the Study of English, ESSE)
- Carhus Plus+ 2018
- Communication & Mass Media Index
- CIRC (EC3 Metrics)
- DIALNET
- Directory of Open Access Journals (DOAJ)
- ERIH Plus (European Science Foundation)
- LATINDEX (Directory and Selected Catalogue)
- Linguistics & language Behavior Abstracts (LLBA)
- MIAR (Information Matrix for the Analysis of Journals)
- MLA Modern Language Association Database
- Scopus (Elsevier)
- Scopus Journalmetrics
- Sello de calidad FECYT
- SJR (SCImago Journal & Country Rank)

Plagiarism Policy
Papers submitted to *Journal of English Studies* will be screened for plagiarism using *Safe Assign* plagiarism detection tool. *Journal of English Studies* will immediately reject papers leading to plagiarism or self-plagiarism.

FECYT-368/2023
Fecha de certificación: 12 de julio de 2019 (6ª convocatoria)
Válido hasta: 28 de julio de 2024

JOURNAL OF ENGLISH STUDIES

VOLUME 21 (2023)
ISSN 1695-4300

CONTENTS

UNIVERSIDAD DE LA RIOJA