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Special issue:

A Tribute to Professor Carmelo Cunchillos

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TABULA GRATULATORIA

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to
Professor Carmelo Cunchillos Jaime



On the occasion of his retirement

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EDITOR'S NOTE

When Professor Carmelo Cunchillos retired in 2006, his colleagues at the Modern Languages Department of the University of La Rioja considered this moment to be quite an appropriate occasion to honour his complete and wholehearted dedication to the promotion of English Studies in Spain and Europe.

This double volume of *Journal of English Studies*, which expands from the year 2005 to 2008, brings together the work of some of the most prestigious European scholars in the field of English Studies, who also happen to be some of Carmelo's best friends. In accordance with the journal's rules for publication, all the articles have passed through the usual process of anonymous peer review.

I would like to thank all the authors for their generosity, their patience and the undeniable quality of their contributions. I am convinced of the fact that personal friendship and academic prestige merge in this publication to honour a man we all love and respect.

TO CARMELO CUNCHILLOS, WITHOUT WHOM NOT

PEDRO SANTANA MARTÍNEZ

In this issue of *Journal of English Studies* his colleagues pay homage to Carmelo Cunchillos, *maestro y amigo*, to use the two Spanish words that best express what Carmelo has been and still is for so many. This homage in his retirement has adopted the form that is to be expected from the academic tribe: the offering and publication of the best results of their research, the fruits of their quest for knowledge.

Carmelo Cunchillos has taught English language and literature at the universities of Zaragoza and La Rioja for more than thirty years. He founded the Department of Modern Languages at the University of La Rioja and has contributed to the development of English Studies as a discipline in Spain not only as a professor and researcher but also – and specially in the 1990s – as an active member of the boards of the *Asociación Española de Estudios Anglo-norteamericanos* (AEDEAN) and of the *European Society for the Study of English* (ESSE).

If human creations are the result of the efforts of many, sometimes it is not difficult to tell a name among the others, to mention a person without whom things in our small part of the world would not have been what they are. The discipline of English Studies at the *Universidad de La Rioja* provides us with a good illustration of those particular occasions on which the main impulse of a collective enterprise is owed to one individual. For the essential momentum that produced the present reality of the discipline at this university and the fruits achieved by its practitioners owe much to Professor Carmelo Cunchillos. He was the first Head of the Department of Modern Languages, *Catedrático de Filología Inglesa*, an academic figure recognised by many colleagues of Europe and America.

However, one suspects that, once all the external details and data have been reviewed under the doubtful light of academic scrutiny, what finally counts is not the scientific and professional career such as it is reflected in biographies and *curricula vitae*. For there are aspects in a person's life that remain intangible to those who do not know him and that are almost impossible to express in words to those who know him well. Professor Cunchillos has always had much to give and to teach concerning this difficult chapter of the things that really count for he has been not only a teacher but also a friend of all the academics that initiated their careers under his example and tutorship.

For years Carmelo Cunchillos has taught English language and literature to both undergraduate and graduate students and, in doing so, he has done something more, something that reveals the true essence of this profession. Because it was not only the language and the literature that gives words their true value what Carmelo was able to teach, or, rather, to discover to his students: what he did was to show us the way in which literature permeates our lives, to prove that literature, its words and ideas are part of the stuff we are made of.

And there were more things in Carmelos's lessons. There is still the deep and true interest for the human side of science, which is precisely what a master must know how to transmit to their pupils.

Some were fortunate enough to enjoy Carmelo's teachings and writings, his way of presenting and questioning the works of the great authors, his way of making them our contemporaries, for literature is simply another word for naming the present time, this time which you, Carmelo, have enriched with your inspiring example.

MARGARET STORM JAMESON AND THE SPANISH CIVIL WAR: THE FIGHT FOR HUMAN VALUES

JENNIFER BIRKETT
University of Birmingham

ABSTRACT. *Spain is not generally thought of as a significant theme in Jameson's writing, or her political formation. But careful study of her life and writing discloses numerous connections to the country from the early 1930s onwards, and No Victory for the Soldier (1938), the novel she published under the pseudonym of James Hill, in the 1930s, closes with a lengthy section on the Spanish Civil War. The tragic heroism of the Republic at war provides the ideal context for Jameson's exploration of the capacity of modernist art, or rather, modernist artists (the Auden generation) to speak in the name of the future of the common man. Spain, and especially the Basque country, fighting the fascist war machine, is one of the last repositories of humane living and European values: reason, justice, humanity and decency.*

“Does this mean anything to you?” (Hill 1939: 341)

Through the mouth of Sergeant Derio, the Basque professor of philosophy waiting for the German and Italian bombs to fall on Bilbao, Storm Jameson expressed the hopes pinned on Spain and its revolution. Here was the last opportunity of seeing the values she nostalgically assigned to pre-industrial England enshrined in the making of modern, metropolitan Europe. As Derio tells John Knox, the musician helping to man the Republican field hospitals:

“Here we still cared more for human beings than for anything they can make or possess. All our values were human ones. [...] We knew – even those of us who lived in the city knew – many things about the earth and the sea. [...] A poor

man with us was as good as a man with money and a large house. We were free. We lived. We had a way of living; it has been the same for hundreds of years, but it was new every year. Every spring, every harvest. [...]" He looked angrily at Knox. "Does this mean anything to you?"

"Why did I come here?" Knox said softly. (Hill 1939: 341)

Spain is not generally thought of as a significant theme in Jameson's writing, or her political formation. Of European countries, France was for her a shrine of lost Englishness, and Czechoslovakia, the place of England's most shameful treachery. The novel which treats the Spanish Civil War in most detail, *No Victory for the Soldier* (1938), was not written in her own name, but under the pseudonym James Hill. This, it might be conjectured, was because the book was an experiment in form and content that was very different from the documentary fiction in which she had at last established her reputation in the 1930s. In political terms, it is harder to establish her motives. As she was writing the book, the consequences of English and French policies of non-interventionism in Europe were coming home to roost, and Hitler was reaching out to claim more of Europe's territories. In 1936, she had published *In the Second Year*, her dystopic vision of England in the aftermath of a fascist coup, and she may have been reluctant to advertise further, under her own name, Britain's weakness and the fascist sympathies of many in its establishment. She may have thought that the apparent rallying of another writer to the cause of resistance to fascism, in the name of popular democracy, would increase the impact of the message. She may have been reluctant to be seen in open sympathy with the Spanish Communists fighting against the rebels. This was certainly something she was reluctant to acknowledge in the Cold War years. In her autobiography, *Journey from the North*, composed in the early 1960s, all she says of *No Victory for the Soldier* is that it is "the story of John Knox from the day when, a Busoni of seven, he played in his first concert, to the day when he was killed in the Spanish civil war, and an effort at a portrait of the 1930s, with a great many characters and a great many scenes in England and Europe" (Jameson 1984a: I, 408). That summary also does little justice to the central preoccupation of the novel: Jameson's double commitment, as intellectual and socialist, to finding a form that will ally the energies of modern European cities to the deep-rooted knowledge and community spirit embedded in Europe's diverse landscapes. This form, she feels, will come from the perspective of common men and women, and express the desire to build a new kind of future, in their name.

James Hill's story expresses the longing of the liberal intellectuals of the 1930s to make a fresh start in the name of equality and justice, encompassing the death of the old world, and the Old Guard, without cutting all connections to the past.

It also charts their recognition of the futility of such ambitions, leading both to the necessary murder and the necessary failure. Such pessimism was always part of Jameson's vision: "There were moments when it seemed [...] that the whole tale of Europe might be compressed into one picture of a peasant dead across his own shattered threshold" (Jameson 1928: 290).

1. THE SOCIALIST ROAD TO EUROPE

The socialist enthusiasm that drove Jameson, from her schooldays at Scarborough Grammar School, was kept burning by a proximity to the lives of the poor that was not experienced by many women writers of her time. At University in Leeds, in the early 1910s, she had taken food to striking workers' families. As a young woman in her first marriage, with a feckless husband and a new baby, she herself lived in poverty in Liverpool Garden Suburb. Her novels are full of vignettes of the (usually) quiet desperation of lives lived on the edge of destitution. Her antagonism to fascism was driven equally by the challenge it posed to freedom of thought, and the damage it inflicted on the lives of ordinary people.

But she came from a generation that before the First World War was turned in on its own country's social and political concerns. It was in the early 1930s that events in Europe first began to preoccupy her, and from her autobiography, it appears that Central and Eastern Europe were then her primary concern. Certainly, the problems of Berlin were the first to become part of her own direct experience. In the Autumn of 1931, in Scarborough at the "dispiriting" Labour Party Conference following the catastrophic election of 27 October 1931, when Ramsay Macdonald and his National Coalition were returned to power with a landslide, she met Lilo Linke, from East Berlin, an ardent Social Democrat (Jameson 1984a: I, 270).¹ In the early months of 1932 (I, 266-282), Lilo accompanied Jameson and her second husband, the historian Guy Chapman, as they toured a Berlin in the throes of the election that put Hindenburg in power, and introduced them to her young Social Democrat and Communist activist friends. In 1933 came another dispiriting Labour Party conference, which brought home to Jameson the indifference of British Labour leaders to events on the Continent. In Hastings, sitting alongside the pacifist Philip Noel-Baker, and voting with him for workers'

1. Ramsay Macdonald's Government resigned 24th August 1931, after the Cabinet split on his proposal to balance the budget with a 10% cut in unemployment benefit. On 25th August, he formed a National Coalition Government, pushed through his budget, and with Philip Snowden and J. P. Thomas was subsequently expelled from the Labour Party.

control in factories, she watched Arthur Henderson turn away requests for help from beleaguered Trades Unionists in Berlin (I, 321-322).

From April 1932 to December 1933 she was reviewing, unpaid, for A. R. Orage's *New English Weekly*. Her widening perspectives will have been reinforced by an article by Philip Mairet, the advocate of European integration, published in June 1933, on *A League of Minds*, the first book produced by Paul Valéry's consortium, the International Institute of Intellectual Co-operation, sponsored by the League of Nations. This was a collection of essays by men of different political persuasions, all concerned to put the European cultural heritage at the service of society. Mairet, warmly approving, gave the impressive list of those involved: Valéry himself, Henri Focillon, Salvador de Madariaga, Miguel Ozorio de Almeyda, Alfonso Reyes, Einstein, Freud, and Gilbert Murray. He was not however impressed by the consortium's claim to be "non-political". Intellectuals in his view should "get a grip on reality", and he welcomed the dissenting voice of the Mexican Reyes, who spoke out for active participation in "the social unrest of our time", and argued that the League should be the context of that participation (Mairet 1933: 231-232).

Through the London PEN Centre, especially after her election to the PEN Executive Committee in October 1934, Jameson would meet Mairet frequently. She was already making her voice heard in PEN in defence of European colleagues, and for the development of the right kind of Europe. In January 1934, she began to deluge Hermon Ould (Jameson 1930-39) with letters urging him to mobilise PEN on behalf of the imprisoned left-wing writer and journalist Ludwig Renn, a vociferous opponent of Hitler, whose name had been raised at the May 1933 International PEN Congress in Dubrovnik, along with others such as Karl von Ossietzky, Erich Muehsam, Sigmund Freud, and Heinrich Mann.

2. THE ROAD TO SPAIN

From a distance, Jameson had already looked over into Spain. On holiday in France in the Spring of 1931, she was with her son Bill in the Basque region of France, visiting the flooded caves near Sare on the Spanish frontier. It was, she notes in her autobiography, the day after the abdication and flight of the King of Spain, and her dry comment on the peasant guide who shared his lunch with them makes clear where her sympathies lay:

As we ate it with him, he talked with sharp gaiety about the fall of kings.
"For me," he said, smiling, "they cannot drop off too quickly".

Lifting a hand the colour and texture of a ripe walnut, he wiped them off the end of his long Basque nose. (Jameson 1984a: I, 262)²

Her next recorded visit was another holiday. In March 1935, she went with her second husband, the historian Guy Chapman, to Tossa, on the Catalan coast north of Barcelona (I, 333-335). At that time, Tossa was still a small fishing port, unchanged since the Middle Ages, but already fashionable with English artists and writers. They were there for five weeks, from March to April, sharing the village with a handful of German refugees and a band of English female artists. There was just the one hotel, run by a Swiss and a German Jewish exile, a quiet headland, harbour, stony soil, empty streets, and the sea covered with fishing boats. Jameson records finding there the image that focused the theme of *In the Second Year*, the novel of English fascism that she had been meditating since hearing the American journalist Dorothy Thompson give an account of the Night of the Long Knives, Hitler's murderous despatch of his rivals. What she wanted to know was what motivated a dictator to kill the men who helped put him in his place. The unspoken homosexual tension binding together two Spaniards, caught in the lamplight at their table, both attachment and hostility, was the perfect emblem for the relationship she would explore between her English dictator and the soldier friend who brought him to power.

In her account in *Journey from the North* of these happy, creative weeks, there is no mention of the intense Republican and Communist activity for which, according to the pro-Franco poet Roy Campbell, the Catalan coast was notorious, nor the plethora of German Jewish refugees who had settled there, fleeing Hitler, or the British novelist who was, Campbell (1951: 318-319) said, "in the racket". She cut from the first draft of her typescript an anecdote about a visit from the writer Ralph Bates, a Communist Party member, who in James Hill's novel would feed into the figure of the British novelist, Turnbull, a gluttonous, arrogant womaniser who is also a loyal political commissar. Bates, according to the typescript (Jameson [n.d.]: 88), ate with them in their hotel, told them about the imminence of civil war, which would be, he said, a workers' war, and offered to find a use for her writing, as an independent voice outside the Party. He had been brought to the Chapman's flat the year before by Lilo Linke, one evening in 1934, to join Philip Jordan and Nye Bevan at dinner and enlighten them all about Spain: "It's the only country where the movement has kept its soul. Poverty and hard living

2. 14th April 1931, following the elections in which socialists and liberal Republicans won almost all the provincial capitals, Alcalá Zamora became President of the Republic and Alfonso XIII fled from Spain.

– that’s the secret. You won’t see any Labour leaders there stuffing themselves in the Ivy” (Jameson 1984a: I, 316).

On her return from Tossa, she wrote *In the Second Year*, and then completed *None Turn Back* (1936), the last volume of her trilogy on the 1920s and the collapse of the General Strike. Spain, though never mentioned in the first and only briefly referred to in the second, is an underlying inspiration in both texts. They may seem to be set uniquely in English perspectives, but the Spanish example is there to help trace the nature of emergent Fascist violence, and to show the forces ranged against revolutionary ideals. In *None Turn Back*, lessons learned in Spain have formed the understanding of Henry Smith, the labour organiser. He appears for the first time in *Love in Winter* (1935), briefly characterised as a survivor of Class 1914, who has spent four formative years after the war as a labourer, a lorry driver, and a waiter, in Spain and Germany, and bears witness to the brutal poverty of the slums of Barcelona and Hamburg (Jameson 1984b: 349). In *None Turn Back*, as he drives towards London to his work on the Strike Committee, a flash of memory, specific and detailed, links the resistant poor of Spain and England in a shared oppression, joining the prisons of Barcelona to the industrial landscape of the London suburbs:

[A] friend of his, a workman from a town near Barcelona, had all his toe- and finger-joints broken in the prison of Montjuich, one a day, to teach him not to be discontented with his lot. The sunlight of Barcelona quivered behind his eyes, blinding him, thrown back from the whiteness of the walls. His friend held out one of his maimed hands in the most curious way, as though it did not belong to him.

He came back to the tepid light and air of the West Road. A modern factory, as white as the house near the harbour in Barcelona in which he had lived then, but less dazzling, was on his right hand. Another near it was half built. They were both hideous, like a white leprosy on the once green fields of this part, just what you would expect a rich firm to put up in 1926, with no organ of taste and no instincts. (Jameson 1984c: 112)

Another personal connection with Spain developed in the mid-1930s. Two months after Jameson finished writing *None Turn Back*, in March 1936, Guy Chapman went out to Málaga, to spend five weeks with his old friend Sir Peter Chalmers Mitchell, a fellow-member of the Savile Club (Chapman 1975: 151-155). Chalmers Mitchell was an impressive, eccentric English character. During the First World War, he was attached to the department of military intelligence at the War Office. A biological scientist, he eventually became Secretary of the Zoological Society of London, up to his retirement in 1935, when he moved out to Málaga

to live in the villa Santa Lucia that he had bought in March 1933. Knighted in 1929, he was also a Fellow of the Royal Society, and he wrote journalism for the *Times*. From Chalmers Mitchell, an establishment figure with an ardent, non-party commitment to social justice that led many of his peers to dismiss him as a Communist, the Chapmans received first-hand accounts of events in Spain.

Chalmers Mitchell was already in the country when the Republican government took over in 1931. They were, he says, a respectable group of people, and he heard no talk of Bolshevism, Russian influence, or Spain “going red” (Chalmers Mitchell 1938: 27). He considered the Constitution passed at the end of 1931 to be a liberal one, “radical in its reforms but with no trace of communistic theory” (34). Everything he saw in 1932 indicated to him that the British press was not telling the truth about Spain. Civil order was being maintained, there was no suppression of the Church, and no burning of churches.

When Chapman was with him in 1936, Chalmers Mitchell saw no signs of disturbance, and the only intimation of what was to come in July came from the house of his wealthy, snobbish neighbours, the Bolins, who were busy bricking up their wooden gates and replacing them with a steel wicket (87). Chapman, a dyed-in-the-wool Tory, noted that in Málaga: “There was an on-and-off strike, and the walls were covered with the hammer and sickle. Even in the country, the filth was unbelievable.” On the drive out to spend a day in Ronda, they passed a group of peasants, “who raised their fists and shouted. Their village [...] was one of the most desolate and decrepit I had seen, even in southern Spain” (Chapman 1975: 153-154). Chalmers Mitchell stayed in Málaga as events unfolded, providing support for members of the British colony and a refuge for the ungrateful Bolins, and establishing good terms with the anarchist leaders, who, according to Chapman (164), “made a pet of him”. In October 1936 he published a letter in the *Times* describing the true state of affairs in Spain. He was in Málaga during the siege, at the beginning of 1937, and was arrested by the rebels along with Arthur Koestler, who was sheltering in his villa. He was quickly released, with the consul’s intervention, and evacuated back to England in a Royal Naval destroyer. He was made to sign the Official Secrets Act, and he was shocked and disappointed by the reactions of former British residents, who shunned him as a traitor. In *My House in Málaga*, referring, one assumes, to *In the Second Year*, he wrote of the pessimism about England’s future he now shared with his friend’s wife:

I fear that Margaret Storm Jameson was correct in her anticipation of a successful Fascist rising in England. All the ordinary ties of decency, friendship and even family relationship will disappear and those who do not accept the new order

with some pretence of enthusiastic acquiescence must be prepared for a sadistic violence. (Chalmers Mitchell 1938: 308)

On 5th March 1937, Jameson wrote to her friend Hilary Newitt Brown:

Guy's friend Peter Chalmers Mitchell is back from Malaga, having been saved from shooting at the last minute. He can't talk, because they'll shoot his servants if he does, but he is privately full of bitterness and stories of the usual Fascist foul conduct. Malaga was taken by the Italians, of course. The Spaniards didn't arrive until the next day. France next, I suppose. Someone, I think Mitchell, said in four months. (Jameson 2007: 170)

The same letter refers to the return of Guy's friend, the journalist Philip Jordan, from Spain: "Guy saw him for a minute, and says he is very gloomy – about the disorganisation, lack of control, and the imminent food shortage – there is an arms shortage too, of course. He's coming down here soon and I'll get more news".

In September 1937, Chapman went out to stay with Chalmers Mitchell again, to help him drive to the Pyrenees, where he wanted to talk to Ramón Sender, whose novels he was translating (Jameson 1984a: I, 358; Chapman 1975: 164-168). Chalmers Mitchell was writing his autobiography at the time, Chapman records, and although Chapman gives no details of their conversations on events in Spain, it can be assumed that much was said, not least during the five days in Pau they spent with Sender.

Jameson's next contact with Spain came through her work with PEN (the international association of Poets, Essayists and Novelists) on behalf of the refugee writers fleeing Hitler. By this time, she was President of the London PEN Centre, and working with the PEN Secretary, Hermon Ould, to organise permits and funding. On 22nd February 1939 (London PEN Centre: 1937-43), the London Executive Committee noted an appeal from a Monsieur Obiols, sent from Toulouse, who was accompanied by thirty-one members of the Catalan Centre in flight. Ould was delegated to go to Paris and interview any who had already arrived there, and plans were made to raise funds for them. A Catalan Centre in Exile was established in London, under the leadership of Josep Batista I Roca and Carles Pi Sunyer, and there were many opportunities for collaboration. At the PEN International Congress of September 1941, on "Literature and the World after the War", the two Catalan representatives were to speak out for the common European values the conference aimed to promulgate: a common heritage, shared intellectual values, and the ideal of the free mind. They defended nationalism, and the richness brought to the European community by national variations, but nevertheless argued passionately for that community of culture in which, they said,

individual national differences could flourish (“Nationalism and internationalism are not incompatible: each is the complement and mainstay of the other” [Batista I Roca and Pi Sunyer 1942: 122]).

Not until the Second World War was over did Jameson give any prominence to Spain in her own writing. *The Green Man* (1952), her epic narrative of the reconstruction of English values in the twentieth century, returns to Tossa to understand what Spain meant to the politically innocent young Englishmen who went out there in the early 1930s, seeking pleasure and finding a whole new world of difference. The hotel is the same as she describes in her autobiography, with the same inhabitants. In the late Spring of 1935, Andrew, the son of the English manor, and his friend Robert, both members of Auden’s generation at Oxford, learn for the first time what living really means, and what it can cost:

A hard simple sensual happiness of warm sand after cold battering waves, the scent of herbs and wood smoke, the scorching light, the darkness and its chorus of cicadas and frogs. They lived, completely content, in their bodies – it was as if, in this light, bodies became porous to the least vibration of the air.

There were other vibrations here – of poverty and anger. They got those clearly enough. A selfish instinct turned both young men away from them. Time enough for that. (Jameson 1952: 168-169)

They may be reluctant to acknowledge that the wrongs, and the conflicts here, are theirs as much as the life of body in landscape, but the lines are already being drawn:

A sun-blackened fisherman asked Robert abruptly if it was true that England and Germany were allies. “No, a lie,” Robert said.

“A good thing,” the Catalan said drily. (169).

There is a great deal here of that “Spanish myth – or metaphor” which Jameson had identified and admired in the short stories of Ralph Bates, “in which even before the civil war, before Guernica, Spain began to be identified with contempt for luxury and death, and the instinct to revolt” (Jameson 1984a: I, 316). But there is also something more serious: an admission of England’s guilt towards Spain, for the failure to stand together with the Republic for the values both claimed to uphold. Young Robert’s vehemence atones for his elders’ treachery, and the narrative will shortly record his return to Spain to fly planes against Franco. Andrew, like Jameson, let what was happening in Spain slip to the edge of his awareness. There is here a sense of personal guilt. On 15th April 1937 Jameson had closed another letter to Hilary Newitt Brown with the bald declaration that “I am against

valuable people getting themselves killed in Spain. There will be a fiercer fight here than even that is being – and they will be missed” (Jameson 2007: 173).

The story brings the two friends together again as England waits for her own war, against Hitler, to be declared. Writing in the early 1950s, in the Cold War, Jameson (1952: 222), through Robert, denounces Spanish Communists for betraying and torturing socialists, with the same vehemence as she attacks capitalism, and “the brutes who destroyed Guernika” (Jameson had seen Picasso’s painting in Paris in 1938). Yet Robert emerges from his Spanish experience with the conviction that “the barbarians – fascists, communists, what you like – defeat themselves” and “one thing a war does for you – persuades you that human beings are decent” (223).

3. NO VICTORY FOR THE SOLDIER

If Jameson said little about Spain in her own name, James Hill had a great deal to say about what the country’s struggles meant for modern Europe, and what roles artists and intellectuals had to play there, in the struggle against fascism.

The novel has direct relevance to Jameson’s own concerns, personal and political, as well as aesthetic, though the experiences and feelings it explores are represented at several removes. Politically, the novel resonates with her concern about Czechoslovakia. It was finished in August/September 1938, just after the Munich crisis and Chamberlain’s abandonment of the Czechs, and shortly before Hitler entered Prague. It is full of Jameson’s desire to atone for her government’s derelictions, and her desperate faith in the transformations individuals might yet bring to a world disappearing under a rain of fascist bombs. Aesthetically, the tragic heroism of the Spanish Civil War provides the ideal context for her exploration of the capacity of modernist art, or rather, modernist artists (the Auden generation) to speak in the name of the future of the common man (Birkett 2007). The bullet that cut short Knox’s career, and ended his chances of producing the brilliant and original music of which he knew himself capable, foreshadowed the bullets of the coming world war, in which the need for practical action put a stop to Jameson’s own most radical experiments in fictional form.

The novel was well received. It was singled out for special commendation by the *Times*, the *Observer* and other leading papers. On the dust-jacket of the American edition, Wilfred Gibson was quoted from the *Manchester Guardian*, writing in praise of “a surprisingly accomplished first novel”; the *Times Literary Supplement* had described it as “Vivid, modern, told with such peculiar and compelling force”, and the *Times* had praised its filmic quality (“It has the quick

portraits, the brief informative scenes, and the rapid dialogue one finds with pleasure in such a film as *Remous*). These were techniques Jameson had already begun to experiment with in her trilogy on the 1920s, and the “well contrived irony” praised by John Brophy in *Time and Tide*, was her trademark. But no-one suspected her authorship. Women, after all, were not expected to write about the noise and the emotions of the battlefield, any more than they would understand the forms and ambitions of cutting-edge modernism.

John Knox, the virtuoso musician and composer, is desperate to make it new (“[W]e’re living in 1927, after all”), but as he tells his American journalist friend, Andrew, audiences have no desire to hear a different sound: “[W]hat they really would like is the same old sermons, so that they can go to sleep and not think” (Hill 1939: 126).

In his early youth, he has had one glimpse, in Spain, of a sharply-contoured landscape whose absoluteness for truth matched his own ambitions. A month’s holiday in Spain with Andrew, in the Spring of 1923, generates images of unfamiliar, intensely contrasting, scraping harmonies, a closeness to raw truth in which he feels completely at home:

From the first day there he seemed to be walking about his own mind. He recognised towns, harbours, mountains, of a region he had not seen until now. They could have been his thoughts, reshaped in stone or barren ground. There was a peasant dragging a harrow across a field no larger than a small room; there were burning noons; a sky as empty as a skull, as wide as death; stony hills clothed with thyme and lavender; icy dusks made deaf by cicadas; a wind rasping the teeth: and these were a climate he knew already. He felt extraordinarily alert and well. (98)

But the need to learn his trade, and make a living, assigns his life for the most part to the great cities of Europe. He makes his reputation in Europe, struggling to find a form for metropolitan reality. He watches the encroachments of Germany and the spread of Nazi values, and makes his own individual acts of resistance to the tide, defending the poor men he meets, especially poor Jews, and finally deciding that he would be prepared to fight German fascism in defence of France. His great opera for the common man, *The Night of Sancho Panza*, gives form to his intuitions of the war that will come, in which working people will finally rise against the armies of capital. Tellingly, the figure that for him embodies the oppressed working man is Spanish, simultaneously the representative of the modern proletariat and one of the great archetypes of European culture:

[W]hat came to him when he saw Sancho Panza in a dark street in Bordeaux, Private Sancho Panza, 291108 Panza, the poor bloody infantry, O, O, O, it's a lovely war, what price peace, no hands wanted, no-bloody-thing which ever way, was first and most sharply a sense of danger. It gave him the last two scenes of Act III, which, later, the critics labelled "prophetic". So they are. But does any ass think that Knox was prophesying a war in Spain? If he had the future in his ears it was a future to which war in Spain is only the anteroom and dumb show, like the dumb show of these scenes – the conspirators, factory owner, politician, recruiting sergeant, whispering head to head in the thick black shadow thrown across the square by the church, Sancho listening bewildered, and at last, at last, remembering whereabouts under the mud floor of his room he had hidden the night's long rusty spear. (246-247)

But it is not a directly political impulse that takes him to Spain, but his own experiences of loss and failure; he is looking for renewal through anonymity and action (270).

Commitment to action will bring him the insights that will enable him to give body in his music to the form of reality lived by ordinary people, and their sufferings and desires. This war is a place where the highest ambitions of threatened European culture could yet be retrieved. In a hospital, Knox meets a dying Republican soldier, a German Jew, a former musician thrown out of his orchestra in Berlin. The man is consumed with anxiety for the safety of a newly-discovered 16th-century manuscript of lute music, rotting in the cellars of a house under bombardment; Captain Salvador, the Communist Republican who fights on under intolerable pressure, attempting to train officers and organise an army without modern weapons, tools, infrastructure and organization, goes without hesitation to rescue it.

The last quarter of James Hill's book is devoted to Knox's journey through the Civil War. At the beginning of July, he drives to San Rafael with Andrew, who wants to check the rumours that something serious is about to happen to the Liberal government. When the uprising begins in Morocco, they move to Madrid, and Knox drives Andrew to make notes on the fighting behind the town of Guadarrama. To his own surprise, he asks a chance-met staff officer for a job driving an ambulance, and his initiation begins.

The form of Jameson's account mirrors the fragmentary nature of the front. The scene shifts rapidly, over a mixture of vignettes and cameos, brief encounters on and around the battlefield, across roads, fields and hillsides, or in the crumbling buildings of cities shaken by bombs. The language is simple, clinical and vivid, objectifying emotion through accounts of action and perception,

interspersed with short, sharp dialogue, and dissecting with orderly precision the nightmare relationships between men and the landscape in which their history is written. The nearest model is the stylised realism of Stendhal, or Flaubert, taking his scalpel to his own heart. Knox drives up to establish a first-aid station in the countryside around a Madrid under siege, into confusion shot through with flashes of clarity, a nightmare narrated as bald normality. Here human suffering is one with the landscape:

The heat and the smell made him dizzy and whenever he had time he crawled a little way along the embankment, keeping in the ditch. He noticed the sharpness everything had in the sun, hills, olives, the features of wounded men. The first enemy airplanes came over in the afternoon. They dropped bombs around the bridge and along the line. An orderly was killed and another badly wounded.

“Ours will come next,” the doctor said. (283)

The bombing of Madrid, starting with the workers’ quarters, is documented with the same stripped-down detail and carefully-rhythmed syntax, and in the same matter-of-fact tones:

The streets here were narrow, the houses old and crowded with families, so that one bomb did more damage and the property destroyed was worth very little anyway. One day they killed thirteen children, and on another three hundred and nine, and there were funerals of children every day during this time. The big bombers were white in colour, the right colour for the funerals of children. (295)

The lines of men streaming on their different purposes across the countryside are choreographed with ruthless simplicity. As the rebels draw closer to Madrid, “Various highly placed persons found it necessary to leave for Valencia next morning on errands suddenly invented. As they left Madrid by the east other men, mostly in boiler suits, many of them without a rifle, were tramping out of the city in another direction (...)” (286).

Expressionist play with light and dark fixes the tragedy enacted in these processions. Driving out to collect the wounded, through deserted streets raked by artillery fire, Knox passes the silent columns of more men going out to fight, “their shadows falling sharply in the November sunlight beyond the shadow of the wall” (290).

Other tragedies, less elegiac, are harder to represent. A soldier from a village near Lorca describes how he and other young men, leaving for the front, first shot all the men of the only wealthy family, to prevent betrayals. Afterwards, they calmed the women and children, took away the bodies and washed down the

yard. Knox muses that the last detail makes the story bearable: “Men are still human when they can remember certain things” (307).

Knox is forced by illness to leave Madrid, but is determined to return to Spain, whose high, flat landscapes, raked by the extreme forces of nature, are the raw material from which he can compose his new music, “more precise, more taciturn and more common” (331). He goes back to work with the Basques in Bilbao, as secretary and assistant to Aronategui, a captain of the Sanidad Militar, and in this beleaguered and marginalised people, humane, reasonable, courageous and decent, he finds the last repository of Spanish and European values (338).

Knox came to Spain in search of knowledge: “Suffering is a fact. It may be the ultimate fact – existence itself. . . . [...] What I want is to know the *fact*. I need to live it so that I can report on it afterwards” (291). In the Basque country, suffering is absolute. Driving back from the front line, Knox is bombed by Heinkels, and takes refuge in a bomb hole. Two miles further on, he comes across a peasant standing by a smashed cart at the side of the road, dazed by the loss of all he has, but accepting his loss as part of life “as much as the sun, the fields, his body” (342). Such serenity, accepting loss and continuing, by-passing despair, is the inspiration for the new music Knox now begins to conceive: an opera with the proportions of the great medieval cathedrals, anonymous in its origins, all-inclusive in the community of persons and interests it will reach out and create (346-347).

Knox’s vision is rhetorically wild. Its grandiosity carries Jameson’s implied critique of the artist’s hubristic ambition, and the callousness to others’ pain that is a necessary part of the creative process. Ironically, the more clearly Knox can formulate his vision, the more impossible its realisation becomes. Aronategui comes to him to report more air-raids, and to acknowledge that the consequences of political inaction, in Spain and abroad, are finally irrevocable, thanks to the foot-dragging of the Communists in Valencia and the non-interventionist policies of the English government (347). A letter arrives from Andrew, telling him that *The Night of Sancho Panza* is to be staged in London in 1938. But the message of the opera will arrive too late. The same letter attacks the British government for its slowness in taking in the Basque child refugees, its reluctance to accept more than four thousand, and its insistence on charging with interest (32.5 per cent a year, Andrew calculates) for the cost of equipping the Basque camp (Hill 1939: 353; and see *Basque Children* [n.d.]). The gap between the artist’s ability to find the right forms to communicate his meaning, and the potential for his work to make a real political difference, is unbridgeable.

German planes machine-gun the streets of a starving Bilbao, and a stream of refugees pours out onto the river. The exhausted Knox feels the forms of his

music at last coming through, and is ready to go away and create his great, world-transforming message of the vivifying strength of the common man. But he has stayed too long inside the reality he wanted to report. He is accosted in the streets of the dark town, shot by an excited anarchist, and left for dead. In a tense and elegiac final sequence, he is driven away by his young American friend, Bill Hedley, along a road streaming with militiamen (“the road was dark with them and the dust they raised”), himself now part of the human procession. He draws his last breath in front of a farm house, twenty miles away from Bilbao, in Hedley’s arms. His last perception is of that essence of human suffering that it was his ambition to capture in his music: the grief of the human condition, in which he is at last both observer and participant. It’s a grief that is both personal and universal, a particular moment of historical loss (the fall of Bilbao) and the loss everyone experiences (home and mother), all shot through with the fury of humanity at the injustice of the universe:

He saw Bill’s face – he was crying. Some odd duality of sense made him hear the grief he could only just see; it was a phrase of four low notes. Something must have happened to Mike, he thought. He wanted to ask him whether that was it, or whether he was crying because Bilbao had been lost. His sight sharpened suddenly. He saw Bill, looking angry now, the tears running over his cheeks, and behind him the white wall of a house and a woman’s black knitted shawl. (Hill 1939: 363)

Knox’s story is intensely ironic. The artist in search for new forms to represent the new realities of his generation must himself experience those realities; but the experience will destroy him, and the ideal work of art will never be realised. The most that can be achieved are figures of knowledge, and sharpened perception: tears on a human face, the desire to know why, and the images of lost home.

On 5th November 1938, Jameson (2007: 183-184) wrote to Hilary Newitt Brown of her feelings as she emerged from the “stunned misery” of Munich. Some of her friends were completely defeatist, but others shared “my own feeling of half-exhilaration”, and her notion that “maybe it is the beginning of the beginning”. Yet the situation was dire. She was working through PEN to get the German and Austrian refugees out of Prague, against a resistant Home Office, and wracked with anxiety for “the ocean of threatened people, Jews, socialists, social democrats, communists”. France was in “the most awful mess”, and the arch-appeaser threatened Britain’s future: “Chamberlain will probably defeat us all”. As for Spain:

Spain is on the mat now. Even before you get this, some filthy game will have come clear into the open. I’d like to have the writing of the history of this period

in about fifty years time. If there is any one left to write any history or anyone able to read it.

James Hill had just published a first stab at writing that history. He hadn't stunted his denunciations of the filthy games that had brought about Spain's destruction and prepared the way for the shabby mess through which Europe was now picking its way. But equally, he had set out what Spain had been fighting for, and what the artist Knox had come to defend: clarity of vision, compassion and resistance. That understanding, perhaps, lay behind the exhilaration sustaining Jameson after the most recent capitulations. In Derio's words: "Here we still cared more for human beings than for anything they can make or possess. All our values were human ones" (Hill 1939: 341).

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CORMAC MCCARTHY'S GROTESQUE ALLEGORY IN *BLOOD MERIDIAN*¹

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ABSTRACT. *Cormac McCarthy's Blood Meridian (1985) is one of the major literary works of the twentieth-century. It is an opaque text whose interpretation poses great challenges to the critic. McCarthy deploys a complex narrative strategy which revisits the literary tradition, both American and European, in a collage of genres and modes, from the Puritan sermon to the picaresque, in which the grotesque plays a central role. One of the most controversial aspects of the novel is its religious scope, and criticism seems to be divided between those who find in the novel a theological dimension and those who reject such approach, on the grounds that the nihilist discourse is incompatible with any religious message. This essay argues that McCarthy has consciously constructed, or rather deconstructed, an allegorical narrative whose ultimate aim is to subvert the allegory, with its pattern of temptation-resistance and eventual salvation, into a story of irremediable failure.*

Cormac McCarthy's *Blood Meridian* (1985) recreates a universe governed by the violence of chaos, a world still on the make, emerging from the collision of the primeval elements: water (or its absence), earth, air, and fire. The landscape is wilderness or desert, and humans play a secondary role in the great farcical (tragic) comedy of life. Man is just another creature striving for survival, a humble member of the bestiary that populates the novel. In the waterless wastelands of the Southwest the only liquid that abounds is blood, blood that mixes with dust, making the clay out of which the new human being is modelled. This novel seems to take humankind

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back to the Middle Ages (and even earlier, to prehistoric times, that is, to a pre-civilized world), in what represents an explicit indication of the grotesque vocation of the text, since medieval art is a supreme example of the mode. Moreover, *Blood Meridian* uses narrative forms that were dominant in medieval and renaissance literature, such as the epic narrative, the sermon, the parable, the moral tale and the spiritual (auto) biography, and central to the discussion in this essay, the allegorical journey. Also, it shares some features with the picaresque tradition. And of course, it includes many of the generic elements of the Western. In this respect, the text is a true hybrid of genres and languages. Besides English and Spanish, references abound, for example, to Latin, as well as to other “barbarous” and “extinct” languages that greatly contribute to the polyphonic orchestration of the text.²

Blood Meridian is a subverted or carnivalized bildungsroman with picaresque and allegorical undertones. In this sense, the kid’s life can be read as an extended religious pilgrimage, a dimension of the novel that has not been studied sufficiently, despite the many elements in the text that support such reading. The kid is a displaced Southerner (as the novel is in a sense a transplantation of the Southern literary tradition), who grows into maturity along the road, a subversion of the Huck Finn archetype, for he is a rogue or *pícaro* whose only means for survival is not wit but violence. His experience is articulated explicitly in religious terms, to the extent that the text turns into an allegory in which the kid becomes a modern Everyman, though of a peculiar nature. Some critics have pointed out McCarthy’s tendency to the allegory. Thus, for example, Vereen Bell (2002: 39) states: “McCarthy’s narratives always seem to verge upon, without ever moving wholly into, allegory: everything is potentially meaningful (even puking)”. Criticism seems to be divided between those who find in the novel a theological dimension and those who reject such approach, on the grounds that the nihilist discourse is incompatible with any religious message.³ Whatever the ultimate

2. Dana Philips (1996: 451) points out the wealth of discursive referents that are encompassed in the novel: “With imperturbable calm, it speaks the words of the nineteenth and twentieth-century narratives and the masterworks it rewrites (Melville, but Dostoevski, Conrad, Hemingway, and Faulkner, too), as well as the words of natural history and material history. [...] It speaks “Mexican.” It draws upon the occult and other esoteric matters. It conflates the Old Testament with the Western. It does all this as if these texts, discourses, foreign tongues, disciplines, scriptures, and literatures all formed a single language. Which they do, at least in this book”.

3. See E. T. Arnold (1999: 66, footnotes 2 and 3) for various critics who align themselves in either of the two schools. Elsewhere, Arnold (1994: 15) comments about McCarthy’s concerns with theological issues: “Starting with *Blood Meridian* (and including his play *The Stonemason*), McCarthy’s writings have become increasingly solemn, his style more stately, his concerns more overtly theological. The world is a wild place in McCarthy’s fiction, and its God a wild and often savage and mostly unknowable God, but a God whose presence constantly beckons”.

message may be, McCarthy gives in this novel enough textual indicators to suggest, or at least allow for, a reading in such terms, even though the conclusion might not lead to what readers would expect from an allegorical narrative. As opposed to Bell's appreciation, I think in *Blood Meridian* McCarthy *does* move wholly into allegory, albeit unconventional, and so I aim to argue in this essay.

The kid's migration takes him from the "flat and pastoral landscape" (McCarthy 1985: 4) of the South to a gothic and nightmarish territory which increasingly becomes more and more grotesque, a surreal frontier land where he undergoes a true metamorphosis. This displacement from the South to the Southwest is quite relevant to the novel and to McCarthy's poetics. It signals the symbolic passage of the Southern literary tradition to the new American South, as the Southwest will be after the 1848 signature of the Guadalupe-Hidalgo Treaty, which provides the historical background of *Blood Meridian*. The son of a drunkard schoolteacher, the kid is however completely illiterate, in what represents a step back in civilization and a preparation for a new kind of literacy. As in the canonical allegory, the protagonist's name becomes a representation of a whole human class, a type (or archetype) that stands for a category of being, much like Everyman, or Christian, or closer to our times, Young Goodman Brown. He is the vehicle for the *exemplum* that the subsequent narrative conveys, as the narrator makes clear in the opening lines of the novel: "See the child. He is pale and thin. He wears a thin and ragged linen shirt" (3). Like the archetypal pilgrim, at the age of fourteen the kid leaves behind the world that he has known since his birth, and sets out on a journey that will lead into "terrains so wild and barbarous to try whether the stuff of creation may be shaped to man's will or whether his own heart is not another kind of clay" (4). On the boat that will take him to Texas after recovering from the shot he has received on the back, the kid is already identified by the narrator as a "pilgrim among others" (5). And once on shore, he faces his first temptation from "whores [who] call at him from the dark like souls in want" (5). Throughout the novel the reader is confronted with numerous pilgrims of different guises, so much so that the text is turned into a modern pilgrimage narrative highly evocative of such medieval works as *The Canterbury Tales*, even if with a much bleaker tone.

Early in his journey, which will last for 30 years, the boy undergoes a "baptismal experience" that prepares him for his long pilgrimage: "he waded out into the river like some wholly wretched baptismal candidate" (27). This baptism will indeed take place, but years later, when the kid is about to be hanged and a Catholic father administers him the ritual cleansing of the soul: "A Spanish priest had come to baptize him and had flung water at him through the bars like a priest casting out spirits" (308). In this sense, the kid's lifelong experience can be read as a preparation

for that final baptism which turns him into a Christian, even if involuntarily. Ever after, the kid will carry along a Bible, “[a] book [...] no word of which he could read,” that he finds at the mining camps. His physical appearance has been transformed too, and is even mistaken for a preacher by the populace (312), in a passage with strong echoes from Flannery O’Connor’s *Wise Blood* (1952), for the kid, like Hazel Motes in that novel, is confused with a religious minister, in still another intertextual complicity in a book that abounds in them. That McCarthy belongs in O’Connor’s school has often been argued by criticism, and in a way the kid becomes Hazel’s counterpart, their journeys acquiring striking resemblances, especially in their penchant for violence and their incapacity to establish lasting bonds, affective or otherwise, with other human beings. Both McCarthy and O’Connor articulate their fictional world through an aesthetics of the grotesque with an undeniable religious import, and the fictional universe they both recreate in these texts is populated by similar deformed beings who inhabit a world of platonic shadows. Perhaps, the presence of “blood” in both titles is not sheer coincidence after all. Tim Parrish (2002: 65) has convincingly argued that both O’Connor and McCarthy belong to the “essential American soul” pointed out by D. H. Lawrence’s famous statement, which qualifies that soul as “hard, isolate, stoic and a killer”. For Parrish (2002: 67), “murder is an American expression of the sacred” and thus hints at a lineage between Hazel Motes and the kid, without developing the argument. I would argue that both characters bear as close a relationship as the kid does with Huckleberry Finn, another lineage that Parrish, like many other exegetes of *Blood Meridian*, does not fail to establish. Both Motes and the kid emerge as unconscious representatives of the “new prophet” whose gospel of violence and individualism articulates the new scriptures by which society is to make sense of life and the world.

The episode of the Bible is crucial in the overall allegorical pattern in *Blood Meridian*. At this point, the kid becomes the impersonation, or better, the subverted or mirror-image of Mary Rowlandson during her captivity among the Indians in the New England wilderness. This intertextual link sheds a very illuminating light on *Blood Meridian*, since through it McCarthy’s novel incorporates itself in what is probably the oldest narrative tradition in the American colonies, that of the Puritan captivity narrative. In one of the most intriguing passages in Rowlandson’s account, the heroine comes into the possession of a Bible in a very unlikely way, since it is given to her by an Indian, or so she wants the reader to believe. Whatever the circumstances, the fact is that ever since, the female captive, already defined in the narrative as the archetypal Christian facing the dangers of the diabolical wilderness, possesses the Book which will help her to survive her trial and chastisement. Her experience of loss and penance suddenly acquires meaning, and the Bible will be the instrument to read her sufferings as a trial necessary for her ultimate redemption.

For the kid, on the other hand, the Bible will be apparently useless, insofar as he is unable to read from it, which does not prevent, however, his carrying it along everywhere he goes, like an amulet whose significance and power is barely grasped by the youngster. Again, this is part of the subversive strategy designed by McCarthy in his formulation of what I would term as “grotesque allegory” (or, alternatively, “allegory of the grotesque”), in which none of the sufferings, trials and chastisements experienced by the protagonist seems however to grant him salvation. I will return to this later.

The allegorical pattern of the narrative is articulated upon different encounters with diverse characters and situations, and each of these acquires a religious dimension in the overall pattern of the text. Like Christian, or Everyman, the kid sets out on a journey whose final destination is, however, unknown. And this is precisely one of the most subversive elements of the novel. The canonical allegory requires a progress from sin and temptation to redemption and sanctity. In the case of the kid, we do not learn what his final destination is, or even if he is alive or dead at the end of the narrative. We know for certain, however, that he finally falls prey to Judge Holden, in one of the most enigmatic closings of contemporary fiction.

The kid's first encounter with Judge Holden, a character with an overtly demoniac nature, takes place during a religious revival in which a reverend Green (and the allegorical undertones of his name should not be missed) is falsely accused of being a pederast by Holden, while we later learn that the judge is the true pervert who feels a morbid attraction for children. Within the allegorical economy of the text, this passage represents the first encounter of the youngster with the incarnation of evil, as Judge Holden proves to be. Ever after, the kid's life will be determined by the judge, that omnipresent being that turns up at every step in his pilgrimage, like a ludicrous demon always observant of the kid's progress.

In the early stages of his pilgrimage, before being recruited by captain White (again, a character that bears a name with obvious allegorical connotations), the kid is alone in his journey, turned into a “raggedyman wandered from some garden where he'd used to frighten birds” (15), who has to beg and steal for survival. Through this image, which identifies the young boy with a scarecrow, the narrator establishes the grotesque nature of the character, a creature that resembles in a comic and yet painful way a human being, and consequently his sufferings and predicaments are not to be taken too seriously by us readers, for we cannot truly identify him as one of us. As if guided by a superior will, the kid finds himself in the company of a hermit, an “old anchorite” who shares his humble food with him and lectures on the nature of evil, the first instance of what will become one of the central themes in the novel:

You can find meanness in the least of creatures, but when God made man the devil was at his elbow. A creature that can do anything. Make a machine. And a machine to make the machine. And evil that can run itself for a thousand years, no need to tend it. Do you believe that?

I don't know.

Believe that. (19)

This anchorite is the first of a long list of catechists and prophets that the kid meets along his pilgrimage. The fact that the anchorite comes from Mississippi, where he was "a slaver", helps to reinforce the vision of the Southwest as the continuation of the South, being like the kid a transplanted Southerner now exiled in the newly annexed territories, where he penances for his past sins.

The kid's next destination, or station, to use the conventional term in allegorical discourse, is the town of Bexar (nowadays San Antonio), a site of historical relevance (el Alamo, etc.) which for the kid will represent a turning point in his journey. The first thing the kid sees in this town is a phantasmagorical funeral procession (one of the many that appear in the novel) in which the living and the dead have the same appearance, an anticipation of the kind of life the boy will lead. After breaking a bottle on the head of a barman, the kid seeks refuge in the ruins of a church, as he will often do throughout the journey, where the faded frescoes are desecrated by the excrements of various animals. The old Spanish mission has become a dilapidated ruin that symbolizes the decay of the Catholic faith that once inspired the colonization of the Southwest, now fouled and profaned by the creed of Manifest Destiny. In Bexar the kid joins Captain White's doomed gang, and they ride to their next stop, Laredito, on their way to Mexico. In the twilight, this town is full of bats, an animal of demoniac undertones that is frequently found in the novel, and the air smells of burning charcoal. In a forgery, a man is beating metal. This vision is directly related to the nightmarish dream the kid will have about the judge while imprisoned in the San Diego jail, a scene that I will refer to in more detail later. Once established the allegorical dimension of the text, we can easily identify Laredito as the entrance to the underworld, or hell. It is here where an anonymous Mennonite foretells the kid and his companions a prophecy that will be soon verified by events: "The wrath of God lies sleeping. It was hid a million years before men were and only men have the power to wake it. Hell aint half full. Hear me. Ye carry war of a madman's making onto a foreign land. Ye'll wake more than the dogs" (40). From Laredito onwards, the journey enters a deadly territory where bones and carcasses abound, a surreal landscape that increasingly becomes more and more symbolic: "This looks like the high road to hell, said a man from the ranks" (45). It is a territory where men turn into a "ghost army [...] like shades of

figures erased upon a blackboard" (46). In this spiritual realm, "whose true geology was not stone but fear" (47), humans are deprived of their corporality, and become shadows of themselves. The clapping of thunder and the deafening lightning, like the vengeance of an angry God who has sent them to "some demon kingdom" (47), awakens in them the need for prayer. And rude and blasphemous as these men may be, the whole gang prays for salvation. The farther they go into the territory, the more deadly it looks: "death seemed to be the most prevalent feature of the landscape" (48). A territory that is only inhabited by half-wits and beasts, where the only remnants of a civilization now gone are the decaying villages and churches they find along the road.

The kid's first encounter with the Indians is one of the central scenes of the novel, since it is here where the grotesque is acknowledged as the architectural design of the text. This scene deserves close attention, for it is a turning point in the kid's pilgrimage, as well as the fulfilment of the prophecies foretold by the anchorite and the Mennonite. In the allegorical economy of the novel, this scene represents the kid's encounter with the hordes of evil, devastating and merciless. The Comanches are a "legion of horrors," "mongol hordes" howling in a "barbarous tongue" with faces "gaudy and grotesque" (52-53). The whole scene is a carnivalesque representation of "mounted clowns" and "funhouse figures" whose performance does not seek to elicit laughter but blood. In their vicious cruelty they do not hesitate even to sodomize their agonizing victims, an act that relates them to Judge Holden in a strange but meaningful way. The Indians also mutilate the corpses, turning their male victims into female cadavers, in a grotesque twist that vividly (and ironically) evokes Bakhtin's characterization of the grotesque body.⁴ This early scene of genital mutilation anticipates another passage, in which the reader is confronted with the remains of a party of "pilgrims" who have suffered a brutal attack: "Some by their beards were men but yet wore strange menstrual wounds between their legs and no man's parts for these had been cut away and hung dark and strange from their grinning mouths" (153).

The miraculous salvation from this early encounter with doom signals another step in the kid's peculiar progress. Again a wanderer in the desert, the kid meets

4. In his seminal study of Rabelais, Bakhtin characterizes the grotesque body as a body in which the "stress is laid on those parts [...] that are open to outside world, that is, the parts through which the world enters the body or emerges from it, or through which the body itself goes out to meet the world [...] a body in which emphasis is on the apertures or the convexities, or on various ramifications and offshoots: the open mouth, the genital organs, the breasts, the phallus, the potbelly, the nose" (Bakhtin 1984: 26).

Sproule, also a survivor from the massacre who is badly wounded, and they become companions in their exodus, pilgrims in the absurd landscape of dust and heat. The unnamed village they visit next is the kingdom of the buzzards, carrion birds that contemplate the wasted town from the roofs, “with their wings outstretched in attitudes of exhortation like *dark little bishops*” (59; emphasis mine). As in previous stages of his pilgrimage, the kid seeks refuge in a dilapidated church where there is a heap of half-rotten and mutilated bodies of Christians who uselessly sought protection “in this house of God against the heathen” now desecrated and looted. In their death, humans have become a single being sharing their “communal blood” (61), like a set of martyrs victim to the infidels.

Their next encounter is with a group of Mexican riders who behave strangely, some of them even hugging each other and weeping “shamelessly” like the Indians did when they first saw Cabeza de Vaca completely naked on the Texan shore after his shipwreck. And indeed, de Vaca stands as the kid’s ancestor, for he was the first “Christian pilgrim” in the wastelands of the Southwest. The Mexicans constitute a party of fools – “Loonies, said Sproule. They are loonies” (64) –, who however share their water with them, thus saving their lives. Again, the kid is rescued “miraculously” by anonymous assistants that provide him with nourishment along his pilgrimage, like angels sent by God to take care of the hero. Before departing, the kid is told a parable of biblical resonances that in a way describes the boy’s past and future experiences: “When the lamb is lost in the mountain [...] There is cry. Sometime come mother. Sometime the wolf” (65). In the darkness of the night, what comes after the lost lamb is a vampire bat which sucks Sproule’s blood like a creature from hell: “A wrinkled pug face, small and vicious, bare lips crimped in a horrible smile and teeth pale blue in the starlight” (66). One of the most disgusting scenes in the novel, this fiendish bat reinforces the demoniac nature of the territory.

Miraculously again, the castaways are met by a travelling family who take them to an unnamed town which seems to be a recreation of a grotesque painting by Hiëronymus Bosch or the elder Brueghels. Death and life cohabit in a festive atmosphere and everything appears as a great carnival: “There was a bazaar in progress. A traveling medicine show, a primitive circus [...] cages clogged with vipers, with great limegreen serpents or beaded lizards with their black mouths wet with venom” (69). There is even, like in the old post-medieval paintings, a “reedy old leper” selling medicines against worms, vendors of all kinds, and mendicants, and the whole scene is presided over by a human head preserved in a jar which happens to be captain White’s, “lately at war among the heathen” (70). The kid, as St. Peter did when Jesus was arrested, denies all connection with him:

"He ain't no kin to me" (70), but he is nonetheless imprisoned with the rest of the survivors from the party.

From this unknown town, the kid and his former companions are taken to Chihuahua; ragged and forlorn they look like "God's profoundest peons". After days of wandering through the wastelands of the desert, they finally get to the city, whose grotesque inhabitants seem once more to come from a Dutch painting. The jail in Chihuahua becomes a new circle of hell for the kid: a dark room full of half naked and ape-looking penitents of unknown sins. On the outside, a procession crosses the street "taking the host to some soul" composed of a banner, a coach with "an eye painted on the side" and a fat priest carrying an image. From the yard of the jail, the kid sees for the first time Glanton's gang, a party of Indian killers hired by the governor to fight the Apaches. The gang is a mixture of whites and Indians, a fearful party "like a visitation from some heathen land where they and others like them fed on human flesh" (78). The most conspicuous figure in the party is the judge, whose reappearance signals a pivotal point in the kid's pilgrimage. Judge Holden is a character that has attracted extensive critical attention, and has been interpreted variously as the "best theorizer of violence and its best practitioner", who understands "war as characterizing the universe's amoral design" (Douglass 2003: 15); as the carrier of the canons of Western rationality (Shaviro 1999: 149), or as the "nightmarish embodiment of the myths of colonial expansion" (Masters 1998: 25). For Dan Moos (2002: 28), the judge represents "the ideological skeleton of a new imperialist scientific world order sprouting from Enlightenment rationality and the firm establishment of capitalist principles as transcendent in American and European cultures". Many critics coincide in identifying in the figure of Judge Holden traits of the devil,⁵ and indeed there is enough textual evidence to support this interpretation. Like Satan, the judge possesses unlimited knowledge, is capable of speaking different languages and manages to turn Galton's gang into converts of the religion he preaches. All of them but the kid, who is now a member of the party, fall under the spell of Holden's sermons. Among the undifferentiated group only Tobin the ex-priest stands out, a character that reinforces the religious dimension of the text, becoming an interpreter of the events they are to experience, and especially the nature of Judge Holden.

In his speculations about the origin of the world, Judge Holden defies the biblical truths about the creation of the universe, and proposes a different ordering of the "ancient chaos". As opposed to the written word ("books lie"), Holden vindicates physical phenomena as the only source of knowledge about the earth,

5. See, for example, E. T. Arnold (1999: 62).

which is also the language of God: “he speaks in stones and trees, the bone of things” (116). His discourse is so convincing that the audience becomes “proselytes of the new order” only to face Holden’s laughing at them for fools. When night falls, the judge rapes and kills mercilessly a “Mexican or halfbreed boy maybe twelve years old” and is then seen “naked atop the walls, immense and pale in the revelations of lightning, striding the perimeter there and declaiming in the old epic mode” (118). This scene, which is a clear anticipation of the end of the story, reveals the true nature of Holden, a man who despises human life, a survivor in the wastelands who preaches a gospel of horror and blood.

If, as criticism recurrently observes, Judge Holden reminds us vividly of Melville’s Captain Ahab (for others, though, Glanton is the most Ahab-like character in the novel),⁶ I would argue that, rather than of Ishmael, the kid is evocative of Melville’s Israel Potter, for like this latter, his wanderings and sacrifices, his cunning and his courage, do not grant him either success or, we can assume, redemption. Both texts represent the reversal of the “rags-to-riches” story, or the failure of the American Dream, and obviously, the failure of the allegory as a viable vehicle to account for man’s providential destiny, as articulated by Judeo-Christian belief. And this is perhaps the greatest vacuum in which the reader is left by these two novels. Israel Potter is a wanderer in “the wild wilderness of the world’s extremest hardships and ills” (Melville 1984: 432), but as opposed to his biblical counterparts, he will not find a promised land at the end of his journey, pretty much the same as the kid, whose wanderings in the deserts of the Southwest will not grant him the salvation (mundane or celestial) that the heroes of older allegories would find at the end of their travelling. And thus, McCarthy follows Melville in his disbelief in any kind of providential or grand narrative that can set an example for readers to follow. Simply, there is no divine or poetic justice to reward those who strive hard enough in this world, especially if they are “maimed” by a feeling of generosity or sympathy toward other fellow creatures.

Counterpart to Judge Holden, Tobin, the ex-priest, plays a fundamental role as the kid’s spiritual guide. Tobin reveals to the young boy the existence of God, and advises him about the obscure nature of Holden, a man who has been seen by everybody once before, since, like the devil, he seems to have the capacity of appearing before every man, in either a seductive or a threatening form. Tobin’s sermon to the kid is a counterbalance to the judge’s always seductive words:

6. Steven Shaviro (1999: 150), for instance, refers to the Ahab-like quality of Glanton.

God speaks in the least of creatures [said Tobin].
I aint heard no voice he [the kid] said.
When it stops, said Tobin, you'll know you've heard it all your life.
Is that right?
Aye
[...]
At night, said Tobin, when the horses are grazing and the company is asleep,
who hears them grazing?
Don't nobody hear if they're asleep.
Aye. And if they cease their grazing who is it that wakes?
Every man.
Aye, said the ex-priest. Every man. (124)

Holden soon becomes the real leader of the gang, with whom he has made some "terrible covenant" that involves "a secret commerce" (126). From an allegorical perspective, this covenant may be read as a Faustian alliance with Lucifer. And there are many traits of Holden's diabolic nature, to the extent that he performs the role of a true antichrist. Like Jesus Christ, the judge has twelve apostles, "twelve and the judge thirteen" (127), followers of his new faith. The judge climbs the mountain, like a perverse Moses, watches the bats, and carefully makes notes in his little book. When he returns, he leads the gang to a cave, which we can easily identify as the "mouth of hell" of traditional Christian imagery.⁷ Before entering, the party leaves behind all their possessions: "We left all that we owned at the entrance of that cave and we filled our wallets and panniers and our mochilas with the cave dirt" (127). And it is here where the judge finds the nitre he needs to make powder. Like an alchemist, Holden will manage to provide the gang, after a meticulous process of preparation, with a powder of extraordinary power, an infernal substance for destruction and death. The judge delivers a speech, which "was like a sermon but it was no such sermon as any man of us had ever heard before" (129), and pronounces an oration whose purpose remains unknown for the ex-priest. After this ceremonial, the gang follows him "like the disciples of a new faith" (130), to be witness to a ritual of diabolic undertones, nitre

7. In his thoroughly documented study, *The Iconography of the Mouth of Hell* (1995), Gary D. Schmidt traces the origins of the image to the tenth-century Monastic Reform in Britain, from where it soon spread throughout Europe. From its early medieval origins to its twentieth-century appearances (in for example Flannery O'Connor's "A Good Man Is Hard to Find", which opens Schmidt's book), the essential meaning has remained unchanged: "To be swallowed by the gaping dark mouth is to be swallowed into death and hell" (Schmidt 1995: 14).

being mixed with sulphur and human urine, until a black and stinking dough is made by the judge, himself smeared by such substance, a true “devil’s batter” (132), while he laughs in full joy. After this black ritual the powder is ready and everyman receives his share “like communicants” (134).

In the aftermath of a deadly attack on the Gileños, the gang collects the scalps that are their receipt for payment and begin retreating from the Indians that pursue them. It is at this point when the kid shows for the first time sympathy toward another human being, and removes the arrow from Brown’s leg. An act of kindness which is however judged by the ex-priest as the act of a fool: “Fool, he said. God will not love ye forever” (162). In the economy of the allegory, this is a crucial step, since the kid is transformed and despite his former senseless violence he is now capable of performing an act of “goodness”, even if that represents a dangerous flaw in his personality. When they finally reach Chihuahua, they are welcomed as heroes returning from an epic war, and the city gets ready to celebrate their victory, the severed heads pinched on poles and the scalps strung in cords across the façade of the cathedral, “like decorations for some barbaric celebration” (168). They are invited for dinner by governor Angel Trias, a man “widely read in the classics and [...] a student of languages” like Judge Holden himself, with whom he soon falls into conversation in a tongue “none other in that room spoke at all” (169). The banquet, however, ends up in an orgy of alcohol and violence.

Tracked down by Elias’s Mexican army (and again, we find a name with powerful allegorical resonances), the gang is dissolved and the kid finds himself alone in the midst of a freezing snowstorm, a new trial that this subverted hero has to undergo in his peculiar pilgrimage. But once again, the kid is delivered “miraculously” of all danger, and like Moses (in a striking coincidence with Holden’s ascent to the mount), he finds a “lone tree burning in the desert” (215) which provides him with warmth and security, encircled by a whole bestiary of vipers and lizards and spiders, among many other creatures of the desert that watch the kid from outside the circle of light, like a horde of sins threatening the soul of a Christian. And like an Arthurian knight, the kid spends the night in vigil under the protection of a fire sent by God. The following day, he is delivered a horse by the same invisible hand that burnt the solitary tree in the desert, and the kid manages to ride it and escape that wasteland of cold and emptiness. The kid soon finds Walton’s party, now a bunch of wounded and demoralized warriors caught between Elias’s army and the Apaches.

After the Yuma attack on the band at the river ford they have taken control of, Glanton and most of his mercenaries are killed, and again the kid is saved

miraculously. The long episode that follows becomes a battle between the hero and Satan. Eventually the kid is reunited with Toadvine and the ex-priest, who will give a theological meaning to this battle. They soon see approaching in the distance the judge and the idiot he has adopted: "Those who travel in desert places do indeed meet with creatures surpassing all description" (282). The judge is unarmed, but loaded with a bag full of money, and he soon manages to buy the hat from Toadvine and insists on buying from the kid the only gun the group has for five hundred dollars. At this point, the ex-priest asks the kid to shoot at the judge: "Do it, lad, do it for the love of God. Do it or I swear your life is forfeit" (285). Yet the kid does not, in what can be read as another act of goodness. Leaving behind the judge, the imbecile, and Toadvine, the kid sets out, followed by Tobin, like "pilgrims" (287) in the emptiness of the desert. Eventually they come across Brown, who is in the possession of two horses, but he does not offer any help to them, and continues his way to meet the judge. Obviously, Holden will soon buy horses and guns from Brown, and he and the fool start chasing the kid and his companion. That the episode acquires a religious dimension is made explicit by Tobin, who fashions a cross with bones and holds "the thing before him like some mad dowser in the bleak of desert and calling out in a tongue both alien and extinct" (289-290). Unable to kill them, the judge tries to convince them of his good intentions, like a tempter enticing his victims, and his discourse sounds so convincing that the ex-priest asks the kid not to listen to him, afraid of the power of his words. They manage somehow to escape, and become once again "pilgrims [...] weak from their wounds" (293).

In San Diego, the kid is arrested and he feels an irrepressible need to speak "of things few men have seen in a lifetime", turning into a loquacious minister whose sermon is taken by his jailers as that of a lunatic, driven insane "by the acts of blood in which he had participated" (305). The kid's stay in the San Diego jail represents another crucial step in his pilgrimage. It is here where he receives the sacrament of baptism for which he has been preparing throughout his wanderings in the desert. And it is here where he sees the judge for the last time in many years, until the last encounter at the closing of the novel. Holden's visit in jail represents in the discourse of the allegory the devil's renewed attempt to entice his victim through threat and subsequently seduction. First, the judge forebodes the kid's earthly and eternal perdition: "But even though you carry the draft of your murderous plan with you to the grave it will nonetheless be known in all its infamy to your Maker and as that is so shall it be made known to the least of men" (306). When the kid dismisses his words for he is the "one that's crazy", the judge changes his strategy into one of seduction: "Come up [...] Come up, for I've yet more to tell you [...] Don't be afraid [...] I'll speak softly. It's not for the world's

ear but for yours entirely. Let me see you. Don't you know that I'd loved you like a son?" (306). The kid, like the archetypal hero, resists his temptation: "I aint afraid of you" (307), until finally Judge Holden retreats and disappears, temporarily though, from the kid's life. In his dreams, however, he will have a delirious nightmare in which Judge Holden appears in the company of a blacksmith, clearly reminiscent of the one he saw when entering Laredo, an "exile from men's fires" who with hammer and die works in an eternal night to make false coinage, which is the currency "in the markets where men barter" (310). This hellish vision leads the kid to find the answer to the question that Tobin had posed earlier in the novel, "What is he a judge of?" [...] "Of this is the judge judge and the night does not end" (310).

Once released, the kid starts looking for Tobin, but the ex-priest has disappeared, his errand being accomplished. For the kid a new life begins, in which as I said before he is confused for a preacher, and hires himself to help a party of "pilgrims" to return to their homes through the wilderness. In a little cave he sees a very old woman covered with a shawl with the figures of "stars and quartermoons and other insignia of provenance unknown to him" (315), which is a quite obvious reference to the mantle of the Virgin of Guadalupe. And to this old woman he speaks in a low voice, as in a prayer, and tells her that "he was an American and that he had no family and that he had traveled much and seen many things and had been at war and endured hardship. He told her that he would convey her to a safe place" (315). The kid, who started his youth as a boy with a "senseless taste for violence" has turned into a generous and sympathetic creature who offers protection to the helpless. The old woman, however, is a corpse that has been dead in that cave for a very long time, becoming a grotesque virgin in a humble shrine, waiting for the kid and his confession all those years.

The kid's final meeting with Judge Holden takes place in the winter of eighteen seventy eight, when the kid is already a man of forty five. The reader does not know what his life has been like in those seventeen years, a gap he is asked to fill with the works of his imagination. The meeting takes place in Griffin, "the biggest town for sin in all Texas", the site for the final struggle between good and evil. Griffin is thus explicitly identified with the "City of Sin" which is the final destination of the hero, in an ironic reversal of *Pilgrim's Progress*, where Christian's final station is the Heavenly City. The kid enters a bar where "there was a mirror but it held only smoke and phantoms" (325). From a metafictional point of view, the narrator's observation of the mirror and its reflections becomes a metaphor for the novel itself, populated with creatures that are distorted reflections in a world of ghosts and shadows. And this is, precisely, one of the

essential drives of the grotesque, to recreate man as a deformed creature which is a reflection of an ideal model facing a concave mirror.

The ending is one of the most problematic elements of the novel. The kid meets the judge completely naked in the bathhouse, and Holden embraces him "against his immense and terrible flesh". That is the last thing we know of the kid. The narrator, so scrupulous until now in rendering every detail with a transcendent meaning, leaves the reader ignorant of the kid's final fate. We see the judge return to the dance floor and begin dancing fully naked among the prostitutes and gamblers. For most critics, the kid's final destiny is death (see for example Bell 1988: 134; Pilkington 1993: 317; Sepich 1993: 16; Bloom 2002: 3). For others, the kid does not die but is raped by the judge (see Shaw 1997 on the closure of the novel). Whatever his ultimate fate is, and that we shall never know, the novel has traced his life as a progression to maturity and goodness, making of him a true pilgrim whose life follows the archetypal allegory of man's existence as a continuous battle against evil. And yet, evil survives embodied in that being who, like Satan, will never die and will always find acolytes for his gospel of blood and war.

It should be clear by now that McCarthy has made conscious use of the allegory to shape the diegetic progress of *Blood Meridian*. Despite the claims of some critics to the contrary, the novel articulates a complex discussion of religion and theology. Shaviro (1999: 148) states that "*Blood Meridian* is not a salvation narrative: we can be rescued neither by faith nor by works nor by grace", and he is indeed right in his appreciation, even though he does not seem to be aware that that is precisely the novel's most subversive element, since it deploys all the ingredients of the canonical allegorical narrative or salvation story, turning it into a discourse of irremediable failure. McCarthy's Southwest is the dominion of blood, a world of shadows forever entrapped in a distorting mirror, a universe, in sum, abandoned by God to the chaos of death. And in these wastelands of the soul, only the Devil exerts absolute and everlasting power, let it be in the shape of human or demon.

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**TRAUMA, ETHICS AND MYTH-ORIENTED LITERARY TRADITION
IN JONATHAN SAFRAN FOER'S *EXTREMELY LOUD &
INCREDIBLY CLOSE*¹**

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ABSTRACT. *This essay proposes a reading of Jonathan Safran Foer's second novel as a literary artifact that the author has consciously elaborated following the strategies of a myth-oriented tradition that had its first literary outbreak in times of High Modernism, being subsequently pursued by magical-realist and postmodern writers. The novelist associates strategies and motifs belonging to such tradition to a context that fulfills the premises of contemporary trauma fiction but that also aims at establishing comparisons between the 9/11 terrorist attacks and WW2 events that North American readers are here forced to remember from the perspective and opinions of a nine-year-old traumatized narrator. Modernist and magical-realist elements combine in a novel that openly demands the ethical positioning of its readers.*

In an interview published in *The Cleveland Jewish News*, Leana Zborovskiy (2005: 55) asked young author Jonathan Safran Foer about the peculiar nature of the protagonist in his second novel:

I asked Foer how he got into the head of a nine-year-old boy who is scared of Arabs and people who wear turbans, and who asks his mom to not fall in love again after his dad dies in the World Trade Center disaster. "When I was writing,

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Oskar's character felt honest", he replies. "Just like when you were reading it, it felt honest".

Possibly, many readers of *Extremely Loud & Incredibly Close* (2005) will not remember Oskar – the young protagonist and narrator of a substantial part of the novel – as a particularly racist, Arab-hating nine-year-old boy. More so, readers who check out the second page of the novel – when it has not been disclosed yet that the narrator is only a nine-year-old boy – will remember that Oskar defines himself as a pacifist who gives up his jujitsu lessons because he does not want to kick his master's "privates". However, on the same page he also states the following: "Self-defense was something that I was extremely curious about, for obvious reasons" (Foer 2005: 2). Being a novel written in the United States, readers might soon assume that the protagonist is one more among the increasing number of U.S. Americans aware that they live in one of the most dangerous places of the world (see Clymer 2003: 9-10). However, Foer always discloses the truth gradually and finally we discover that his "obvious reasons" for being attracted to self-defense are directly related to the most painful event the people of the United States have suffered since the entrance in the new millennium: the September 11 terrorist attacks. His father was one of the victims in the Trade World Center, an experience that resulted in terrible traumatic effects for the boy. As happened in Foer's first novel *Everything is Illuminated* (2002), the gradual disclosure of the truth and the release of the protagonist's feelings become two of the main literary strategies in his second book to affect the ethical perspective of his readers, a perspective that comes out of that "honesty" the author seems to be so concerned about. As I contend in the following pages, despite the negative critiques given by some reviewers, Foer's book should not be considered as a realist novel dealing with the traumatic effects of the 9/11 attacks. *Extremely Loud & Incredibly Close* is a conscious artifact built on techniques and strategies inherited from a specific literary tradition that departs from realist views of reality. Such strategies function to bring forth a stand of ethical affirmation when readers face the protagonists' traumas but they also introduce an unnerving political critique about the implications of terrorism.

Although not reaching up to the same celebrity level as his first book did, Foer's second novel also became a commercial success even if so far it has not made its way into the film industry, as has already happened to *Everything is Illuminated*. This time, however, some of the reviews his second novel received were not very positive. The writer was accused by some critics of being extremely sentimental (David Gates 2005 from *Newsweek*) while in some of the most well-known American newspapers the book was disliked because of the author's

immaturity and “gimmicky” effects (Walter Kirn 2005 from *NYTBR*). Foer was insistently accused of an excessive use of visual material (photographs) and other experimental strategies. From the pages of *The New York Times*, Michiko Kakutani (2005: E1) affirmed that the novel’s main narrator and protagonist Oskar was too young for the things he says and does and overtly defined him as

[...] an entirely synthetic creation, assembled out of bits and pieces of famous literary heroes past. Like J. D. Salinger’s Holden Caulfield, Oskar wanders around New York City, lonely, alienated and on the verge, possibly, of an emotional breakdown. Like Gunter Grass’s Oskar Matzerath in ‘The Tin Drum,’ he plays a musical instrument (in his case, a tambourine) while commenting on the fearful state of the world around him. And like Saul Bellow’s Herzog, he writes letters to people he doesn’t know.

However, unlike other reviewers Kakutani was also perceptive enough to point at one of the writer’s literary sources: Gabriel García Márquez’s magical realism, even if, she stated, Foer did not really understand “this sleight of hand”.

Both as narrator and as protagonist, Oskar is certainly precocious. He is, when still an eight-year-old boy, a hungry reader of books like Stephen Hawking’s *A Brief History of Time*, which is, he confesses, his favorite one even if he has not been able to finish it yet (Foer 2005: 11). Oskar also defines himself as a professed atheist. In addition to that, his mother does not seem to be very believable either. What kind of mother would allow her eight-year-old only son to cross New York alone to visit grown-up strangers only to ask them some questions about a mysterious key? Possibly not many parents would allow their young boy to travel from Manhattan to Staten Island in the sole company of a deaf old man who happens to be one hundred and four years old, so no wonder that as literary characters Oskar and his mother were not realistically believable for many reviewers. Such unbelievable quality of the main characters, the mixture of written narrative with visual material, and the telling of a traumatic story related to the 9/11 attacks were the three aspects most currently criticized by Foer’s reviewers (see Kelly and Trachtenberg 2006; Oppenheimer 2005; Eder 2005; and Markovits 2005).

However, despite the apparent flaws existing in *Extremely Loud & Incredibly Close*, there are other aspects that help us explain the novel’s departure from conventional realism and clarify Foer’s position as a young writer of ethical aims. My first specific contention in this paper is that his second novel is clearly the product of a novelist who is very much aware that he is at the end of a literary tradition – in the sense provided by Eliot in “Tradition and the Individual Talent” (1919) – rooted in modernist thinking. He uses his knowledge of such tradition – that by now has also incorporated elements from magical realism and postmodernism

(see Hutcheon 1988) – to take his readers to ethical grounds beyond the postmodern ethos, without departing from its narrative strategies and motifs.² Foer, a graduate from Princeton who studied philosophy and literature, had among his teachers there novelist Jeffrey Eugenides – Pulitzer Prize winner in 2002 with *Middlesex* – who shares with Foer his condition of being a young white American writer also attracted to the ethical possibilities of literature and to the strategies of magical realism.³ From Eugenides, Foer had the opportunity to learn about literary history, narrative devices, and motifs that help to increase his readers' (emotional) interest. More specifically, Foer may have been attracted to the mythic-oriented tradition that in times of High Modernism – following the line dictated by Eliot – agglutinated elements coming from the English Golden Age and the Romantic ethos with the modernist-oriented views provided by some early anthropologists and psychoanalysts such as James Frazer and Carl G. Jung. This myth-oriented literary approach is not very difficult to trace in the pages of writers as diverse as Eliot himself (*The Waste Land*), Faulkner (*The Sound and the Fury*), or Steinbeck (*The Grapes of Wrath*). This literary perspective was recuperated, often for parodic effect, by contemporary writers such as Saul Bellow (*Henderson the Rainking*), Thomas Pynchon (in all his novels to date), or John Barth (*Giles The Goatboy*). Such modernist/postmodernist “mythic tradition”, in its departure from classic realism and its use of a number of themes and motifs referred to memory, the mythic cycle, decadence, haunted spaces, twin or reflecting characters, or archetypal protagonists, among others, shows very clear links with Latin American and other forms of magical realism.⁴ Foer's mentor Geoffrey Eugenides made extensive use of frequent

2. In “Tradition and the Individual Talent”, there is a strong emphasis on the idea that no one is alone. According to Eliot (1966: 15), the artist is living along a line that comes from the past: “No poet, no artist of any art, has his complete meaning alone”. On the contrary, the writer is linked to the dead poets and artists. Eliot (16) comes very close to affirm the existence of a Jungian collective (un)conscious of art and poetry that reaffirms the importance of tradition: “The poet must be very conscious of the main current [of art], which does not at all flow invariably through the most distinguished reputations. He must be quite aware of the obvious fact that art never improves, but that the material of art is never quite the same”. Such material of art in the case of Eliot and other influential modernist writers came, to a large degree, from classic literatures, the Renaissance and Golden Age, and the Romantic ethos, periods that were also favoured later by magical realists and postmodern writers.

3. To the question posed by Foer himself in an interview to his former teacher, Eugenides acknowledged having read García Márquez's masterpiece *Cien años de soledad* in his “late teens and early twenties”. In the same interview, Eugenides was already very conscious of his role in the new US novel. Postmodernism had hit a dead end, he admitted to Foer (2002a: 77), and although the formal strategies of his second novel *Middlesex*, were certainly *postmodern* what was new in it, he affirmed, was “the content”.

4. See Bowers (2004: 32-65). Manzanos and Benito (2002: 1-21) also offer an illuminating analysis of the role of cultural borders in North America that they later extend to a consideration of magical realism as a transnational product characteristic of postcolonial societies (2003: 125-159). As Brian

elements in this tradition in his novels *The Virgin Suicides* and *Middlesex* (Collado-Rodríguez 2005 and 2006) and Foer himself openly resorted to the same mode in his first novel, *Everything is Illuminated* (see Behlman 2004). Although in a more conceited manner, in his second novel such mythic mode helps us understand why fantasy as a whole – not only the one reflected through Oskar's focalization of the narrative – is also an important ingredient in a book that reviewers frequently understood as a realist example of post-September 11 trauma fiction. The next pages will deal with the ways in which non-realistic or fantasy elements affect the perception of trauma and the ethical implications in the novel.

From the perspective of a young American novelist who decides to write about the September 11 attacks, there is firstly a very important sociological fact to be considered. It has been insistently debated that even for some years after the attacks, many people did not want to face the facts, as if by avoiding talking, writing or filming about the massacres they would exorcize them.⁵ Even Hollywood had to refrain from showing movies concerning terrorist attacks for some time after September 11, 2001. For specialists in post-traumatic syndrome, this situation is not outside the norm: the traumatic event is not assimilated or experienced fully at the time. It emerges as a non-experience that brings about the necessity of using memory and repetition (Caruth 1995: 4-5). In a way, we may guess that both the U. S. American public and the media unconsciously felt that by avoiding facing the truth of what had happened they could go back to a moment where they still had the opportunity to avoid the terrorist attacks. The issue takes us to the possibility of traveling back in time. From realist premises to do such a thing is considered pure fantasy. In contemporary Western societies, people are not supposed to believe consciously in the fantastic unless they are fools, primitive beings, highly religious persons, or children. As I anticipated above, when dealing with his second novel Foer, following the example set by his former teacher Jeffrey Eugenides, located

McHale contended in his often-cited book *Postmodernist Fiction* (1987), the unresolved condition of modernist epistemology brought about the uncertain ontological condition of the postmodern, a feature clearly shared by magical-realist works.

5. The issue itself responds to the condition of a collective trauma and its subsequent post-traumatic stress disorder (PTSD), see Caruth (1995: 4-5). For an interesting contrast between the fortunes run by some films on the 9/11 and other media expressions, see Kate Kelly and Jeffrey A. Trachtenberg's opinions in "9/11 Hits the Multiplex" (2006). Edward Wyatt (2005: E.1) states the following in "After a Long Wait, Literary Novelists Address 9/11": "Using fiction and imaginary characters can sometimes make an overwhelming event feel human. But with so many people personally connected to those who were killed on Sept. 11, taking a reader inside a World Trade Center tower... can evoke hostile reactions". Foer experienced such reactions when delivering some of his public talks on *Extremely Loud & Incredibly Close*. Some reviewers, especially Walter Kirn, became particularly vicious on the issue. Compare the more ironic views of Clymer (2003: 11-12).

himself at the end of a literary line that, rejecting a classic realist approach, finds in fantasy, myth, and magical realism powerful strategies to make readers think about our present condition. Therefore, his choice of a boy for the role of main narrator in the book already introduces an effect of uncertainty: does fantasy exist or is it only in the boy's mind?

After the success of his first novel, which is a narrative about the Jewish Holocaust also from postmodern and magical-realist premises, Foer stays again at the end of the same literary line with a second novel where fantasy is mostly – but not only – presented from the perspective of nine-year-old narrator Oskar. It is from his precocious focalization that readers can fully realize the suggestion that time might go backwards, as visually shown in the last 15 pages of the book. At the end of the novel, readers are forced to progress back to the past because they can actually visualize Oskar's make-belief wish for a happy ending. Activated as a powerful metaphor for the United States, young Oskar's condition is obviously post-traumatic and therefore susceptible of departing from normal behavior. However, as also reported by himself several times, his condition – and the U. S. American people's in general – is not experienced as it should have been a few decades ago because now he is also exposed to TV and the Internet. As a viewer, he has the opportunity to see the reel of the attacks once and again. The planes go repeatedly crushing against the Twin Towers as Oskar can replay the same event constantly. How could not his sense of time be disrupted?⁶ From his classes on fiction, Foer has possibly learnt about the metaphorical importance of the cycles of infinite repetitions that saturate the pages of writers like T. S. Eliot, William Faulkner, Jorge Luis Borges, or Gabriel García Márquez. Such writers were creators of stories written in a mythic mood that defined a new master narrative for modernist and late modernist literatures (see Manganaro 1994; compare Eliade 1951), a narrative whose imprints persist in Foer's novels to date.

In *Extremely Loud & Incredibly Close*, the writer puts together his knowledge of mythic thinking, as reflected in modernist and postmodernist literature, with the ways the new technologies – especially TV, the Internet, and video games – are affecting our contemporary perception of reality and the passing of time. The result of it is the suggestion of re-experiencing the past as if life were a video or a DVD and you could rewind it when necessary. In other words, from the

6. On the impact of the new technologies in our understanding of life as a film, see Simmons (1997: 41): "We have actually become our images: when we see ourselves as though seen on TV, the old distinctions between inside and outside, self and society no longer hold, and the self merges with its images environment". Compare McLuhan's (1964) influential predictions on the role of the media and the new technologies for our understanding of reality.

primitive belief in the cyclical nature of life that so much attracted modernist thinkers like James Frazer, Carl Jung, Mircea Eliade or Joseph Campbell, Foer takes his readers to the psychic impact of the contemporary technological (McLuhan's "extensions of man", 1964: 45-52). In his second novel, Eliade's myth of the eternal return becomes the myth of the visual rewinding of images, via the precocious narrator's imagination. Accordingly, the last 15 pages of the book show 15 photographic frames (taken from the Internet) that visually describe a man on his way *up* one of the Twin Towers. He is not falling down to his death, as *really* happened, but floating back up to the window, as Oskar would like it to be. The child has achieved such fantasy motivated by our human – previously mythical now also technological – predisposition to believe in the possibility of rewinding time or coming back to the beginning. Of course, it could be argued that this is no more than wishful thinking mediated by the Baudrillardian simulacrum, a child's fantasy to enhance our sentimentality at the end of the novel. But, in its uncertain approach to reality, the book is also skillfully and systematically organized to make us depart from a mere realistic approach to life. Actually, Oskar is not alone in his attempt to rewind past experiences. The novel also comprises chapters (testimonies⁷) written by two of Oskar's grandparents – his deceased father's parents. Progressively, the three narrators answer and complement each other, helping the readers in the gradual disclosure of their particular truths, a necessary process for the release of the characters' traumatic forces and the readers' ethical positioning.

The case of Oskar's grandmother also offers explicit links both to mythic modernist narratives and to Foer's first novel, where readers can find the figure of the hero's matriarch as a seer.⁸ She partakes in the condition of paradoxical Eliotian characters who like the Sybil of Cumae, Tiresias or Madame Sosostris in *The Waste Land*, have physical impediments to see the reality around them correctly, despite which they are prophetic seers. Oskar's grandmother insistently affirms that she has "crummy eyes" and even writes her life story with a typewriter unaware that it has no ribbon (Foer 2005: 124). However, she also has recurrent dreams that anticipate the World Trade Center terrorist attacks (230-232). Furthermore, after many years living in the United States, she also participates of

7. On the importance of [testimony and] *testimonio* in trauma literature, as a "literary simulacrum of oral narrative", see Vickroy 2002: 5-6.

8. The figure of the old woman with visionary powers is reiterative in mythic-oriented modernist narratives such as *The Waste Land* (the Sybil, Madam Sosostris, Tiresias as a hermaphrodite seer), *The Sound and the Fury* (Dilsey), *The Grapes of Wrath* (Ma Joad), *Cien años de soledad* (Úrsula Iguarán), *Los Funerales de la Mamá Grande*, or even in contemporary novels such as Jeffrey Eugenides's 2002 Pulitzer Prize winner *Middlesex*.

the younger narrator's technologically simulated perception of time, as readers find out by the end of the novel:

A knocking woke me up in the middle of the night.

I had been dreaming about where I came from.

[...]

In my dream, all of the collapsed ceilings re-formed above us. The fire went back into the bombs, which rose up and into the bellies of planes whose propellers turned backwards, like the second hands of the clocks across Dresden, only faster. (306)

With such dream, she establishes a clear connection with her grandson and his wish to go back in time by using the 15 photographic frames that visually describe the falling man on his way up the Tower. Oskar's final words in the novel refer again to such wish for time to be retraced. However, the visual fantasy accomplished by the reordering of the photographs, giving the viewer the impression that time flies back, is reinforced by the realization that according to contemporary scientific theories Time is a category that does not need to follow human logic. As mentioned above, Oskar states that Hawking's *A Brief History of Time* is his favorite book. He even sends some letters to the influential physicist, who eventually invites him to Cambridge in a letter where the cosmologist also mentions some words by Einstein that stand as a powerful *mise-en-abyme* icon of Foer's whole novel: "Our situation is the following. We are standing in front of a closed box which we cannot open" (305). The mysterious box, whose contents cannot be released or even viewed, impedes the effective communication implicit in the title of the novel. Our physical senses, as Oskar's grandparents' relationship exemplify, do not necessarily take us to a sound understanding of reality. On the contrary, the new physics (postulated as relativity theory and quantum mechanics) take us to an understanding of life that stands very far away from what our senses show us (Nadeau 1981). Some scientific theories even allow for the possibility of what seems to be only a child's fantasy. After having dealt with relativity theory and stressed the fact that according to Einstein's celebrated notions time has become a more personal concept, relative to the observer who measures it, in *A Brief History of Time* Hawking (1990: 143-144) introduces a concept that perfectly fits into Oskar's fantastic wish:

When one tried to unify gravity with quantum mechanics, one had to introduce the idea of "imaginary" time. Imaginary time is indistinguishable from directions in space. If one can go north, one can turn around and head south; equally, if one can go forward in imaginary time, *one ought to be able to turn round and*

go backward. This means that there can be no important difference between the forward and backward directions of imaginary time. On the other hand, when one looks at “real” time, there’s a very big difference between the forward and backward directions, as we all know. Where does this difference between the past and the future come from? Why do we remember the past but not the future? (emphasis added)

Hawking also uses explicitly the image of the rewinding machine to explain the notion of imaginary time (144). However, he warns his readers that the second law of thermodynamics or entropy makes the existence of such concept impossible in our “reality”. The law of entropy explains the existence of three arrows of time, two of which point from the past into the future: the thermodynamic arrow or the direction of time in which disorder increases, and the psychological arrow, by which we feel time passes. The third arrow of time, the cosmological, does not necessarily have to point in the same direction (from the past into the future) but, the physicist concludes, it is only when the three arrows point in the same direction that conditions are suitable for the development of intelligent beings (145). In other words, Hawking’s book allows for Oskar’s initial optimism about the possibility of traveling backwards in time but eventually forces him to resign from such possibility at the last pages of his narration. The theoretical possibility for imaginary time does exist – that is to say, it is not a “fantasy” – but the necessity for the direction of the three arrows of time to point in the same direction does not make such an option finally viable in our reality.

Together with his interest in myth, science, and visual experimental strategies, Foer also uses other devices to increase his readers’ emotional response when facing Oskar’s story, devices that clearly relate to trauma fiction.

Trauma fiction is in itself an expression of recent coinage. It is in the early 1990s that trauma theory and its subsequent application to literary works emerged in the United States, then mainly concerned with the Jewish Holocaust and its ethical implications (Whitehead 2004: 4-5). In later years, for obvious emotional reasons the media and cultural imaginaries of the United States moved to the aftermaths of the September 11 terrorist attacks.

In an sustained attempt to elaborate on the prospect of fixing the literary limits of “trauma fiction”, in her homonymous book Anne Whitehead relies on the work of three eminent trauma theorists who started their academic life in the Yale School of Criticism, namely Cathy Caruth, Shoshana Felman, and Geoffrey Hartman. Whitehead’s final aim is both to list the conditions that make of trauma a structure of the past experience and to point at the literary strategies that make it possible to communicate the apparently *ineffable* narrative of such traumatic experience. In

order to trace the imprints and the workings of trauma, Whitehead arrives at three different premises that she applies to a corpus of contemporary fiction.

From the theories developed by Caruth, Whitehead (2004: 6) argues the necessity of analyzing a first important strategy in trauma fiction: Caruth's work, she wrote, "suggests that if trauma is at all susceptible to narrative formulation, then it requires a literary form which departs from conventional linear sequence. The irruption of one time into another is figured by Caruth as a form of possession or haunting". In other words, by quoting the Yale critic, Whitehead hints at the importance of both the fantastic mood (see Jackson 1981: 13-91) and what critics usually call "experimental fiction", that is to say, a series of narrative strategies that operate to disrupt logical or chronological temporality in an abrupt or, at least, obvious manner (compare Vickroy 2002: 1-35). It should be noticed here that such disruption of the logical and the chronological operates on the category of time because trauma is the result of a past experience that comes to or persists in the present – via post-traumatic effects – to haunt or obsess a subject who, as a result, suffers from a condition of emotional repression. Therefore, there is a psychic collision of past and present. Temporal limits become anything but clear for the subject, an issue that has already been commented above for the cases of Oskar and his grandmother. Accordingly, the "appropriate" trauma story should be reported by means of experimenting on narrative temporality. Furthermore, according to Caruth (1995: 6), trauma emerges as a "crisis of truth" but such crisis may extend beyond the individual to affect the whole community if it is reported or accessed at a cultural level. Such notion allows Whitehead (2004: 8) to progress onto Geoffrey Hartmann's work and to agree to his important observation that "ethical questions raised by testimony are inherently literary". That is to say, the written – or reportedly oral – testimony of the traumatized subject adjusts the relation between the text and its readers so that "reading is restored as an ethical practice". Ethical fiction then creates a "community of witnesses which implicitly includes the reader, so that the very act of reading comprises a mode of bearing witness" (8). In other words, Whitehead is also attracted to the capacity of trauma to force readers to share the pathos of the sufferer, of the teller of the testimony who by telling the events is well on her or his way to express all the contained emotional energy manifested in the trauma (compare Vickroy 2002: 27-35).

Obviously, trauma necessarily affects the teller of the testimony. Such notion also helps us explain why testimonies are usually full of gaps or, following the same argumentative line, why chronology is also disrupted in them. Within the context of Foer's second novel – his use of experimental devices – one may add that, like detective stories, narratives full of gaps demand a more active participation

of readers to use their imagination and fill those gaps. Narrative gaps end up being a strategy of participation, of an emotional communion that takes us to the issue of sentimentality or the hyperbolic, even extravagant use of devices to trap the reader emotionally.

However, before going back to Foer's second novel to analyze the possible presence in it of the experimental strategies so far commented, I would like to further Whitehead's main ideas about trauma fiction by mentioning that in Chapter 3 of her book this critic argues that references to the landscape may also help to absorb the shock of trauma. Space is attributed here the role of a "site of memory". Of course, in the case of Foer's book, we need to refer to the *cityscape* of New York, so intimately united to the tragedy motivated by the 9/11 attacks, a cityscape that nevertheless is not the only one strategically present in the novel.

In sum, following Whitehead's views on trauma fiction, we should evaluate the existence of strategies related to experimentation as manifested in the disruption of chronology, the presentation of narrative gaps, and the importance of space as a powerful site of memory. As side effects of trauma fiction are, of course, the engagement of the reader (now as witness) in the ethical debate and the possible eruption of a mechanism of sentimentality if the writer has attempted a too far-fetched or hyperbolic presentation of the story. Let us now consider if these strategies are traceable in *Extremely Loud & Incredibly Close* and examine how they might relate to modernist mythic thinking and backward time.

On the use of *achronicity* and experimental strategies, it has already been stressed that Foer's second novel is very rich in experimental techniques that confuse temporality but that also enhance the visual possibilities of Oskar's story, a feature openly disliked by some reviewers. Another important device already mentioned is that Oskar's is not the only story reported in the book, nor are all the photographs shown along the narrative referred to his own making. Together with a large number of pictures, blank pages, pages with only a few words written on them, and other visual experiments carried out on a substantial part of the book,⁹ Foer's second book, as happened to the first one, presents its readers with other, conflicting or complementary, reports on the events and fortunes of the young protagonist's family. Sometimes keeping a mirrored relation with Oskar's own report, testimonies written by his grandmother compete in clarifying the readers' expectations with his grandfather's letters to his son (Oskar's father, killed in the terrorist attacks). However, the latter's documents are also a Second World

9. Most of them are techniques that strongly recollect the first great experimental novel in English, Laurence Sterne's *The Life and Opinions of Tristram Shandy* (1759-69).

War testimony that gradually discloses to the readers his personal tragedy. The grandfather's condition originated from different events that happened many years earlier, in a different "site of memory": Dresden in February 1945, when the combined British and American Air Forces firebombed the open German city and killed over 150.000 civilians and prisoners of war. In updated terms, we could think that the dead qualified as "collateral damage". However, secret official documents gradually released (for their "traumatic" political implications) and the writer-as-witness Kurt Vonnegut (1969: 123-125) in his most celebrated novel *Slaughterhouse-5* disclosed some decades ago that the Dresden massacre was a perfectly intended instrument of massive civilian annihilation on the part of the Allies to send the Germans a clear terror message that would force their capitulation. North American readers who may have the nerve or the critical capacity to do so, may be shocked when reflecting on Foer's use of the September 11 events – that produced the post-traumatic condition of Oskar's life – and his presentation of the reasons for his grandfather's equivalent condition. The two events, distant in time and presented fragmentarily by the two traumatized narrators, coincide in many aspects. Oskar lost his civilian father in a terror attack carried out by declared enemies of his country; his grandfather lost his family, including his girlfriend and their unborn child, in a terror attack intended to cause as much harm as possible to a civilian population.¹⁰ Temporal parallelisms and narrative fragmentation are linked here, in a reflective manner, to the different pathological effects suffered by the grandfather and by his grandson: the first one is unable to speak since the firebombing of Dresden, whereas Oskar is always talking and trying to establish communication with everybody around. The grandfather is obsessed with images of a lock and a closed door. His grandson tries to find the lock that opens a key he found by chance among his father's belongings. In between the older and the younger narrators stands the figure of the grandmother, sister to her husband's dead girlfriend and survivor of the Dresden firebombing who decided to marry him after the massacre. This time the massacre, let us not forget, is not directly referred to the Holocaust, to which Foer already dedicated his first novel, but to the German civilian population.

10. Kurt Vonnegut's novel offers no doubt about it, as its introductory chapter and the author's quoted bibliography explicitly show. Readers of *Slaughterhouse-5* may easily conclude that in his own novel Foer denounces the Allies' attack on the German city as a *terrorist* action even if the issue is not politically correct. Reviewers of *Extremely Loud & Incredibly Close* mostly – and not surprisingly – ignored the reference to Dresden. On the notion of terrorism as a "violent communication strategy", see Clymer 2003: 14-20. The same as Vonnegut's narrator does in his novel, Oskar also refers to the American nuclear attack on Hiroshima in a school presentation (Foer 2005: 187-189).

Oskar's grandmother, unable to convince her husband to speak again, ends up with him living in an uncertain liminal space, at the airport, neither coming nor going anywhere, subtly adjusting to the fact that her husband's post-traumatic condition will never disappear, especially now that he has lost his other son in the terrorist attacks.

Space as a powerful "site of memory" is a strategy that Foer explicitly associates to the grandfather's condition. From a "magic" library where he had his first love experience – with literary echoes coming from Borges and García Márquez – after his traumatic experience motivated by the destruction of Dresden, he immigrates to the USA where for a while he lives in an apartment with his newly married wife in postwar New York. There communication with his wife is systematically impeded by his own post-traumatic stress and eventually the couple reach the compromise of sharing a number of unrealistic "Nothing Places" in their apartment (Foer 2005: 110), where their increasing lack of communication eventually leads him to abandon his wife even when she is already pregnant with Oskar's father.

On the contrary, the main task for Oskar's grandmother, as happened to the matriarch in *Everything is Illuminated*, is to establish communication and give protection to the traumatized males in her family, husband and grandson. She partakes of the supernatural powers of the female spirit of life reported by James Frazer (1922: 399-423) in his study *The Golden Bough*, a matriarchal figure abundantly re-appropriated by myth-oriented modernist and postmodernist writers. As mentioned above, such archetypical being comes from a tradition that from classical literature reached down to modernism and, within it, became the figure of the wise prophetic or guardian mother, a symbol recognizable in works that go from Eliot's *The Waste Land* to García Márquez's *Cien Años de Soledad* or Jeffrey Eugenides's *Middlesex*. Modernism, anthropology and myth amalgamate in a compassionate personage who also discloses her truth gradually. Hers is the testimony of a daughter, sister, and mother who also lost her family in two different attacks separated by 57 years but sharing the mark of terror.

The book also abounds in hyperbolic cases of communication failure that Oskar helps to restore along his quest for the meaning of the key, but it is the reader's position that allows for the only complete reading of everybody's narrative. Following the already typical patterns of trauma fiction, Foer has wisely combined testimonial elements with different subject perspectives to create a dialogical structure of witnessing that forces readers into an ethical evaluative position (compare Vickroy 2002: 27).

Along his quest for understanding, smart prodigious Oskar talks to many New Yorkers and makes us ponder about the ways they have responded to the

collective trauma generated by the 9/11 attacks. Nevertheless, beyond him Foer the artificer also makes his readers think about gratuitous death, about violence exerted against the innocents in a deadly game in which the players are rarely at risk. Perhaps for that reason, for that impossibility to ever reaching justice, Oskar wants to rewind the pictures of the man falling from one of the Twin Towers: if time could be reversed then, he concludes, "We would have been safe". However, the novel ends up in a tragic mood because time cannot be reversed, unless hypothetically, because rewinding happens only on TV or as a visual trick, because Oskar can be very smart but his father cannot be brought back to life, because his grandmother is very wise but she cannot restore her husband to pre-traumatic happiness, because the September 11 terrorists were Arabs but that should not have made Americans forget about Dresden, Hiroshima, Nagasaki or Vietnam. A novel about victims is always a story about executioners.

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MAN AS RESCUER AND MONSTER IN STEVEN SPIELBERG'S FILM TEXT *SCHINDLER'S LIST*¹

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ABSTRACT. *This journal article addresses the confrontation between two extreme representations of man in Steven Spielberg's Schindler's List (1993): the rescuer and the monster. It is my contention that these representations simplify two of the moral options –good versus evil– from which men can freely choose according to both Judaism and Catholicism, which are the two religious cults the film alludes to. This article has a three-fold structure. The first part focuses on the godlike representation of Oskar Schindler² and his relation to key episodes in the Bible. The second one deals with Amon Goeth, Schindler's mirror image and the incarnation of evil in the film. The third part surveys Spielberg's blending of religious traditions in some films prior to Schindler's List. As a conclusion it is proposed that the godlike man who rescues his people is not only Oskar Schindler, but also Steven Spielberg.*

[Oskar Schindler to new workers:] "You'll be safe working here. If you work here, then you'll live through the war." [...] The promise had dazed them all. It was a godlike promise. How could a man make a promise like that? [...] And all the time she [Edith Liebgold] pondered Herr Schindler's promise. Only madmen made promises as absolute as that. Without blinking. Yet he wasn't mad. For he was a businessman with a dinner to go to. Therefore, he must *know*. But that meant some second sight, some profound contact with god or devil or the pattern of things. (Keneally 1993: 100-101)

1. This article is part of the research project "Análisis textual de los lenguajes de la literatura y del cine anglo-norteamericanos" (API07/A13), which is funded by the University of La Rioja.

2. When considering Oskar Schindler, I cannot help but thinking of our dear professor Carmelo Cunchillos, to whom this volume is dedicated. I got to know both of them, Cunchillos the man and Schindler the character, in the same year, 1994. My life has not been the same since then. I like to think that there are many of us whose lives have changed greatly for the better by having been on Carmelo's list. I thank him for that.

1. INTRODUCTION

Man as rescuer. Focusing on rescuers is nothing new in the film industry. Yet the focus on Holocaust rescuers that began with *Schindler's List* (Spielberg 1993) has recently drawn considerable attention from academics. In this regard Annette Insdorf (2003: 278) suggests that

The relatively recent focus on rescuers is no surprise. After previous Holocaust films that centered on Jewish victims and Nazi perpetrators, there had to be an audience surrogate beyond the oppressed survivor or the criminal – one with whom a viewer would indeed want to identify. [...] Given that motion pictures have always centered on “the hero” who enables “the happy end,” stories of Holocaust rescue proliferated in movie theaters and on television in the 1990s. They coincided with Eva Fogelman’s inspirational book, *Conscience and Courage: Rescuers of Jews during the Holocaust* (New York: Anchor Books, 1994), which recounts varied and complex stories of wartime decency.³

Eva Fogelman’s book on Holocaust rescuers appeared shortly after the release of Steven Spielberg’s *Schindler's List*. Her account begins with a reference to those who saved Jews during World War II, Oskar Schindler, the historical character, included. According to Fogelman (1995: 3), “In Hebrew these non-Jews are called *Haside U'Mot Ha'Olam* – ‘righteous among the nations of the world.’ They are rescuers”. There is no need to speculate here on the reasons that led those flesh-and-blood rescuers to put their own lives at risk, not even on Schindler’s reasons to do what he did. This article deals with Oskar Schindler as a character in Spielberg’s film and with the way in which he not only becomes a rescuer but also reaches the status of a god who is confronted in the film by a devil-like figure, Amon Goeth.

The binary opposition good/evil is constitutive of both Catholicism and Judaism. It is thus my contention that, in establishing a clear association between Schindler and the representation of good, on the one hand, and Goeth and the illustration of evil, on the other, Spielberg presents a simplified and, to some extent, reconciliatory view of religion, a sort of super-religion, which comprises elements from both Catholicism and Judaism.

3. Insdorf overlooks mentioning that before *Schindler's List*, the film, and before the rest of *Holocaust-rescue* films, there was Thomas Keneally’s book *Schindler's List* (1982). The film is a rather faithful adaptation of that former text, and Keneally’s work should not be completely disregarded when considering Steven Spielberg’s film translation. That is the main reason why I have chosen to begin this article by quoting several lines from Keneally’s earlier work. By doing so, I want to highlight that what Spielberg shows in the film had already been accounted for by Keneally in the novel. Spielberg changes the form, the *presentation*, as Schindler would have said, when he adapts the events to his movie-making methods. For a comparison between novel and film text, see Díaz Cuesta (1997).

The present analysis has a three-fold structure. Firstly I account for Schindler, his list, and his godlike representation in relation to well-known passages from the *Bible*. Then I focus on the confrontation between the two main characters in the film, Oskar Schindler and Amon Goeth. Lastly I trace Spielberg's simplification of religion in some of his previous films.

2. OSKAR SCHINDLER: MAN, RESCUER, GOD

Steven Spielberg's film *Schindler's List* is full of biblical references. Lists of descendants can be found in the first pages of the book of *Genesis* (which are also the first pages of the *Bible*). After the framing colour introduction, the opening sequence of Spielberg's film similarly provides lists of names that are spoken out by files of Jews gathered at Krakow rail station⁴ and although the lists that are spoken out at Krakow mean *death*, Schindler's list is the only one that will mean *life*.

A second reference to the book of *Genesis* is also present in the credit title sequence, with the successive dying out of candles, the last of which implies a complete absence of light at the beginning of Schindler's story (F1).



F1

This is a sort of reversal of the creation story in *Genesis* which will not be interrupted until Schindler's workers reach a safer place and are encouraged by Schindler himself to celebrate the Sabbath. With the exception of the child in red, it is not until that moment that we are permitted to see any colour image in the film.

To reinforce these Biblical parallelisms, the song that is heard at the opening of the film refers to the fact that the Sabbath was instituted to commemorate the creation of the world and the exodus of the Jews from Egypt as God's "chosen people".

Having considered the Biblical connotations of the word "list" and its relation to the religious world of the *Old Testament* – or *The Law and the Propbets*, if we

4. Such an opening is also reminiscent of the Scandinavian sagas, which used this technique as a means to preserve the memory of dead heroes.

use the Jewish term –, Steven Spielberg had other personal reasons to use this word in the title of his film instead of the original word – “Ark” – that was used in the title of the novel. Thomas Keneally (1998: xii) recalls that

Schindler's Ark was my preferred title for the book, even though the American publisher had resisted calling it that.⁵ [...] So I asked Spielberg if he would vindicate my first choice by calling his film *Ark*. He however insisted there were good cinematic reasons to call it *List*. He wanted to begin with images of lists, to continue with lists as image and device throughout the film, and in a sense to end with them – that great procession of the Schindler survivors which concludes the film.

Simon Louvish (1994: 14) has argued that Keneally’s “book was published as *Schindler's List* in America, presumably because the mass audience was not expected to know the word Ark”. I cannot but disagree with Louvish’s explanation since only one year before the publication of the book, Steven Spielberg had directed and released in America a very popular film, *Raiders of the Lost Ark* (1981), with not only the word “ark” in its title but also with an ark, the Ark of the Covenant, as the main object of the protagonists’ quest. A much more feasible reason to change the original title in America, however, may have been the actual nature of the ark itself. Schindler’s “ark” does not have the religious, symbolic, even mythical connotations the Ark of the Covenant is traditionally associated with, which is why maintaining the original title might have misled audiences as to the real quality of both book and film.

A second very important argument in favour of choosing “list” instead of “ark” for the title of both book and especially film has to do with the relationship the film establishes between Schindler and Noah, the Biblical figure appointed by God to select couples of living creatures and place them in his ark before the deluge in order for them to be saved from extinction. Schindler, like Noah before him, chooses Jewish couples – and whole families – to be saved from Nazi extermination. Thus an explicit association in the title between Noah’s and Schindler’s ark would have been utterly unfortunate since Noah’s ark was herded up mainly with animals, a condition the Nazis saw in and attributed to the Jews during the war. In choosing the word “list” as opposed to “ark”, the film retakes only the positive element to be found in the parallelism between Schindler’s and Noah’s ark: the biblical idea of a myriad of people descending from a single father, Abraham – Schindler in this case. Thus at the end of the film we note that

5. In America the book was sold as *Schindler's List* from the very moment of its publication.

there are currently six thousand descendants of the people in the list, who are opposed to the six million people that were killed by the Nazis.

The story of Schindler and his Jews moving from one place to another – from the ghetto to Goeth's camp and from there to Schindler's own camp in his hometown – also reflects the Biblical story of Moses as told in the second book of the *Bible*, *Exodus*. This connection is made explicit in the film by Goeth. When Schindler tells him "I want my people", Goeth's answer is "Who are you, Moses?". In the film, however, there will be no manna from heaven but rather from Schindler's own supplies, which will become heaven on earth for these workers, who will have Schindler instead of – or as – their own god to feed them.

Insisting on the religious references that are to be found in the film, it can be argued that Schindler could also be paired with any of the Old Testament prophets in that he foresaw what was going to come after the war. Yet the Biblical figure he more closely resembles to is no other than Jesus Christ himself, just another one of the many Biblical prophets to the layman, but the Son of God, or God Himself, for Catholic believers. The main parallelism between both figures, Schindler and Christ, derives from their being saviours. According to the Christian faith, the people who follow Christ will be saved after death; similarly, the people who followed, or rather, were chosen by Schindler were actually saved from an anticipated death. Just as Christ did when he chose his apostles, one of the first things Schindler does to accomplish his *mission* is to look for a collaborator, a disciple, so to speak, whom he finds in Itzhak Stern.

Throughout the film there are many other instances that suggest this Christ-like characterisation of Schindler. His first public appearance is reminiscent of Christ's in that nobody recognises him. Both of them bring more wine to the places where they are socially introduced: Christ in a miraculous manner at the wedding at Cana, Schindler making use of his money at the restaurant. The mysterious way in which Schindler is presented, with crosses in the background, together with the bright light above his head (F2), and with the cross – formed by the window frame – through which he can be seen from the point of view of the maitre (F3), make us think of at least a saint-like figure, in spite of his wearing the swastika.



F2



F3

The shape of a Christian cross can also be seen in the sequence of the first meeting between Schindler and Stern, the accountant wearing the compulsory bracelet with the Star of David, the tycoon wearing the expensive pin with the swastika on his sleeve. It is the big cross of the huge window that shelters both of them (F4).



F4



F5

Even more overt are the two crosses that surround Schindler when a one-handed man thanks him for his generosity with a “God bless you; you’re a good man” (F5). According to Joseph McBride (1997: 438), “It is when Schindler unexpectedly begins seeing his Jewish workers as individuals that he begins to change his thinking about the war. The first such incident is that of the elderly one-armed machinist, Lowenstein (Henryk Bista)”.

McBride (440) also sees Schindler’s assumption of God’s power to condemn in at least one of Schindler’s decisions, which is simply a synecdoche for the whole selection process of his chosen people:

When Schindler ransoms his women from Auschwitz, the camp commandant tries to interest him instead in “three hundred units” of Hungarian Jews from another train; in rejecting those Jews in favor of *his* Jews, Schindler is playing God and condemning the others to death.

Schindler also looks for shelter in a Catholic church for two very different purposes: it is in a church that he begins his dealings with the Jewish black market and a church is the place in which he is reconciled with his wife. In the former case, Schindler acts very much like the merchants that Christ drove from the temple, according to the gospel of St John. In the latter, however, Schindler has completed a process of atonement which allows him to go back to the temple in order to befriend his sister-like wife before continuing with his life-saving enterprise.

Last but not least is the final speech in the factory. According to Bryan Cheyette (1997: 237), “By the end of the film, Schindler, in response to Goeth, is unequivocally deified (even to the extent of giving a final crypto-sermon on the

mount in Brinnlitz)". Michael André Bernstein (1994: 430) relates this moment to Hollywood religious films when he refers to

Schindler's virtual apotheosis as a modern Christ figure in his sermon to the awestruck Jews looking up at him from the Brinnlitz factory floor (a direct crib from every Hollywood sand-and-sandals epic, from *The Ten Commandments* and *Ben-Hur* to *Jesus Christ Superstar*).

These identifications of Schindler with Christ are complemented with further visual parallelisms between Schindler and God the Father. In many instances in the film, Schindler's eyes – or rather his *eye* – illustrate this point. On many occasions in fact only one of them is highlighted. In a film as full of religious references as this is, it has to be taken into account that the traditional way of representing God the Father is by means of a single, everwatching eye. Paradoxically the hard and metallic brightness of Schindler's eye makes the viewer aware of the ambiguity of this character (for example in F6).



F6

Annette Insdorf (2003: 261) argues in this respect that

Cinematically speaking, the director establishes that his hero reveals little, especially about his motivations. [...] The ambiguity of the character is expressed by the lighting. [...] To see half his face in shadow –at least until he makes a decisive choice– externalizes his possibly dual motive of profiteering and protecting.

Spielberg's vision of Schindler as a sort of god seems to coincide with what some of Schindler's Jews thought of their saviour when they started to believe that there was some possibility of hope. Stella Müller-Madej (1997: 223) was the first person from the list to compile her memories of those days in a book:

The New Year is coming, and the women have made Schindler an incredibly beautiful steel floral bouquet from the strips of metal left over from milling cartridge casings. I think that even the most devout Jews must pray to Schindler now, and not to God.

Another Holocaust survivor also tried to draw the line between the mortal man and the hero when he was interviewed by Elinor Brecher (1994: xxxvii):

Whatever he [Schindler] was between 1939 and 1945, he has come to represent so much more than a mere flesh-and-blood mortal. He has become, in legend, what most people want to believe they themselves would become in situations of moral extremis. “Each of us at any time, faced with the particular circumstances, has the power to stand on the side of right,” a California survivor named Leon Leyson told me. “Ninety-nine percent of the time, we simply don’t. This is an ordinary man, not a special hero with super powers, and yet he did it.”

Another list survivor, Rena Finder, reinforces this point in the documentary accompanying the DVD version of *Schindler’s List* (Mayhew 2004) when she affirms that “He was life. He was maybe future. He was God for us” (F7).



F7

By representing Schindler as a sort of god, Spielberg has been truthful to the testimonies of those survivors. David M. Crowe (2007: 1) summarizes those testimonies at the beginning of his comprehensive biography of Oskar Schindler recalling that, during the war, “to many *Schindlerjuden*, he was already a god-like figure”. By visually depicting Schindler as a god, rather than exaggerating the facts, Spielberg seems to have got closer to the historical truth about this mysterious member of the Nazi Party.

3. AMON GOETH: MAN, MONSTER, (D)EVIL

So far we have mainly referred to Schindler, his list and his story, but the story of Schindler, as it is told by Spielberg and recalled by many of the *Schindlerjuden*, is incomplete without taking into consideration the demonic figure of Amon Goeth. Schindler and Goeth, Goeth and Schindler, two men whose portraits could be easily seen as the two different sides of the same coin since, as I show below, the differences between good and evil are sometimes narrower than might be expected.

Philip Gourevitch (1994: 50) appositely notes the mystery hidden behind both figures: "Schindler's decency is presented as a kind of enigmatic equivalent of Goeth's barbarity. The one protects Jews, the other likes to start his day by sniping at them from the porch of his villa. Both forms of behaviour are unfathomable mysteries".

Nigel Morris (2007: 226) has recently paid attention to the moment when Goeth takes a rest while sniping:

It [this scene] also resonates with Terrence Malick's *Badlands* (1973) when Goeth places the rifle behind his neck, crucifix-style. This image releases the partial identification, by stressing the film's textuality and relating Goeth to familiar cinematic psychopaths, and ironises the Nazi's self-image as a superior Christian culture, a point overlooked by critics who complain that Schindler's blessing and prayer at the Armistice represent containment of Judaism by a Messianic saviour (Horowitz 1997: 125). *Schindler's List* does *not* trade in Manichean certainties.

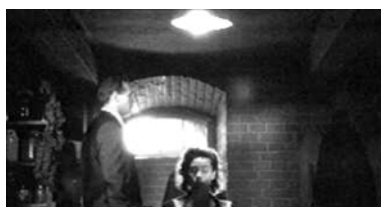
Furthermore we must not forget that the devil has traditionally been envisaged as an imitator of God, mocking His actions. The film does not always follow this rule exactly: some times it is Goeth who acts first, forcing Schindler to *repeat* his actions while opposing them. I am referring for example to Goeth's welcoming speech when he says that "Today is History" and that those six hundred years of Jewish presence "never happened", which will be subverted by Schindler's equally welcoming speech to his own camp of saved Jews in Brinnlitz.

Some other times Goeth mimicks Schindler's actions. This is the case of possibly the most astounding *repeated* sequence: the interrogatory to Helen Hirsch performed by each of the two men. Although shot alike and located in the same space, the two scenes present two situations which serve to widen the differences between both characters even more. As Sara R. Horowitz (1997: 131) puts it,

The films posits two contesting models of manhood –Schindler and Goeth. The film asks, What is a real man– the sadist or the savior? [...] The contrast between Goeth and Schindler is brought out by the scene each shares with Helen Hirsch in the cellar at Paszów.

On the one hand, Schindler's mock interrogatory prepares both the viewer and Helen Hirsch for Goeth's real interrogatory and torture. Schindler's performance includes all the elements we are used to in *film noir* interrogatories, especially the setting, with the housekeeper sitting on a wooden chair and a bulb above her head. Its very strangeness in a film such as *Schindler's List* adds to the episode an extra strength (F8). The scene ends with Hirsch standing up and being kissed by

Schindler. On the other hand, Goeth's interrogatory is a monologue full of questions which are either rhetorical or answered by himself. His Shylock-like speech⁶ serves to show an inner side of Goeth which had already been hinted at by Schindler in his previous interrogatory: Goeth's affectionate love for the housekeeper. Even the setting, although the scene is shot in the same place, takes a very different turn, with Hirsch standing up and being circled by Goeth (F9) until he starts beating her, precisely when it looked as if he were going to do what Schindler had done before him: kiss her. This repetition of sequences with a difference coincides with Shlomith Rimmon-Kenan's words about the analogy between characters: "When two characters are presented in similar circumstances, the similarity or contrast between their behaviour emphasizes traits characteristic of both" (Rimmon-Kenan 1983: 70).



F8



F9

Among those traits which both Schindler and Goeth share is their passion for women. However, even in this respect both characters undergo a completely different evolution. In that first glossy sequence at the restaurant, Schindler pays some attention to the women sitting opposite him. They stare back at him while he concentrates on the Nazi officer, who is accompanied by another woman who will eventually feel Schindler's seductive power. Goeth's first woman is Helen Hirsch, whom he chooses because of her lack of experience, her virginity as a maid, as it were. In their first encounter, Goeth shows some sort of respect towards the woman by not getting too close to her, so that, he says, he does not give her his cold. Immediately afterwards, Hirsch is witness to the assassination of another woman whom Goeth has ordered to shoot. The woman is a civil engineer who states that the building they are constructing must be rebuilt. They will follow her instructions but only after killing her: Goeth does not want a

6. Goeth literally quotes William Shakespeare's Shylock in *The Merchant of Venice*: "Hath not a Jew eyes?". Shylock's appealing speech is given to claim his right to take revenge. Goeth's attempts to justify his lust for Hirsch and, more interestingly, allows the viewer to see him as someone more human than what his actions indicate, someone who, for a short moment, tries to put himself in the place of the Jews, and someone who is closer to Schindler in his attitude towards women, at least in this speech.

Jewish woman to question his authority. Hirsch soon realises that being a woman will not be enough to please him.

Later on both men perform an extensive act of kissing. Schindler starts kissing women to celebrate his birthday; his kissing a Jewish girl will paradoxically lead him to imprisonment and, eventually, *rescue* by Goeth. Goeth's excuse for kissing is the New Year: he wants to kiss all the women at the party, an occasion which will be used by Schindler to try to change the officer's implacable attitude to a more forgiving one. This momentary imperial mood of Goeth's is visually reinforced in the film by his wearing white clothes and his riding a white horse (F10). The use of light-coloured clothes is typically associated with Schindler throughout the film (for example in F11), which means that momentarily at least Goeth parallels Schindler. Despite all those similarities, the eventual disposition of both characters towards women is completely different: Goeth ends up beating Helen Hirsch and Schindler returns to his wife in those two sequences already mentioned.



F10



F11

In spite of his having been presented as attractive by some analysts of *Schindler's List*, the character of Amon Goeth is rather flat from the start. Perhaps his lack of motivation for his evil actions makes him more of a mystery. According to Lester D. Friedman (2006: 318), "Yet another problematic critique focuses on the evil of Amon Goeth. While Spielberg offers at least a few clues about Oskar's evolution, Goeth remains a motiveless malignancy throughout the movie". Bernstein (1994: 429) argues that "For long stretches, the film's energy derives chiefly from the battle between Oskar Schindler and Amon Goeth. [...] The stakes of the contest are, of course, the lives of 'their' Jews". This statement seems particularly apt when applied to the bargaining sequence, where the nature of the *game* both men play acquires anti-Faustian proportions, since what Oskar is implicitly trying to do is to convince the *devil* to let some people be saved.

The scope of their confrontation is a very ordinary one. Schindler and Goeth are the two halves of a single character with a double self, a kind of Jekyll-Hyde

figure. But they can also be seen as two brothers who continuously remind each other of their opposed, if complementary, personalities.

Bruno Bettelheim (1991: 91) argues that stories telling about the evolution of two brothers have been with us for hundreds of years: “The motif of the two brothers is central to the oldest fairy tale [...]. In over three thousand years since then it has taken on many forms”. As happens in *Schindler’s List*, “In all variations of this tale, the two figures symbolize opposite aspects of our nature, impelling us to act in contrary ways” (Bettelheim 1991: 91).

This ambiguity of character⁷ reaches its peak in the shaving sequence, in which, if we are not watching attentively, it is easy to confuse one with the other, although Schindler’s face is overexposed and Goeth’s underexposed (F12 and F13). This sequence seems to follow Bettelheim’s stance that “By juxtaposing what happens between the good and the evil brother [...] the story implies that if the contradictory aspects of the personality remain separated from each other, nothing but misery is the consequence: even the good brother is defeated by life” (96).



F12



F13

Later on, in that mirror-like sequence where both sit at a low table, the only line that separates them is a disturbing shadow (F14) which stands in the place of the cross that appeared in the first meeting with Stern (F4), a sequence which this latter one very much resembles.



F14



F5

7. “Spielberg was fascinated by Oskar’s ambiguity, and sought to render it in the film”, says Thomas Keneally (1998: xiii). Goeth’s characterization contributes to increase Schindler’s mystery.

Goeth's characterization contributes to the development of Schindler's personality. According to Bettelheim (95),

Whatever the details, in the stories of the "Two Brothers" type there comes the moment when the brothers differentiate from each other, as every child has to move out of the undifferentiated stage. What happens then symbolizes as much the inner conflict within us – represented by the different actions of the two brothers – as the necessity to give up one form of existence to achieve a higher one.

Eventually, Schindler will achieve that higher form of existence Bettelheim refers to. Although this is achieved at the cost of Goeth, who remains a flat character from the beginning to the end of the film, as mentioned above, and who always fails in his few attempts to do some kind of good.

In the end the tale of these particular *brothers* can be regarded as a reflection of that former story of death and hatred between Cain and Abel. In this case the evil in Goeth would have sinned against the good in Schindler by killing *his* people.

4. STEVEN SPIELBERG: MAN, DIRECTOR, PIOUS

According to the innumerable interviews⁸ in which Spielberg has explained how the direction of this film came to be associated with his rediscovery of Jewish traditions, anyone could think *Schindler's List* a three-hour tale of Jewishness. The film's imagery is not only full of Messianic references but also of Catholic references. Together with all the instances of sequences which refer to either of these traditions there is the final speech, in which, at the same time as Schindler crosses himself, one of the Jews sings a Jewish song in Hebrew. By this blending of two religions in one single idea of goodness Spielberg manages to reconcile both traditions. Voices have been heard against this blending, as Morris (2007: 231) explains:

Religious Jews have resented Schindler, as hostilities end, making the sign of the cross over those he has saved. This allegedly asserts, insultingly, that Christian superiority has redeemed them spiritually as well as physically (Horowitz 1997: 132). Considerable mental gymnastics are required to substantiate this.

8. For a comprehensive view of any thing that had to do with the production of the film see Thomas Fensch's splendid compilation of articles and interviews on these topics: *Oskar Schindler and his List: The Man, the Book, the Film, the Holocaust and Its Survivors* (1995).

Criticism coming from analysts who study *Schindler's List* without considering this film along with the rest of the director's films tends to overlook the fact that this simplified use of religion is not something new in Spielberg's career,⁹ which began in 1971 with *Duel*. In his first film we already found evil *incarnate* in the shape of a lorry.¹⁰ The extraterrestrials of *Close Encounters of the Third Kind* (1977) were wrapped in mystical paper (Insdorf 2003: 266), although they were not assigned any specific religion. The Indiana Jones saga (Spielberg 1981, 1984 and 1989a) continued that approximation to religion from its most fantastic side, which ended up with the resolution of the eventual difficulties in each story thanks to an act of faith. *The Color Purple* (1985) translates Alice Walker's novel (1982) of the same title, which consists of a series of letters that Celie, the protagonist, addresses to her own idea of God. In *Empire of the Sun* (1987) Jim, for a fraction of a second, brings back to life a person that has just died and he will try to do the same with his oriental friend, in yet another blending, another reconciliation, of two traditions, two cultures. *Always* (1989b) is the film with more obvious supernatural connotations, since it has a ghost figure as main character. But the film which gets closer to the religious idea shown by Spielberg in *Schindler's List* is undoubtedly *E.T., the Extra-Terrestrial* (1982), as Annette Insdorf (2003: 266) points out. In *E.T.* we find, among other similarities, a creature from another planet and his *brother on Earth* being raised from the dead in the same miraculous manner as Schindler's Jews are saved from a horrible death in Auschwitz. In this parallelism, Sara R. Horowitz (1997: 125) observes one of the various traits that, according to her own interpretation, make of this film a Christian tale:

Instead, the film turns out to be about Christianity, transforming Schindler into a prodigal son and ultimately into one of the Christ-like saviors that populate Spielberg's films. *E.T.*, for example, is replete with Christological references. The alien humanoid who proves himself more-than-human comes to earth from a "home" beyond the skies (heaven) to redeem humans from a bleak, valueless life devoid of loving connections because humans cannot save themselves. Similarly Schindler, whose face is backlit, illuminated, or framed with a halo, and who looks on his Jews from above, rescues the powerless, death-bound Jews. Schindler saves "his" Jews – whom he calls "my people" – physically and redeems them spiritually.

9. For a survey of Spielberg's career as a filmmaker up to the release of *Schindler's List* see, for example, Baxter (1996) and McBride (1997).

10. The title of the film in Spain, *El diablo sobre ruedas*, makes this connection much more explicit.

As we have seen, Schindler's representation is not only reminiscent of Christ, but also of the Jewish God of the *Bible*: which means that there is much more blending than imposition in *Schindler's List*. Although Spielberg (in Palowski 1998: 171) has stated that in his own mind he cannot "make the comparison between *E.T.* and *Schindler's List*", the similarities are still there and his religious blending may be partly due to his childhood experience as a Jewish boy in a Christian neighbourhood. John H. Richardson (2000: 159-160) quotes Spielberg's recollection of his wish for Christmas lights:

I kept wanting to have Christmas lights on the front of our house so it didn't look like the Black Hole of Calcutta in an all-Gentile neighborhood – our neighborhood used to win awards for Christmas decorations. I would beg my father, 'Dad, please, let us have some lights,' and he'd say, 'No, we're Jewish,' and I'd say, 'What about taking that white porch light out and screwing in a red porch light?' and he'd say, 'No!' and I'd say, 'What about a yellow porch light?' and he said, 'No!'

Going back to *Schindler's List*, Judith E. Doneson (1997: 149-150) wonders about the presence of Christian crosses at the end of the film:

And the cross on Schindler's grave combined with all the crosses in the Christian cemetery? Perhaps an insinuation that the memory of Jewish destruction should serve to remind Israel that a more Christian attitude toward its neighbors ought to be forth-coming.

Doneson (149) thinks that this scene, with the Christian crosses and the superimposed title "In memory of the more than six million Jews murdered", "lends emphasis to the notion that Jewish survival depends upon Christian benevolence". I rather think that the emphasis is on the idea of living together, on a respectful coexistence of religions and cultures.

Spielberg's interpretation of religion in all the above mentioned films, *Schindler's List* included, is a rather simple one and it is a matter of lesser importance whether you are a Jew, a Catholic, or a believer in any other god, as long as you are *good*. In this sense we could define the faith that is displayed throughout these films as a sort of super-religion – conversely, another possible definition might be infra-religion – which has traits common to various, more elaborate, beliefs.

5. CONCLUSION: SPIELBERG TO THE RESCUE

In the beginning there was the Sight. The only remnants of the camera's errant wandering are the last traces it has stamped on our minds. It wanders

through streets full of corpses, black blood, hidden children, close-ups of the proximity of unknown people, until it pans in that wide shot (F15) that accompanies the red stain (F16) that wants to spring from the screen while we share the viewpoint of a deified Schindler. “Schindler observes from a safe Godlike perspective – virtually the film spectator’s, in psychoanalytic accounts – from which he can see everything but remain untouched, yet emotionally involved”, says Morris (2007: 235). From that peak, from his own stature, and from the height given to him by his horse (F17), his money and his contacts, from that hill, this god in white descends and chooses his people. Chosen among chosen people, the Jews of the list are introduced in the same apparently random manner in which the monstrous Amon Goeth will practise his sniping skills. Oskar Schindler is presented to us as someone who has possessions and wishes more, an empty life he tries to remedy buying his own people. “They’re mine”, he says, and god’s word falls on a Nazi officer.

Both in real life and in the film, Spielberg shares Schindler’s divine condition and the power that is gained through clemency. Perhaps that is one of the reasons why the director filmed the story of the Nazi member: to show the gratitude of Jewish people to those who in one way or another helped them, but also to tell the people afflicted in their seats that we are the chosen people because we can go and see his film and go out of the cinema without fearing being shot by someone from a balcony. For those who did not understand this simple reason included in *Schindler’s List*, Spielberg would make *Munich* in 2005.



F15



F16



F17

Creators are sometimes referred to as gods. In the case of Spielberg this is even clearer, since he is known as such, as *god*, among his subordinates. And not only among them. Stephen Schiff (2000: 171) recalls his meeting Spielberg at the Consumer Electronic Show in Las Vegas in 1994 in the following terms:

As he [Steven Spielberg] played with a video game that traced the berserk journey of a runaway truck on a sere and distant planet, I overheard a pimply young techie murmur, "Look, it's God." His companion craned his neck, caught sight of Spielberg. "Hey, you're right," he said. "God."

Spielberg, the god, the rescuer, aims at what can still be done in so many places around the world. While shooting the film, Spielberg told Thomas Keneally (1998: xiii) "I know you would have liked to see it made earlier, but this was the right time to make it". "He gave a number of reasons", adds Keneally (xiii), "but one of the chief ones was that this was the first time since World War II that the barbarous term "ethnic cleansing" was in play again, this time in the Balkans". In an interview given to Susan Royal (2007), Spielberg admits that "I made it [*Schindler's List*] this year because I was so upset about what was happening in Bosnia, as well as about the attempted genocide of the whole Kurdish population".

Spielberg has often said, and critics have recognised, that he privileges the viewer's experience and wants each viewer to become the eventual director of his films. It is as if he wanted to be one with the viewer, like Schindler, according to Crowe (2007: 626), was one with *his* Jews:

By the end of the war, Oskar became so close to his Jewish workers that it became difficult for outsiders, particularly in Germany, to separate Oskar from his Schindler Jews. In some ways, his efforts to help Jews during the war created a unique symbiosis between himself and his Jewish workers, and in many ways they became one.

By making this film Spielberg the man was rescuing memory, rescuing himself and rescuing us. If the Ten Commandments can be summed up in two, Spielberg's *List* can be reduced to just two words, the same words E.T. says to a child, Gertie (Drew Barrymore), at the end of the film *E.T.*: "Be good".

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NATURE IMAGINED IN S. T. COLERIDGE'S "MEDITATIVE POEMS" AND MIGUEL DE UNAMUNO'S *POESÍAS*: A STUDY ON RECEPTION

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ABSTRACT. *This paper aims at exploring some aspects of Miguel de Unamuno's engagement with Samuel Taylor Coleridge's poetry. The Spanish author wrote in 1907 his first collection of poems, Poesías. A non-negligible number of poems in the collection bear significant resemblances with Samuel Taylor Coleridge's "meditative" poems. It is my purpose here to analyse these similarities so as to prove that they are not mere chance, but the result of Unamuno's attentive reading of Coleridge's poems, which he frequently praised. Hence, a study of the Spanish author's readings of the 1893 edition of The Works of S. T. Coleridge, now held in Unamuno's private library in Salamanca, and the annotations he penned on its pages, will be offered first.*

1. MIGUEL DE UNAMUNO AND ENGLISH ROMANTICISM

Miguel de Unamuno's high regard for British literature and culture is a well-known fact. It has already been pointed out by Sánchez Barbudo (1950), Earle (1960), García Blanco (1959, 1965) and, more recently, by Doce (2005) and Perojo Arronte (2007). His reading of British literary works was extensive.¹ Yet, among

1. In his article on the reception of British poets in Unamuno, García Blanco (1959) identifies some to have exerted certain influence upon him, namely, William Wordsworth, S. T. Coleridge, Robert Browning, Elizabeth Barrett Browning, William Cowper, Alfred Lord Tennyson, Lord Byron, P. B. Shelley, John Keats, William Shakespeare, John Milton, William Blake, Dante Gabriel Rossetti, George Meredith, Algernon Charles Swinburne, and William Butler Yeats. Moreover, García Blanco (1965) also noted that Unamuno translated Herbert Spencer's essays and wrote some critical articles on Defoe's *Robinson Crusoe*, Jonathan Swift, Fielding's *Joseph Andrews*, William Cobbett, George Borrow, and Charles Dickens.

British authors, he felt the deepest fondness for Romantic poetry as it is clearly seen in the following statement, belonging to a letter, dated May 1899, Unamuno sent to Rubén Darío (1926: 166): “ningún poeta francés moderno me produce la hondísima impresión que los musings de Coleridge o de Wordsworth o las monótonas melopeas de Browning”; or later in 1901 when he claims: “he sufrido la impresión de poetas, del gran Leopardo [sic] (me lo sé casi de memoria) ante todo, y de la lírica inglesa (Wordsworth, Coleridge, Burns, etc.) que es la que prefiero”² (Unamuno in García Blanco 1959: 89). This preference is easily recognisable in the volumes held in his private library in Salamanca.³ There, Unamuno kept the poetical works of William Blake, William Wordsworth, Samuel Taylor Coleridge, Percy Bysshe Shelley and Lord Byron⁴ as well as some critical volumes on English poetry totally or partially devoted to Romantic poetry.⁵

I feel compelled to go beyond the unquestionable fact of Unamuno’s reading of the Romantic authors, which has for long been rightly admitted, and further explore the reception of certain Romantic ideas and poetical patterns and images in the Spanish author and their recognizable echo in his production. This study is limited to Unamuno’s first collection of poems, *Poesías*, which presents some arresting points of contact with Coleridge’s early poems.

Poesías appeared in 1907 as Unamuno’s determined attempt to contribute a fresh poetic vein to the, from his viewpoint, artificial and baroque verses produced in some early manifestations of Modernism. In his particular literary battle against contemporary technical excess and elaborated rhetoric, he found in the English Romantics, especially in Coleridge and Wordsworth, sound allies. The poetical experiments, as they called them, undertaken by the Lake Poets deeply attracted the Spanish author a century after their publication. Their turn to natural

2. Unpublished letter.

3. I want to express my deep gratitude to the librarian at the “Casa-Museo de Miguel de Unamuno”, for her useful help.

4. The following poetical works by Romantic authors are found in his library: *Poetical works of Wordsworth*. London: Frederick Warne, 1875 (reprint of the 1827 edition); *The Poetical Works of Lord Byron*. London: John Murray, 1905 (edited, with a memoir by Ernest Hartley Coleridge); *Poems of William Blake*. London: George Routledge & Sons, 1905 (edited by W. B. Yeats); *The poetical works of Percy Bysshe Shelley*. London: George Routledge and Sons, 1880 (edited with an introductory memoir by William B. Scott).

5. The following works are also found in Unamuno’s private library: Francis Jeffrey. *Essays on English Poets and Poetry: from the Edinburgh Review*. London: George Routledge & Sons, 1900; Julio Calcaño. *Tres poetas pesimistas del siglo XX: estudio crítico por Julio Calcaño*. Caracas: Tipografía Universal, 1907; Thomas de Quincey. *Reminiscences of English Lake Poetry*. London: J. M. Dent, 1907; John Trelawny. *Records of Shelley, Byron and the Author*. London: George Routledge & Sons, 1878.

conversational language, and the simplicity in the structure of their poems, was found profoundly appealing by Miguel de Unamuno.

Besides, the Spanish author found highly interesting and promising the new conceptualisation of the universe and poetics that the English authors proposed by way of their poems. In his first recorded mention of the English Lake poets, dated as early as 1885, Unamuno (1966: I, 171) wrote: "Desde el balcón se ve un hermoso paisaje, pero no soy poeta *lakista* y dejo al cuidado ajeno el imaginarse tal paisaje, asegurando que es más hermoso lo que se adivina que lo que se ve". Nature and imagination are key terms in this first reference to Romantic poetry by Unamuno. These two terms combined in the phrase "nature imagined" encompass the main innovations in poetics endorsed by the Romantic authors. It goes without saying that Coleridge was the leading theorist of the English Romantic movement, and chief responsible for the re-evaluation and exaltation of the powers of the imagination and the defence of the symbolic nature of the outward world, which can only be rightly interpreted by means of that excellent faculty. His poems and prose works, which were well received by Unamuno, bear ample testimony of his poetics.

The Spanish author read and annotated Coleridge's *Poetical Works*, *Biographia Literaria* and *Essays & Lectures on Shakespeare & some other old poets & dramatists*. These three works are held in Unamuno's private library, in Salamanca. A fairly accurate chronology of the Spanish writer's readings can be established. He first read Coleridge's poems in some Spanish translation, probably as early as 1885, and later approached them again in the 1893 English edition which he owned. Then, in 1906 he turned to *Biographia Literaria*. This is Coleridge's masterpiece, the work where he intended to give a comprehensive exposition of his poetics and the philosophical tenets on which it was based. Unamuno carefully marked in pencil some passages in his copy of *Biographia Literaria*, which proves his attentive study of the volume.⁶ His reading of Coleridge's work further enhanced Unamuno's enthusiasm for the Romantic poet. Thus, in 1907, Unamuno (1966: III, 398) expresses his admiration for "that marvellous Coleridge" in an article entitled "Soliloquio:"

¿No te acuerdas lo que dice aquél, tu muerto amigo, aquel maravilloso Coleridge, en su *Biographia Literaria*? Tú has querido siempre a Coleridge [...]. Tú has querido siempre a esta águila del espíritu y hasta has traducido alguna de sus poesías colocándolas entre las tuyas originales, para que las realce.

6. Coleridge's marks in *Biographia Literaria* had already been studied in Bautista (2000) and re-evaluated by Flores Moreno (forthcoming).

This same year he acquired an edition of Coleridge's *Essays & Lectures on Shakespeare & some other old poets & dramatists*. The two years going from 1906 to 1908 are probably the period when Unamuno's reception of Coleridge's ideas is most easily distinguishable in his poems and short articles.

Nonetheless, Coleridge's influence on Unamuno is not limited to that period; a couple of decades later his admiration for Coleridge had not faded away. Unamuno's collection of poems *Rimas de Dentro*, published in 1923, includes some poetical pieces, namely, "Caña Salvaje", "Incidente Doméstico", "La Nevada es silenciosa", and "Viendo dormir a un niño", which present significant resemblances with some of Coleridge's conversation poems.⁷

In 1929 Unamuno devotes a short poem to the English poet entitled "Cuna de noche Coleridge en sueños", published in *Cancionero, Diario poético 1928-1936*, as an open tribute to Coleridge's *Kubla Khan*. The starting image of the dream in Unamuno's poem reminds us of the famous Preface of *Kubla Khan*, and the images of the moon, the chasm and the bursting fountain seem to recreate the central lines of Coleridge's most popular poem.

2. UNAMUNO'S READING OF COLERIDGE'S POEMS

It has already been stated that Unamuno's first statement about English Romantic poetry took place in 1885. Nonetheless, he could not read English until approximately 1890, when he was twenty-six. Therefore, his first encounter with Coleridge must have probably been, Earle (1960: 25) suggests, through Vicente de Arana's Spanish translation of Coleridge's poems. Unamuno devoted in 1890 a short article to Vicente de Arana, published in *El Noticiero Bilbaíno*, where he praised the works of his friend and recounted how he had enjoyed Arana murmuring poems by Wordsworth and Coleridge.⁸

7. The analysis of these poems remains beyond the limits established in this paper due to a question of space, but could be the subject of a further study.

8. Unamuno (1966: III, 1252) wrote: "[Vicente de Arana] Quiso infiltrar en nuestro rudo pueblo algo de la delicadeza de la clase culta de Inglaterra; basta ver sus obras. Gustaba con el alma de la literatura inglesa y a él debemos las más lindas traducciones de Tennyson. Muchas veces le he oído murmurar a solas versos de Wordsworth o de Coleridge". It is difficult to ascertain whether Vicente de Arana published or not any translation of Coleridge's or Wordsworth's poems. He may have published them in some local journals, but a more exhaustive research work must be undertaken to state any conclusion. He certainly published poems by Tennyson, Keats, Byron and Longfellow. Some of Arana's translations were published in his volume *Oro y Oropel*. To know more on Arana's translations see José Miguel Santamaría (1982).

Later, once he could read English confidently, Unamuno purchased the 1893 edition of Coleridge's *Poetical Works*,⁹ which is now held in his private library in Salamanca. This volume is based on the text of the 1829 edition, which was selected by James Dykes Campbell for his 1893 collection of Coleridge's poems. Later editions were based upon the 1834 text, arranged by H. N. Coleridge, but with some variations introduced by the author himself. One of the modifications introduced had to do with the overall organisation and classification of the poems which followed strictly the chronological order of composition.

It is interesting to note that in the edition of Coleridge's poems owned by Unamuno, the poetical pieces are classified according to various criteria, thematically as well as chronologically. For instance, one of the headings is "Early poems", in which "Composed at Clevedon", "Reflection on Having Left a Place of Retirement", "Religious Musings" and "The Destiny of Nations" are included. Yet, what is more important for this study is that there is a section entitled "Meditative Poems" which include, in this order: "Hymn before sunrise in the vale of Chamouni" (1802), "Lines written in the Album at Elbingerode in the Hartz Forest" (1799), "Inscription for a Fountain on a Heath" (1802), "A tombless Epitaph" (1809), "This Lime-tree Bower my Prison" (1797), "To a friend who had declared his intention of writing no more poetry" (1796), "To William Wordsworth" (1806), "The Nightingale" (1798), "Frost at Midnight" (1798), and "The Three Graves" (1798).

Unamuno frequently referred to his favourite poems as Coleridge's "meditative poems". The source of this denomination is most probably the heading of that section in that edition. It is also worth noting that Unamuno's first collection of poems, most of them written during the year he was perusing *Biographia Literaria*, includes a section entitled "Meditaciones". Moreover, the volume is profusely annotated with words and phrases in Spanish that translate those in English, as well as some marks which highlight specific passages from the poems. This is the irrefutable proof of Unamuno's attentive reading, or rather, study of the poems. In addition, the Spanish author also wrote down some marks – short vertical lines crossed by a longer horizontal one – next to the title of the poems in the content pages, as well as next to the text of the poems. As I see it, these marks may probably signal the number of times he perused each poem. Hence, if I am right, the poems that he read more frequently, according to the number of marks, are those under the heading "Meditative Poems", and some individual poems such as "Religious Musings", "Fears in Solitude" and "Reflections on Having Left a Place of

9. *The Poetical Works of S. T. Coleridge*. London: Frederick Warne, 1893.

Retirement". The latter seems to be Unamuno's favourite poem by Coleridge since he translated it into Spanish in July 1899 and published it in 1907 in *Poesías*.

In May 1899, Unamuno (in García Blanco 1954: 10) had already announced, in a letter addressed to his friend Pedro Jiménez Ilundáin, his intention of including a translation of one of Coleridge's poems in his future volume of poetry: "Mi propósito es publicar en un tomito mis poesías, con dos traducciones: una de Leopardi y otra de Coleridge".¹⁰ One month later, he (11) penned another letter where he announced his desire of introducing his collection of poems with a preface: "en que, por vía de comentario a mi traducción de *La Ginestra* de Leopardi, y de algunas poesías de Coleridge, hable de los principios estéticos de que mis composiciones son trasunto".¹¹ Eventually, he did not include this preface; instead, as Coleridge had done in his youth, Unamuno used his verses to transmit his poetic principles.

Coleridge's poems were built upon a deep philosophical basis. He (1956: I, 137) stated: "I cannot write without a *body* of *thought* – hence my *Poetry* is crowded and sweats beneath a heavy burthen of Ideas and Imagery". His views of poetry and the poetic act can be discerned behind the lines of his early poems, especially in those Unamuno labels "meditative poems". This is probably one of the features the Spanish author most admired in Coleridge's poetry. Unamuno (in García Blanco 1954: 17) declared: "Guardo, a la vez, reflexiones acerca de la Poesía meditativa, sugeridas por mis frecuentes lecturas de Leopardi, de Wordsworth, de Coleridge".¹²

According to all this evidence, Unamuno seems to have felt more interest in the poems by Coleridge that have been labelled "conversation poems". Obviously, Unamuno could not have used this title because it was first coined in 1925 by Harper in his paper "Coleridge's Conversation Poems".¹³ One of the main features of these poems is their easy conversational tone, that of someone intimately

10. Unpublished letter.

11. Unpublished letter.

12. Unpublished letter.

13. Harper adopted the label from the subtitle of "The Nightingale. A Conversation Poem" and following the epigram quoted from Horace to "Reflections on Having Left a Place of Retirement": "Sermoni propiora", that is, "More fitted to conversation or prose". As it is well-known, the so-called "conversation poems" are: "The Eolian Harp", "Frost at Midnight", "The Nightingale", "This Lime-Tree Bower my Prison", "Reflections on Having Left a Place of Retirement" and "Fears in Solitude". According to the marks done by Unamuno in *Coleridge's Poetical Works*, only "The Eolian Harp" seems not to have received special attention. Nevertheless, there is a poem by the Spanish author entitled "Caña Salvaje", written around March 1908, which bears clear resemblances with it, as has been pointed out by Perojo Arronte (2007).

talking to a close friend. G. M. Harper (1975: 189) observed that: "even when they are soliloquies the sociable man who wrote them could not even think without supposing a listener".

These poems are also characterised by an initial detailed description of a particular place, natural surrounding, and events that, at some specific time, provoke some extraordinary feelings. To Coleridge, these poems have a relevant *noetic* function; they are the means to obtain absolute knowledge of the spiritual power functioning inside every tangible element of the universe, as well as in his own inner self. Then, an eventual epiphanic moment of recognition of the harmonious universe, in which the communion of self and nature is achieved, is depicted at the core of the poems.

Although Coleridge's "meditative" poems have also been labelled "poems of nature", in them the poet does not remain at the sense level. The contemplation of the natural scenery is the departure point for higher meanings since natural phenomena are symbols of infinity. Coleridge frequently expressed this idea. For instance, in a well-known letter, Coleridge (1956: I, 349) declared:

I can at times feel strongly the beauties, you describe, in themselves, and for themselves – but more frequently all things appear little [...] My mind feels as if it ached to behold and know something great – something one and indivisible – and it is only in the faith of this that rocks or waterfalls, mountains or caverns give me the sense of sublimity or majesty! – But in this faith all things counterfeit infinity!

Following this, Coleridge includes a passage from "This Lime-Tree Bower" as an explanatory instance. The recognition of the invisible spirit within tangible nature is also present in some other poems of those marked by Unamuno, as in "Hymn before Sunrise in the Vale of Chamouni";

Oh dread and silent Mount! I gazed upon thee,
Till thou, still present to the bodily sense,
Didst vanish from my thought: entranced in prayer
I worshipped the Invisible alone. (Coleridge 1994: 377)

Or in "Lines written in the Album at Elbingerode, in the Hartz Forest", also included under the title "Meditations", where Coleridge (315) writes: "That outward forms, the loftiest, still receive / Their finer influence from the Life within".

In addition, these poems show relevant theological implications as it is best seen in "Religious Musings" and "Fears in Solitude". The following illustrative passage belongs to the latter. After a strenuous ascent to the top of a hill, an

outburst of emotion takes place in front of the vision of higher religious meanings in the landscape:

Here he might lie on fern or withered heath,
While from the singing lark (that sings unseen
The minstrelsy that solitude loves best),
And from the sun, and from the breezy air,
Sweet influences trembled o'er his frame;
And he, with many feelings, many thoughts,
Made up a meditative joy, and found
Religious meanings in the forms of nature! (257)

Similarly, in "Reflections on Having Left a Place of Retirement", the most intense feelings are provoked by the recognition of God's omnipresence in the universe. Unamuno noted down nine marks next to the line in which the moment of highest emotion is expressed, the last one in the following passage:

It seem'd like Omnipresence! God, methought,
Had built him there a temple: the whole World
Seem'd imag'd in its vast circumference:
No wish profan'd my overwhelmed heart.
Blest hour! It was a luxury, – to be! (107; my italics)¹⁴

In this particular view of the organisation and functioning of the universe, the poet plays an important role to Coleridge, that of disclosing first, and further rendering in verse this sublime reality the powerful spiritual forces working within nature. Coleridge (265) provides for the first time some pieces of advice to write good poetry in "The Nightingale", also profusely annotated by Unamuno:

And many a poet echoes the conceit;
Poet who hath been building up the rhyme
When he had better far have stretched his limbs
Beside a brook of mossy forest-dell,
By sun or moon-light, to the influxes
Of shapes and sounds and shifting elements
Surrendering his whole spirit, of his song
And of his fame forgetful! So his fame
Should share in Nature's immortality,

14. Unamuno (1966: VI, 330) translated these lines as follows: "¡la omnipresencia en torno! ¡Dios parece / que aquí se ha alzado un templo; el mundo entero / de su vasta extensión en el contorno apréciame imagen en pintura! / Ningún deseo al corazón henchido / me profanaba impuro. ¡Hora bendita! / ¡era entonces un lujo la existencia!".

A venerable thing! And so his song
Should make all Nature lovelier, and itself
Be loved like Nature.

According to what he expresses in the poem, the task of the excellent poet is to extend both his body and mind to nature, and prepare to receive its influences. Each sensible element in the landscape must first be appreciated in itself, but soon the awareness of another spiritual dimension emerges. The poet bewails that real nature is usually misinterpreted and hence further misrepresented by those poets who create poems artificially, devoting all their potentialities to elaborate complex verses, instead of opening their minds to the essence of the natural world. No doubt, these ideas were found truly appealing by Miguel de Unamuno as is proved by the echo they find in his poems, as I aim at showing next.

3. MIGUEL DE UNAMUNO'S *POESÍAS*

"Aquí os entrego, a contratiempo acaso, / flores de otoño, cantos de secreto" (Unamuno 1966: VI, 168). These are the first lines of "¡Id con Dios!", first poem in *Poesías*. In them, the author overtly exposes his awareness of the surprise that his first collection of poems was going to provoke among contemporary literary men. The cause of the surprise was that this volume came to disclose a hidden facet of the forty-two year old Unamuno, that of a poet.

The plan of publishing a collection of poems came up some years earlier than its eventual publication; some of the poems belong to 1899. However, Unamuno composed more than half of the poems that make up the collection in 1906. In several unpublished letters dated that year, Unamuno (in García Blanco 1954: 74) affirms that he is totally devoted to poetry: "Ahora estoy en vena poética y no hago sino versos".¹⁵ Some months later, he (74) stated: "Ahora me ocupo en corregir y arreglar mis poesías. Más de la mitad son de este año".¹⁶ His intention was to publish the collection in May 1906 but he felt such an intense poetic creativity that he decided to extend his project from fifty poems to a hundred and, as a result, the publication was delayed until spring next year.

The fact that he wrote most of the poems in 1906 is of utmost importance for the present study since, as already stated, Unamuno acquired and read *Biographia Literaria* in the course of that year. Additionally, at that time he already had a

15. Unpublished letter to Federico de Onís, 24 April 1906.

16. Unpublished letter to Federico de Onís, 2 November 1906.

profound knowledge of Coleridge's poetry, especially of those poems labelled "meditative".

In *Poesías*, Unamuno gathers the poems under different headings.¹⁷ An initial superficial analysis reveals some traces of Coleridge's influence in this collection. In this respect, five of these sections require some attention. First, "Introducción", where Unamuno includes, among others, the poems "¡Id con Dios!", "Credo Poético" and "Denso, Denso", which serve as a sort of poetic manifesto. Besides, the poems in the section "Meditaciones" are especially interesting for the reasons already cited. In addition, those under the headings "Incidentes Afectivos" and "Incidentes Domésticos" reveal another feature that is easily comparable with Coleridge's poems: a common incident as the subject-matter of poetry, and as the departure point for higher meanings. And finally, in the section devoted to his translations of some of his favourite poems, "Traducciones", Unamuno included his translation of Coleridge's "Reflections on Having Left a Place of Retirement".¹⁸

A first reading of the poems, particularly of those labelled "meditations" and "incidents", discloses some traces which easily remind us of Coleridge's early poems: the conversational tone, and the development of the poem departing from an incident or particular natural surrounding described in detail. These features have already been pointed out by some authors, even though the connection with Coleridge's influence has not been done. First, the conversational tone of Unamuno's poems illustrates, in González's words (2003: 27, 27n): "la conciencia precisa del interlocutor necesario", "en busca de un diálogo íntimo". In his poems, Unamuno frequently addresses an absent individual to whom he discloses his inner feelings.

Moreover, Francisco Yndurain (1974: 346) explains that Unamuno's lines were born out of a punctual or concrete experience. Unamuno accurately noted down the date of composition, together with the precise circumstances in which the inner voice has emerged: a journey, a visit, a domestic incident, etc. Therefore, Unamuno's poetry is a true diary.

But most important, they show a certain view of poetry which he had consciously received from English Romantic authors. In fact, Unamuno (in García

17. "1. Introducción, 2. Castilla, 3. Cataluña, 4. Vizcaya, 5. Cantos, 6. Salmos, 7. Brizadoras, 8. Meditaciones, 9. Narrativas, 10. Reflexiones, amonestaciones y votos, 11. Incidentes afectivos, 12. Incidentes domésticos, 13. Cosas de niños, 14. Capricho, 15. Sonetos, 16. Traducciones".

18. Unamuno translated the title as "Reflexiones al tener que dejar un lugar de retiro". He also included in this section his translations of two poems by Carducci: "Sobre el monte Mario" and "Miramar"; "La retama" by Leopardi; and "La vaca ciega" by Juan Maragall. Jordi Doce (2005: 139-144) gives an insightful analysis of Unamuno's translation of Coleridge's poem, and shows some of its weaknesses.

Blanco 1954: 75) confessed that in this collection of poems he purposely aimed at emulating English lyrics:

En breve pienso publicar un tomo de poesías líricas, especie de musings o meditaciones, a que no sé si me lleva mi familiaridad con la lírica inglesa o mi educación en mi nativo país vasco. Lo que sobre todo gusto es de la filosofía poética o la poesía filosófica, no de la simple mezcla de la poesía y filosofía, no de los versos conceptuales en que el esqueleto lógico asoma sus apófisis y costillas por entre la flaca carne poética, no, sino de aquellos otros en que poesía y filosofía se funden en uno como en compuesto químico. Yo no siento la filosofía sino poéticamente, ni la poesía sino filosóficamente. Y, ante todo y sobre todo, religiosamente.¹⁹

The Spanish author acknowledges that he intends his poems to be “musings” or “meditations” – the terms with which he often referred to the poems by Coleridge and Wordsworth –, in that they fuse philosophy and verse. The passage quoted above immediately leads us to a well known statement by Coleridge (1983: II, 25), which was marked in pencil by Unamuno in his copy of *Biographia Literaria*: “No man was ever yet a great poet, without being at the same time a profound philosopher”.²⁰

Then, in the quotation above, Unamuno seems to be more concerned with the metaphysical skeleton and the religious significances of these poems rather than with their formal aspect. In fact, some years earlier, in 1899, he (in García Blanco 1954: 16) had stated: “mi poesía aporta algo a las letras españolas de hoy [...] en cuanto al fondo se parece a los musings ingleses, a la poesía meditativa inglesa, la de Wordsworth, Coleridge, Browning, etc.”.²¹

Poesías includes some poems which could be considered, as already noted, Unamuno’s poetic manifesto, they are “Credo poético” and “Denso, denso”. These two poems are significantly the second and third poems in his first collection, placed after the introductory “¡Id con Dios!”, which functions as *captatio benevolentiae*. Their position is by no means a trifling issue, because they are intended by Unamuno to express his views on the principles that rule the poetic act. The first overall principle is the union of feeling and thought in poetry:

Piensa el sentimiento, siente el pensamiento;
Que tus cantos tengan nidos en la tierra,

19. Unpublished letter to Zorilla de San Martín, 6 May 1906.

20. For the quotations taken from *Biographia Literaria* I have used the most authoritative edition, the 1983 edition in the Bollingen series of Princeton University Press.

21. Unpublished letter to Ruiz Contreras, 24 May 1899.

Y que cuando en vuelo a los cielos suban
Tras las nubes no se pierdan. [...]
Lo pensado es, no lo dudes, lo sentido. (Unamuno 1966: VI, 168-169)

Unamuno (VI, 169) repeats this idea in “Denso, denso:”

Mira, amigo, cuando libres
Al mundo tu pensamiento,
Cuida que sea ante todo
Denso, denso.

Y cuando sueltes la espita
Que cierra tu sentimiento,
Que en tus cantos éste mane
Denso, denso.

Hence, the Spanish author follows Coleridge in that he wholeheartedly defends the union of feeling and thought as the required ingredient for a good author; “¡Admirable pensador y sentidor, y, por consiguiente, admirable escritor Maquiavelo!” (IV, 1109), he exclaimed. Unamuno could have read this idea expressed in *Biographia Literaria*. There, Coleridge (1983: I, 25) pays tribute to Bowles and Cowper who, according to him, were: “the first who combined natural thoughts with natural diction; the first who reconciled the heart with the head”. He could also have come across it later in *Biographia*, where Coleridge (II, 144) claims that the second excellence of Wordsworth’s poetry is: “a correspondent weight and sanity of the Thoughts and Sentiments, – won, not from books; but – from the poet’s own meditate observation”. However, Unamuno did not necessarily have to read *Biographia Literaria* to find this idea since in “Frost at Midnight”, which he had previously perused, Coleridge (1994: 257) writes: “And he, with many feelings, many thoughts, / Made up a meditative joy, and found / Religious meanings in the forms of nature”.²²

The avoidance of excessive phraseology and rhetoric is strongly supported by the Spanish author. Then, the intended renewal of poetic language by means of the return to the language used by common men, so frequently preached by the English Lake poets,²³ is defended in “Credo Poético:”

22. See Vallins (2000) for a profound study on the intercommunion of thought and feeling in Coleridge’s poetics. This principle was an essential one in his literary thinking.

23. In the “Advertisement” to the 1798 edition of *Lyrical Ballads*, Wordsworth and Coleridge (1994: 106) wrote: “The majority of the following poems are to be considered as experiments. They were written chiefly with a view to ascertain how far the language of conversation in the middle and lower classes of society is adapted to the purposes of poetic pleasure. Readers accustomed to the

No te cuides en exceso del ropaje,
De escultor y no de sastre es tu tarea,
No te olvides de que nunca más hermosa
Que desnuda está la idea.

No el que un alma encarna en carne, ten presente,
No el que forma da a la idea es el poeta,
Sino que es el que alma encuentra tras la carne,
Tras la forma encuentra idea. (Unamuno 1966: VI, 169)

Unamuno proposes that the chief task of the poet must be the pursuit of the ideal in the real. He is, therefore, subscribing to the transcendental noetic function of poetry so strongly defended by Coleridge. This transcendental search is not, however, a rejection or dismissal of the materiality of the external world that surrounds the poet. As to Coleridge, to Unamuno (VI, 169) the tangible world is the threshold that leads to the spiritual, and must not be totally rejected.

Que tus cantos sean cantos esculpidos,
Ancla en tierra mientras tanto que se elevan,
[...]
Sujetemos en verdades del espíritu
Las entrañas de las formas pasajeras,
Que la Idea reine en todo soberana.

In Unamuno's poems, as Coleridge had done in his, the Spanish author presents a double view of nature; physical but, at the same time, spiritual, though only for those privileged minds that can perceive it through contemplation. His poem "Por dentro", in the section "Meditaciones", depicts this twofold nature of the universe, and maintains the existence of another world inside the one we can see: "Calla, que hay otro mundo / Por dentro del que vemos" (VI, 241).

Similarly, the poem "Nubes de misterio", included in the section "Meditaciones", recognizes a certain living spiritual energy in nature which reminds us of the plastic intellectual breeze depicted in Coleridge's "The Eolian Harp": "protoplasma; / de etéreo concebir que se difunde / por los celestes ámbitos del alma" (I, 252). This is a highly interesting poem where Unamuno dramatises the poetic principle: "Piensa el sentimiento, siente el pensamiento". The thoughts and feelings provoked, in this order, by the view of an autumnal scenery in which the sunlight is reflected in a lake, whose waves are gently moved by the wind, leads again to a meditation on

gaudiness and inane phraseology of many modern writers, if they persist in reading this book to its conclusion, will perhaps frequently have to struggle with feelings of strangeness and awkwardness".

eternity revealed in nature. In a letter to Ruiz Contreras dated June 1899, Unamuno (in Ruiz Contreras 1943: 166) wrote on the composition of the poem:

Respiro a mis anchas cuando puedo volar por las regiones nebulosas del pensamiento protoplasmático, sin ideas ni conceptos definidos, por aquellas alturas en que se funden el sentimiento, la fantasía y la razón, en que se amalgama la Metafísica y la Poesía. Mi poema “Nubes de misterio” es una pintura de este estado.

As González (2003: 31) notes, the great amount of poems that Unamuno devotes to specific natural sceneries do not attempt at depicting this outer reality in itself. Rather, they are an excuse to describe an intimate meditation, a way of expressing his own concerns and personal preoccupations by making nature symbolic. In this, Unamuno’s poems clearly resemble Coleridge’s. González (30) describes the Spanish author’s poems as: “Búsqueda trascendente y que se quiere expresión de la unicidad inalienable del individuo y de su experiencia vital”. Poetry is then the mediator between the inner self, the external self and the transcendent. This is the ground on which Unamuno builds his theory of “contemplative” poetry.²⁴ He declared: “prefiero la poesía poética, la revolución del alma de las cosas. Para mí, la poesía es una traducción de la Naturaleza en espíritu” (Unamuno 1951: 37). If we compare this passage with the following statement by the mature Coleridge (1957-2002: III, 4397), the resemblances emerge clearly: “The artist must imitate that which is within the thing, that which is active through form and figure, and discourses to us by symbols – the Naturgeist or spirit of nature”. This idea pervades his poems, and it is explicitly stated in “The Nightingale”, as we have previously seen. In “En Pagazarri”, a short essay first published in *Eco de Bilbao* in 1893, Unamuno (1966: I, 510) writes:

los paisajes, [...] mundo que se despierta y se revela al hombre mostrándole los tesoros escondidos de su espíritu. [...] En las obras del arte divino y puro, el reflejo de este mundo misterioso escondido en el alma del artista y hallado por él en ella con labor paciente, imagen más real del mundo real que la que nos da la conciencia ordinaria, nos revela el alma de las cosas de fuera.

24. Blanco Aguinaga (1975) was the first author to identify and exhaustively describe the “contemplative” aspect of Unamuno’s personality and art. Before him, scholarly attention had been chiefly focused on Unamuno’s religious “agony” (‘Unamuno agonista’). Blanco Aguinaga exposes the relevance of both aspects, which complement each other, in the author’s personality. Unamuno’s “contemplative” facet is best recognized in his poems and some short essays dealing with natural landscapes such as “En Pagazarri” (1893), “El silencio de la cima” (1911) or “Paisajes del alma” (1918), to mention just a few.

He feels an urgent need to enter the abstract reign of the spiritual, where the apprehension of universal harmony is obtained, but the departing point is only to be found if one is immersed in nature. The poem entitled "En una ciudad extranjera",²⁵ also under the section "Meditaciones" depicts this anxiety. The poem moves from the description of the paradoxically isolating crowd in the city²⁶ to the private shelter under a lime tree, where he recalls memories of his childhood in nature and, eventually, finds the unity of nature and man. The comparison with Coleridge's "This Lime-Tree Bower my Prison" seems to me unavoidable. Coleridge (1994: 179) addresses the poem to his friend Charles Lamb, who feels confined to London and longs for nature:

My gentle-hearted Charles! For thou hast pined
And hunger'd after Nature, many a year,
In the great City pent, winning thy way
With sad yet patient soul, through evil and pain
And strange calamity!

The poem depicts Charles and Mary Lamb's walk in the natural surroundings of Coleridge's cottage. The latter, who has suffered an accident that has prevented him from walking, remains secluded under the lime-tree, his "prison". Nonetheless, the initially restraining lime-tree eventually comes to be the passport to abstract musings and the apprehension of the spirit of Nature:

A delight
Comes sudden on my Heart, and I am glad
As I myself were there! Nor in this bower,
This little lime-tree bower. (180)

In "Una ciudad extranjera", the lime-tree leads the speaker to a gentler environment; his mind turns back to his roots in nature:

Voy a sentarme aquí, bajo este tilo,
Que me recuerda al tilo de mi pueblo,
Aquel que alza su copa
Donde rodó mi cuna
Y es él cuna de pájaros
Que cantaron los juegos de mi infancia.

25. The city is Oporto. In the summer of 1906, Unamuno travelled to this Portuguese city where he composed the poem which he dated 1-2 July.

26. "Ve aquí que me hallo solo / dentro del mar humano, / mar de misterio" (Unamuno 1966: VI, 266).

Memorias su perfume
Me trae de aquellas gentes
Que son las mías,
Que conmigo se hicieron;
¡la patria resucita! (Unamuno 1966: VI, 269)

There, “mecido en el aroma de los tilos” (VI, 271), he overcomes the isolation of the cold and impersonal city, and dreams of human fraternity and universal harmony. He feels that nature joins us all: “Lo que nos une / son las yerbas, los árboles, los frutos / y son las bestias” (VI, 270).

“This Lime-Tree Bower” is not the only poem studied by Unamuno where Coleridge contrasts the barren intellectual state produced by being enclosed in a city with the intellectual outburst produced in nature. Also in “Frost at Midnight”, he compares himself, who “[...] was reared / in the great city, pent ‘mid cloisters dim, / and saw nought lovely but the sky and stars”, with his son, who thanks to his upbringing in nature will:

[...] see and hear
the lovely shapes and sounds intelligible
of that eternal language, which thy God
Utters, who from eternity doth teach
Himself in all, and all things in himself. (Coleridge 1994: 242)

Coleridge’s “The Nightingale” also finds echo in *Poesías*. In “Canta la noche” Unamuno (1966: VI, 271) draws upon the motif of the nightingale’s birdsong to symbolise the language of nature:

Asomándose al cielo de la selva
Escuchan las estrellas en silencio,
Del ruiseñor el canto, voz alada
De las entrañas de la noche augusta.

As in Coleridge’s poem, in “Canta la noche” the song of the nightingale advances the recognition of nature’s harmony:

Sombra no se hacen entre sí los seres,
Ni luchan por la luz, todos se abrazan
En el regazo de la buena madre. (VI, 271)

A further trait Unamuno’s *Poesías* shares with Coleridge’s poems is the introduction of a simple incident as the departing point for abstract meditations,

as it has been already suggested. This characteristic is best seen in the poems under the titles "Incidentes afectivos" and "Incidentes domésticos".

In the former, Unamuno includes two poems that should be read together: "Veré por ti" and "Tu mano es mi destino". These two poems describe the process of self-recognition of a blind woman guided physically and spiritually by the speaker. Along the path towards the top of a hill, he guides her until the moment where she can open her eyes, see and obtain self-knowledge. This ascent to the summit of a mountain is frequently used by Coleridge as symbolic of the progressive apprehension of (self-) knowledge. Some examples are "Hymn before Sunrise in the Vale of Chamouni", "This Lime-Tree Bower my Prison", "Fears in Solitude", or "Reflections on Having Left a Place of Retirement", all of them annotated by Unamuno. In the latter, Coleridge (1994: 107) writes:

But the time, when first
From that low Dell, steep up the stony Mount
I climb'd with perilous toil and reach'd the top,
Oh! What a goodly scene!

Likewise, in Unamuno's poems the strenuous path towards the top of the hill parallels the progressive knowledge of the inner self. Yet, the recognition of the soul of nature is necessary as well: "nadie se conoce hasta que no le toca / la luz de un alma hermana que de lo eterno llega / y el fondo le ilumina" (Unamuno 1966: VI, 293). Eventually, at the summit of the mountain:

Y allí en la luz envuelta, se te abrirán los ojos,
Verás cómo esta senda tras de nosotros, lejos,
Se pierde en lontananza
Y en ella de esta vida los míseros despojos,
Y abrírsenos radiante del cielo a los reflejos
Lo que hoy es esperanza. (VI, 294)

The next poem in the section, entitled "Tu mano es mi destino", describes the same incident from the perspective of the lady who is guided until: "a su luz el sendero / se me abre a todos los lados" (VI, 295).

In the short article entitled "Paisaje Teresiano. El campo es una metáfora", Unamuno (I, 497) writes: "el universo visible es una metáfora del universo invisible; es una metáfora que conciencia de lo eterno, del ansia de inmortalidad". In addition, in the essay "Los naturales y los espirituales", he (V, 195) claims: "El poeta, si lo es de verdad, no da conceptos ni formas; se da a sí mismo". The poems "No busques la luz, mi corazón, sino agua", "Alborada espiritual" and "Nubes de misterio", all of them included in "Meditaciones", illustrate Unamuno's

view of nature as a metaphor of the inner self. In “Alborada espiritual”, for instance, the identification of nature and his soul is enacted. The fields illuminated by the moon are identified with his melancholic soul:

Su lumbre melancólica y lechosa
Bañaba a mi campiña
En lividez de resignada muerte;
Bajo ella parecía que mis campos,
Los campos de mi espíritu,
Con pesar aspiraban a la nada,
Temiéndola a la vez. (VI, 247)

The section “Incidentes domésticos”, also deserves some attention. The influence of Coleridge’s “Frost at Midnight” can be disclosed in two of the poems included in that section. Coleridge’s poem (1994: 240) starts as follows:

The Frost performs its secret ministry,
Unhelped by any wind. The owl’s cry
Came loud- and hark, again! Loud as before.
The inmates of my cottage, all at rest,
Have left me to that solitude, which suits
Abstruser musings: save that at my side
My cradled infant slumbers peacefully.

The first lines of Unamuno’s poem (1966: VI, 298) “I”²⁷ show striking resemblances with the lines above cited from “Frost at Midnight”:

Cuando he llegado de noche
Todo dormía en mi casa,
Todo en la paz del silencio
Recostado en la confianza.
Sólo se oía el respiro,
Respiro de grave calma,
De mis hijos que dormían
Sueño que la vida alarga.

Moreover, this initial image is used again in the next poem, “II”:

Tendido yo en la cama,
Como en la tumba,

27. The poems in the section “Incidentes domésticos” were not given titles by Unamuno. In his edition of Unamuno’s poems, Manuel García Blanco (1954) numbered them with roman figures.

A la espera del sueño;
Y junto a mí, en su cuna,
Yacía el niño. (VI, 299)

This incident provokes in Unamuno's poems the same intellectual response, which is different from the one that occurs in "Frost at Midnight". In "I" and "II", the image of the child in the cradle leads to a reflection on sleeping as anticipating the state of eternal calm in death: "vida pura que respira / debajo de lo que pasa" (VI, 298); "Sentí la eternidad ... luego la nada" (VI, 300). In death, Unamuno believes, time and its effects are defeated.²⁸ Once more, the poem moves from an initial "domestic" image, apparently unimportant, to a reflection on eternity.

Eternity is related to his anxiety towards death and its related religious concerns. We cannot forget that he understood poetry philosophically and religiously. Hence, in most of the poems here analysed Unamuno expresses how God's presence is disclosed in the universe, as Coleridge did in his "meditative poems". In addition, also following Coleridge, Unamuno compares human art with Divine art, his creation, the world that surrounds us, in "Incidentes Domésticos, IV". This short poem starts with the description of a child who is drawing a primitive man:

Y mientras animaba
Los rasgos del dibujo prehistórico
Cantaba bajo:
– "Soy de carne, soy de carne, no pintado,
soy de carne, soy de carne, verdadero". (VI, 302)

A sudden revelation is then produced by the view of the child drawing:

¡Maravilla del arte,
hacía hablar al tío
y proclamar su realidad viviente!
¿Hace acaso otra cosa
el Artista Supremo,
al recrearse, niño eterno, en su obra? (VI, 302)

Coleridge expressed this idea frequently, he (1957-2002: III, 4287) asserted once: "Nature is to a religious Observer the Art of God". Through his creation, God reveals himself. This belief is present, whether implicitly suggested or

28. In "Elegía eterna", Unamuno (1966: VI, 265) concludes: "Quiero dormir del tiempo / quiero por fin rendido / derretirme en lo eterno / [...] / donde el alma descansa / sumida al fin en baño de consuelo / donde Saturno muere; / donde es vencido el tiempo".

explicitly declared, in most of the poems by Coleridge that Unamuno annotated. It is especially noticeable in “Religious Musings”, where the world is said to reveal God’s creativity. In addition, and significantly, in “Reflections on Having Left a Place of Retirement”, the omnipresence of God in nature is revealed and celebrated, and nature is said to be God’s creation, His temple.

Thus, Unamuno’s attentive reading of Coleridge’s poems provided him with motifs, images, narrative patterns, and a new view of poetry at large, which helped him construct his own poetics and found wide echo in his *Poesías*. In the essay “País, paisaje y paisanaje”, Unamuno (1966: I, 705) states: “Imaginar lo que vemos es arte, poesía”. In this, the Spanish author emulates the English Lake poets. His *Poesías* illustrate his belief in the hidden spirituality of reality, and in the value of meditative poetry as the conciliator between the external world and the inner self. Every single incident or natural scenery may reveal a higher reality, of one’s soul, of eternity and universal fraternity because, as Unamuno (I, 171) suggested, following the spirit of the “*lakistas*”, “es más hermoso lo que se adivina que lo que se ve”.

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**GOD(S) FALL(S) APART: CHRISTIANITY IN CHINUA ACHEBE'S
*THINGS FALL APART*¹**

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ABSTRACT. *This paper studies the confrontation between Christianity and the Igbo religion in Chinua Achebe's first novel in the context of colonialist appropriation. An analysis of the techniques used by the Christian missionaries to infiltrate the fictional world of Umuofia is complemented with a discussion of the main characters of the novel in their relation to religion and their roles as facilitators or opponents of the colonization process. Gender issues are also briefly dealt with as Christianity is seen as "effeminate" by the natives and some female Igbo characters.*

Achebe has suffered the misfortune of being taken for granted: the intricate and deep structures that inform his narratives are rarely examined, except on an elementary introductory level, and the ideologies that inform his narratives and his theoretical reflections rarely seem to have the influence one would expect from Africa's leading novelist. Clearly, Achebe has been a victim of that kind of "first" reading which Roland Barthes condemned as the consumption of the text, a reading which erases the problematics of the text and its contradictory meanings in its quest for the artifice of continuity. (Gikandi 1991: 2)

Chinua Achebe's *Things Fall Apart* (1958) narrates the final collapse of Umuofia, an Igbo nation in present day Nigeria, due to the arrival of the white man in the

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late nineteenth century. This arrival was gradual, and one of the techniques employed to destroy Igbo society was the infiltration of Christian missionaries who introduced new ideas and undermined the local system of beliefs. The final surrender of Umuofia, symbolized by the suicide of its great warrior, Okonkwo, was preceded by an increasingly aggressive challenge to its local religion and sacredness.

Although there have been numerous studies of this novel since its initial publication half a century ago, the role of Christianity and its confrontation with local beliefs have not been sufficiently discussed in the context of colonialist appropriation. Studies by Killam (1969: 24-34), Peters (1978: 104-110), Wren (1980: 23-59), Okoye (1987), Gikandi (1991: 24-50), Rhoads (1993), MacKenzie (1996), Begam (1997), or Nnoromele (2000), among others, have certainly tackled this issue, but mostly from a cultural, social or historical perspective that emphasises Igbo social and religious values, without analysing their dialectical relationship with those of the Christian colonialists and the way Achebe constructs that relationship in his fiction. This is not surprising if we bear in mind that although the novel seems simple, as Solomon O. Iyasere (1974: 74) has written, “it is deceptively so. On closer inspection, we see that it is provocatively complex, interweaving significant themes”. The aim of this essay, then, is to explore the role of religion in colonial domination by focusing on three phases in the relationship between the Christian Church and the Igbo tribe whose demise is traced in Achebe’s novel: the evangelists’ attempts to secure the sympathy of the destitute and marginalized; the increasing belligerence – mainly on the part of new converts – towards the local gods; and the desecration of the masked spirits, which meant the effective end of the clan’s main socio-spiritual institution.

It is important to understand that the process of evangelisation cannot be taken only as a mere strategy of domination. Within the relationships between the Christian Church and the clan there are people and times of peace. Although some apparently tolerant attitudes may be regarded as another part of this deliberate process of domination, this is not necessarily the case. In spite of the existence of a very clear link between the activity of the missionaries and the establishment of colonial government, it would be excessive to confer on all the missionaries’ deeds a political significance. Their role in the collapse of Igbo society was very important, as will become clear, but that does not mean that their only motivation was to subdue the Africans.

The first time we learn of the Christians is at the end of Okonkwo’s exile. The new religion is considered “foolish” and its followers are seen as a harmless flock of *efulefu*, useless people who are not really attached too much importance.

Although the local priests curse the new religion, warning against “the new faith [which] was a mad dog that had come to eat it [the clan] up” (Achebe 2001: 105), the Christian Church is just seen as a group that has led worthless people astray with weird ideas. Later on the missionaries make their first public appearance, and the whole act is presented in such a way that it is impossible for the people who gather to listen to take the missionaries seriously. First of all, the interpreter, through whom the white missionary’s words are put into the Igbo language, expresses himself in an odd and confusing way, giving rise to much joking among the locals. This fact makes the missionary’s speech even more unreliable, and underlines his condition of stranger in the eyes of the locals.

The missionary’s speech is the first given by the “white man” in the novel and reveals many attitudes of the new faith which may be used as a guide for future events. To begin with, the people of Mbanta are told about a brotherhood which is not based on blood-links.² This new concept, that allows white and black men to be brothers, opposes the main brotherhood of the Igbos: the clan. Next, the speech belittles the local religion as well: “He told them that they worshipped false gods, gods of wood and stone” (106), and subsequently threatens those who follow it: “Evil men and all the heathen who in their blindness bowed to wood and stone were thrown into a fire that burned like palm-oil” (106). Despite the local metaphor used to explain the Christian hell to the Igbos, there is a lack of understanding and a direct rejection of the local religion. This prejudiced view comes from the Europeans’ claim to be messengers of a god that is the only true one. Thus the first approach of the missionaries is fundamentally aggressive, because it is not based on acceptance or understanding but is single-mindedly oriented to imposing a worldview and erasing another.

A further interesting detail is that the “white man” promises to bring some “iron-horses” and condescendingly smiles about it. As will be discussed later on, the Christian Church offers as gifts objects that have never been seen before, playing with the fascination that they can generate among the locals. The bicycle, regarded as an iron horse by the Igbos, is the first example. In this way the white man attempts to transform African bewilderment before new objects into a halo that presents the whites as superior, and even supernatural, in the eyes of the blacks. This stratagem was widely used during the European conquests of the

2. Excellent examples of research on such cultural aspects are the already classic studies of primitivism and syncretism by JanMohamed (1984) and Kortenaar (1995). Both are very good illustrations of the confrontation between Igbo and Western values and the techniques used by Achebe to communicate this to audiences alien to Igbo culture.

Americas, not only as a means of conversion, but also to encourage the Indians to exchange materials that were highly priced in the West.

The missionary ends his speech with a very important remark, which is misunderstood and will later lead to conflict. He says that “your gods are not alive and cannot do you any harm” (107), at which assertion the Igbos, who experience their gods in a very lively and direct way, burst out into laughter. For the Igbos, who lived in continuous and very real fear of their ancestors’ rage, the statement that their gods “are pieces of wood and stone” (107) is palpable nonsense. For them, as for the Christians, their god is not a mere concept, but a vivid reality; more than a matter of ideas or beliefs, it is a matter of felt experience. The encounter between the missionaries and the locals ends with an engaging tune that captivates the ears and hearts of a few, while the majority is confused and amused in equal parts. The sweetness of the song is another way of attracting people’s attention by colourful means, while the message remains mysterious.

Apart from the “gay and rollicking” song (107), that seduces the heart of Nwoye and other Igbo young men, the chief weapon of the missionaries is to strike at the weaknesses of the Igbo society. The rejection of twins, the practice of human sacrifice and the pushing of people (“destitutes” or outcasts) to the margins of the clan were traditions that had never been questioned before. In the first speech delivered by the evangelists those traditions, which have led to some Igbos being alienated from the clan, are challenged as a proof of the fallaciousness of the local religion. These taboos are all rooted in religious beliefs, and are straightforwardly followed by the whole Igbo clan. In the first part of the narration, before the arrival of the Westerners, outcasts or twins who are abandoned play a very minor role. The only “destitute” of importance is Ikemefuna, defined as a “Christ-figure” by Jonathan A. Peters (1978: 106), whose sacrifice motivates in some way Nwoye’s later conversion.³ This shows how these people start to count when they join the Christian

3. The execution of Ikemefuna is of course a result of the gods’ decree, although Okonkwo’s participation in it does not respond to that decree, as Solomon O. Iyasere (1992) has explained, but to his own ambition and fear to be deemed weak by the rest of the community. David Hoegberg (1999: 72-75), on the other hand, has analysed this episode as part of the cultural boundaries existing between Christians and Igbos, and deals specifically with the killing of Ikemefuna as a parallel case to the Biblical story of Abraham and Isaac. Many other critics have studied this issue of the killing of Ikemefuna. Worth mentioning in connection with the religious confrontation between Christians and Igbos are Damian Opata (1987), who considers Okonkwo’s behaviour as “an unconscionable act” and “instinctive” and Emeka Nwabueze (2000: 171-172), who prefers to regard the incident as another aspect of the dualism prevalent in the novel: “Achebe expresses the moral duplicity and ambiguity of norms that guide the Igbo society through the enormous influence of the gods on the life of the society. Dualism also arises from the fact that both god and humanity should be placated differently in order for harmony to exist”.

Church and play a new role in a new society. There is no place for them in the clan and the Church takes advantage of this by giving them back their lost dignity and encouraging their integration.

So it is not surprising that the first convert we know about, though he does not belong to these marginalized groups, does not subscribe fully to the values of the clan. Nwoye suffers the brutal repression of his father, who does not find him virile enough, and he is quite hurt by the sacrifice of his quasi-brother, Ikemefuna. The ritual murder of his friend and the continuous demands of his father, who wants him to be someone he is not, make him more receptive to the new faith.⁴ But “it was not the mad logic of the Trinity that captivated him. He did not understand it” (Achebe 2001: 108). As was the case with most of the other newcomers to the faith, what moved Nwoye to conversion was not a deep understanding of the Christian religion, whose ideas were pretty alien to the Igbo mindset, but a sense of relief from the tight social schemes of the clan. Another newcomer was Nneka, a woman who had given birth four times to twins, one of the biggest taboos of the clan. She found a refuge from her husband and family, which had become increasingly hostile towards her, because of the “unsocial” behaviour of her womb, to the extent that they considered her flight to the Christians “a good riddance” (111).⁵

In this first stage the clan still regards the converts as worthless people who are not fully sane. There is still a strong association between the Christian Church and the unsocial individuals of the clan. The fact that the Church is given a place in the Evil Forest denotes some disdain – albeit passive – on the part of the locals. The striking news that the church built there has survived to the limit of time tolerated

4. An interesting discussion of this issue, in connection with feminism and the role of the mother and other women in the novel, is to be found in Biodun Jeyifo (1993). Curiously enough this scholar explains Nwoye's adherence to the colonialist ideology as a symbolic disavowal of “the national-masculine ethic that is embodied in his father's personality and doomed resistance” (Jeyifo 1993: 855), and further elaborates on the “historic separations consummated by colonial capitalism”, that “divided fathers and sons and ‘native’ men from ‘native’ women” (855). The gender issue is not without relevance in the novel and particularly in relation to Christianity since, as Ato Quayson (1994: 132-133) has noticed, the Christians are initially perceived by Igbos as “effeminate” and are thus amusing and tolerable. Also valuable is the gender-oriented discussion of the protagonist and the female characters in the novel in Kwadwo Osei-Nyame (1999). Other interesting treatments of these issues are Opara (1998), Bicknell (1998) and Nnaemeka (1998), who discuss women's roles not only in *Things Fall Apart* but also in other novels by Achebe. Nnaemeka (1998) particularly rejects the accusations of sexism or misogyny brought against Achebe for his first novel, on the grounds of the cultural and social setting of the Igbos.

5. An analysis of the mythical and symbolic values of this character, as well as of the problematics of womanhood and motherhood in the novel, is carried out by Traoré (1997: 66), who rejects current “critical theory and cultural assumptions about gender” as they “are borrowed from alien epistemological systems that have very little connection with the ideology or construction of *Things Fall Apart*”.

by the gods gives more strength to the new faith. This reveals how much the Church was integrated into the Igbo social and religious schemes. They consider it a part of their own system of beliefs; they change names, habits and gods, but not the basic system of beliefs. When the church survives in the Evil Forest it becomes more Igbo because it had been firmly expected that the local gods would destroy it there. When the power of the Church seems to overcome that fate it is no longer regarded as merely invulnerable, but also grows far more popular. It gains more adepts and becomes a new source of power for the Igbo mindset. The “white man’s god” has proved that he can surpass the local gods, and thus many people turn to him in recognition of his strength. God is not an abstract being who dwells somewhere in heaven, but a very real and living force that intervenes in the human realm. As the agent which grants human wishes through its power, it is quite reasonable to worship and please the god that seems to be more powerful. Those who join the Christian Church do not do so on any intellectual ground, but because of some direct experience of its power. Thus, there is no substantial change in the minds of the Igbos, they are just changing the names of their sources of divine power: the basic system of beliefs remains unaltered.

The Church grows in numbers. Some Igbos turn Christian and the Church turns more Igbo. As the number of converts rises some of them try to “overstep the bounds” (114) and challenge the clan and its beliefs. This first incident between the clan and the Church reveals that the converts are still holding an Igbo worldview while zealously exhibiting their Christian adherence. They go to the village to proclaim that “all the gods were dead and impotent and that they were prepared to defy them by burning all their shrines” (114). What is the point of defying a dead man, or in this case, a dead god? What is the need to fight something that does not exist? Of course the “overzealous” converts do not feel that their old gods are dead; they have experienced their power and, though they now reject those times, they do not feel those experiences were delusive. They have changed one god for another. They have replaced their source of divine power, but they have not shifted from their old mentality. The new god they have embraced is as alive as the old ones and, because they have been told that the new one is the only true god, now they try to kill the old ones. They want to kill the old gods and they encourage themselves to do so by thinking that they are dead. But how can they kill a corpse? They do not see the gods of the clan as dead and false, they see them irritatingly alive and true, and they want to fight that life and truthfulness that still pervade their perception.⁶

6. The importance of the values of the clan, of the world and ideology of Umuofia, is such that some critics have even referred to Umuofia as the true protagonist of the novel: “The protagonist of *Things Fall Apart* is not Okonkwo, but Umuofia” (Ker 1997: 125).

The converts project this inner cultural tension outwards and set out to fight the heathen gods they pretend have never existed. Of course, the clan cannot tolerate outbursts that challenge the pillars of society. They do not feel their gods particularly threatened, but they feel that their relationship with them will certainly degenerate if they do not repress the converts. The Igbos are not really concerned about the truthfulness of their gods. For the clan they are mere sources of power that guarantee the social and cosmic order and satisfy human desires. As long as that works there is no further problem. But they would be very careful not to displease the gods. If they are displeased or unattended they will not accomplish their tasks, thereby generating dramatic repercussions in the human realm.

Another sign of the “Igboization” of the Church is the incident with the *osu* – “outcasts” – who try to join the Christian community. The new Christian flock shows its reluctance when the outcasts of the clan express their will to join the community. They do not accept that this is a matter linked to religion or superstition, but something inherently aberrant: “You are our teacher, and you can teach us the things of the new faith. But this is a matter which we know” (115), one of the converts says. Once again, this attitude reveals that the converts, despite their change of faith, still hold on to their old beliefs. The final incorporation of the outcasts, once the reluctance of the newcomers is defeated by Mr Kiaga’s arguments, made the Church overcome another obstacle to egalitarianism. This egalitarian identity, sealed with the arrival of the most feared *osu*, helps to create a new and growing personality separate from the clan.

A dramatic split between the Christian Church and the clan is close to occurring when the rumour that Okoli has killed the sacred python is spread.⁷ There is no certainty about whether the rumour is true or not, but curiously enough it originates in the Christian community. The people of the clan are utterly puzzled. Nobody had ever imagined that the sacred animal could be killed willingly; it was just unthinkable. It is supposedly spread within the Church but some members of the congregation, including the chief suspect, Okoli himself, deny it and say that such a thing has never happened. We might discard the possibility that Okoli is the victim of a conspiracy on the part of some member of the community. What the episode seems to reveal then is that there must be some radical attitudes within the Church. This does not mean that the Church is radical itself. The pacifying manner of its head, Mr Kiaga, avoids an imminent confrontation between the two sides. But some of the converts are still willing to defy the clan, and to kill the gods they proclaim

7. An interesting discussion of the religious role played by the python in this novel, as well as in other works of fiction by Achebe, can be seen in McDaniel (1976).

have always been dead. As we can see, what underlies the mentality that fuels the rising aggressiveness is great confusion. It is the confusion of pretending to be something they are not and of trying to fight what they were – and still are. It is something more than a schizophrenic conflict of identities. It is the rejection of certain symbols and patterns and the adoption of new ones, while the old worldview is still there. This can be highly destructive, because we are not dealing with the confrontation between two different identities, but the split of a single mentality between those who live in accordance to it and those who try to destroy it while still trapped within it. This was one of the boundaries that colonialism built up. By encouraging locals to become Westerners the colonial discourse split identities in this way, leading to the annihilation of many societies.

War between the clan and the Church is circumvented by Okoli's death, which is seen as the consequence of the blasphemy he had supposedly committed. Gods' intervention prevents men from taking sides and trying to solve the affair by themselves. As Okeke says in the public assembly, "It is not our custom to fight for our gods" (117). The statement reveals that the gods had never been questioned before, or at least had never been mixed up with politics or war conflicts; also that their effectiveness had always been self-evident. Many Igbos do not regard the converts' attempts to kill their gods as an offence against them, but against the gods. Only Okonkwo and a few others realize that the challenge to the local gods is after all a challenge to the local culture, and that its ulterior motive is the destruction of the clan. He perceives that the gods and ancestors are an essential part of their cultural identity and sees the offences against them as an offence against the clan as well. Besides, other clansmen regard the gods as something more universal and less "Igbo"; they do not have the particular feeling that the gods that are being challenged are "their gods", but just "the gods". As long as the Christians are challenging "the gods", whose rule is universal, the clansmen do not consider it their business at all. That is why they regard the missionaries as crazy, because they are defying the powers of Earth, Water and so on, ignoring their strength. They view the Christians as blind men walking towards a fire, but they do not consider their temerity as a threat.

However, as time passes and the Church and white men's culture become more and more influential, there is a feeling that all started with the arrival of the missionaries. In the last part of the novel we notice how the local society has been subjected to a white government, supported by some non-Igbo Africans, who are repressing and enslaving them. This government is openly protecting the Church and punishing the Igbos for practising their traditions. Towards the end Obierika expresses the desolation that has overcome Umuofia in these words:

he [the white man] says that our customs are bad; and our own brothers who have taken up his religion also say that our customs are bad. How do you think we can fight when our own brothers have turned against us? The white man is very clever. He came quietly and peaceably with his religion. We were amused at his foolishness and allowed him to stay. Now he has won our brothers, and our clan can no longer act like one. He has put a knife on the things that held us together and we have fallen apart. (129)

This means that the Igbos have finally become aware of the plot. They are now conscious of how the colonizers, by introducing new ideas that disparaged the local traditions, were putting Igbo unity to the knife and planting the seed that would bring destruction to their community. The clan becomes a victim of its own innocence, of its inability to see through and beyond the “foolish” behaviour of the Christians.

However, what seals the clan’s fate is the desecration of the *egwugwu*, the masked spirits that were the messengers of immortals and those who administered justice. Interestingly enough, the desecration was carried out by Enoch, an “overzealous” convert, who was the son of the priest of the snake cult. The fact that he is the son of a local priest may explain his fervent efforts to make show of his Christianity. In particular, he is said to have killed and eaten the sacred python either as a rite of initiation for radical converts, or as part of a recurrent rumour that is intended to tell us something about the person concerned. Unlike the rumour about Okoli, which was received with great distrust and then given the lie, there is no such reaction in the case of Enoch. The rumour that he has killed the sacred python seems to be a medal that attests his merit. This shows how the relationships between the clan and the Church have now changed, and how the way of dealing with provocation and conflict has also changed in line with the political events.

Even though the killing of the python was considered a serious crime among the Igbos, it bore no comparison with the unmasking of a masked spirit. The society of the masked spirits was the most sacred, secret and respected institution of the clan. It linked the spiritual and the political powers and was the administrator of justice. Its members were noblemen, who had undergone initiation rites and were bound always to remain hidden behind their masks. If the merest suspicion about the “worldly” identity of a masked spirit was considered taboo, the unmasking of one of them was regarded as an extremely serious offence against all the clan’s traditions and beliefs and an assault on the respect owed to ancestors. While wearing the mask they were no longer mortals, but immortals, and became the means and medium used by the ancestors to express their will and rule over the clan.

The unmasking of the masked spirit occurred because the festival of the earth goddess fell on a Sunday and the Christians needed to pass through the village, where the masked spirits were imposing their rule. The spirits granted their request to be able to transit the village, but as they passed through, Enoch defied a spirit, was beaten and, in retaliation, tore off the mask and... “the other *egwugwu* immediately surrounded their desecrated companion, to shield him from the profane gaze of women and children, and led him away” (136). The most sacred thing is exposed to profanity, the mysteries are abruptly revealed, the power of the ancestors is reduced to a game of men. When something that has been kept under wraps is suddenly seen, a great power is lost, the power and fascination of the unknown. When the real object is seen, all the ideas that surround it vanish. The solemnity of the masked spirits becomes a masquerade. Thus Enoch uprooted the main pillars of society, the belief that kept them together, the authority that all the people accepted. Furthermore, the uprooting was done by someone who was no longer subject to the laws of the clan, which he had chosen to abandon. This made the deed even more damaging, because by showing the profane face of the local religion Enoch reasserts his conversion and mocks the system he is trying to destroy. The mocking is possible, of course, because he is protected by the authority of the white man, which would not allow the locals to molest the Christians for reasons not only of religion but also, needless to say, of politics. The masked spirits were a social, political and religious institution and their desecration is a very serious challenge to the local rule.

The political system of the Igbos was based on a system of spiritual beliefs which bonded Igbo society together and kept it subject to one law. With the arrival of the missionaries that system of beliefs was challenged and Igbo society started to collapse inexorably in a process which culminated in the annihilation of the local power and the establishment of colonial rule. For its part, the white man's government also went hand in hand with religious authority, its power being supported by the Church.

So, as we have seen, the role of the Christian Church in the process of domination is significant because, due to its evangelical efforts, many Igbos abandon their culture in favour of a Western cultural product; and the shift of beliefs in turn causes a split in Igbo society. The distance between the two sides widens when the converts succumb to a sense of superiority and decide to destroy the symbols of the local culture in a display of belligerence which gradually intensifies as the Christians start to feel increasingly protected by the colonial government.

Finally, the provocation of the locals becomes a tool for the colonizers to encourage the former to react against the foreign institutions, thus giving them a pretext for repression. The Church and the colonial rulers need conflict in order to survive and flourish. They need not only to split the Igbos, but also to keep the Church and the clan perpetually on the brink of war, if they were ever to justify their attacks on and erasure of local authority.

To sum up, Chinua Achebe presents in *Things Fall Apart* the whole strategy of European domination, which is based on the disempowering of a people, firstly by introducing a series of (mainly religious) ideas that openly challenge their beliefs from a foreign perspective; secondly by generating a conflict between those who are learned and embedded in those new, Christian ideas, and those who are not; and thirdly by establishing a government that protects those of its subjects who gathered around the Church while harassing those who do not, with the purpose of progressively erasing every sign of local culture. Furthermore, it is vital to note that the introduction of a new conceptual language (in this case, Christianity), which is assumed by some colonized subjects to be superior, does not efface the basic mindset of the local culture. The coexistence of both generates among the locals an internal conflict around their very identity which fuels bitter animosity towards those who do not uphold the same intellectual tenets.

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CARSON McCULLERS AND LILLIAN SMITH: THE INTERSECTIONS OF GENDER AND RACE IN THE JIM CROW SOUTH¹

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ABSTRACT. *Carson McCullers and Lillian Smith openly rejected a false conception of loyalty to fantasies like southern tradition or white supremacy, a loyalty that veiled a persistent lack of self-analysis. They exposed the cracks in the South's pretended "unity" and homogeneity and criticized the self-destructive resistance to acknowledge that, as a socially constructed category, race is linked to relations of power and anticipated the instability of racial categorization that would be underscored by historical and scientific research later in their century. These two southern women writers opposed the insistence of their culture on racial purity as vehemently as its demands for rigid sexual definition and its suppression of any deviant form of sexuality. The characters in their fiction are victims of a dichotomic culture that resists the acknowledgement that black and white have always been as inextricably linked as male and female.*

In Killers of the Dream and Strange Fruit, Lillian Smith showed the interactions of racial and sexual segregation, which she saw as parallel emblems of the South's cultural schizophrenia. She was one of the first to detect the psychosexual damage inflicted on southern women by the racial discourse, and established a most interesting parallel between the segregated parts of the female body and the segregated spaces of any southern locality. Like any system of differentiation, segregation shapes those it privileges as well as those it oppresses. Excluded from the white parameters of virtue and even from the condition of womanhood, the black woman's body became the sexual prey of the white man who could not demand sexual satisfaction from his "pure" wife. The culture of segregation privileged the white woman but it also made her powerless; the very conventions which "protected" her deprived her of contact with physicality and locked her into bodilessness.

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The history of gender and race relations in the American South is very long and very complex. The Civil War (1861-65) put an end to slavery and to the social order derived from it, but white men would spend the next century trying to restore the racial and gender hierarchy that had existed in the South prior to the conflict. White southerners lost the war but they fought tooth and nail to maintain their superiority over blacks. In the days of slavery, whites not only *felt* superior; the laws and institutions of their society confirmed their superiority. After the Civil War whites could not enslave blacks again, so they devised new laws and institutions to limit the freedom of former slaves, to maintain the master-slave relationship in new forms. In the Reconstruction era (1865-77) a fierce battle was waged over who would rule the blacks, and who would rule the South. White southerners won on both counts and they made themselves believe that they had “redeemed” the South from Yankee rule and black ruin. Another chapter in that cherished book of the South entitled *The Lost Cause* was written. It read more or less as follows: blacks, once free from the “moral order of slavery”, fell back into the barbarism of their African ancestors; the Reconstruction policies of the Federal Government tolerated this anarchy until white southerners rose up to save themselves and their civilization. The title of the new chapter was “The South Redeemed”. For the blacks the new chapter read ominously, as Du Bois (1935: 30) put it in 1877: “The slave went free; stood a brief moment in the sun; then moved back again toward slavery”. History, as re-written by white southerners, trivialized and condemned every black aspiration or effort. It was a history that for a whole century justified white supremacy, racial segregation, disfranchisement, lynching and the denial of all economic and civil rights to blacks. Southern political leaders soon realized that white supremacy was a very invigorating drug for whites because it gave them an automatic superiority. Mr. Poor White could be destitute and go hungry but Mr. Rich White was always ready to remind him that he had the South’s most precious possession: whiteness. A bargain was struck: Mr. Rich White would control the money and Mr. Poor White would control the blacks. Whatever misfortune might occur in his life, the white southerner would never be a “nigger”. The idea of the black man or woman as his or her own master could not be tolerated. White individuals could not be masters, but as a collective, they could, and that masterhood required a publicly visible separation of the races. The racializing of spaces became indispensable to keep blacks in their place. “White”/“Colored” signs went up in all public facilities, words that for blacks indicated not just separation but inferiority and impurity.²

2. Among the most influential explanations of the origins and function of segregation are J. W. Cash, *The Mind of the South* (1941) and Lillian Smith, “Two men and a Bargain: A Parable of the solid South” (1943). Smith’s essay appeared in slightly different form in her book *Killers of the Dream* (Chapter 2 of part 3).

Gender is intricately related to race in the re-writing of southern history. The white version of southern history created a new enemy, the black male. This enemy enabled white men to fulfil their role as guardians of white women, a role that had gone with the wind during the Civil War. The sublimation of the pure white woman elevated the white man to the noble role of protector, at the same time establishing the necessity to keep blacks “in their place”. Sexuality connected gender and race: white men became the defenders of innocent white women threatened by sexually aggressive black males. The raising of white women to ideal levels of purity demanded, in turn, the emasculation of the black male. The Old South patriarchy was thus brought back, and the South produced yet another myth: the black beast rapist. Rape became an obsession with southern white males after the Civil War, and the rape myth played a central role in the reinvention of race and gender relations, in the firm reinscription of the definitions of blackness and whiteness in the Reconstruction period. According to the myth, black men, no longer controlled by that admirable institution called slavery, were going to revert to their basic African instincts, the most prevalent of which was their insatiable sexual appetite, especially for white women. The rape myth was the justification for many of the horrific lynchings of blacks in the darkest days of segregation.³

Fiction was logically a major tool for this ideological construct. One of the major influences was Thomas Dixon, who glorified the Ku Klux Klan in a trilogy of radically racist novels set in the Reconstruction period: *The Leopard's Spots* (1902), *The Clansman* (1905) and *The Traitor* (1907). Dixon popularized the idea that the Klan was the savior of southern white civilization. His ideas reached a wide audience in the South, and in the whole nation, with the release of the spectacular film *The Birth of a Nation* (1915), directed by the southerner David W. Griffith. The film, based mainly on Dixon's play *The Clansman*, suggests that the presence of blacks in America caused divisions between white northerners and southerners. The enemy, the “free blacks”, has to be suppressed in order to heal the division. The Klan is presented as necessary to free the nation of the threat of the evil Negro, who is bent on stealing power from the whites and on taking revenge by raping white women. The idea of the Negro as inferior and childish had given way to the much more brutal motif of the negro as “beast”, as the untamed savage, the oversexed rapist who threatens the survival of the pure white race. The loss of the racial ease of the plantation days had been the fault of African Americans. Segregation was, then, inevitable, as the black beast rapist had no place in twentieth-century southern life. White audiences were thus convinced

3. For the myth of the black beast rapist see Williamson (1984: 306-310). For the causes of lynching and its turning into modern spectacle see Hale (1999: chapter 5).

that the white vigilantes of the Klan were on a mission to save the nation from the threat of the black beast. Dixon's novels and Griffith's movie justified segregation as something inevitable which should be blamed on the blacks. The film brought about national reconciliation – a new Anglo-Saxon nation was born and it excluded the violent black rapist. Only the white South, not the freed blacks, would become a part of the modern American nation.

The book and the film versions of Margaret Mitchell's *Gone with the Wind* made white southernness a national bestseller (the novel won the Pulitzer Prize for fiction in 1937 and sold a million copies in the first six months; the movie [1939] still is, adjusted for inflation, the most profitable movie ever made). In *Gone with the Wind* (1936), the Klan is portrayed as a southern defence against the excesses of Reconstruction. Mitchell was one of the white writers who narrated emancipation as bringing only confusion and pain to African Americans, who gave accounts of Reconstruction in which blacks are either passive victims of white manipulation or unthinking people with animal natures. In *Gone with the Wind*, blacks are either faithful to the noble master (Pork, Mammy, Sam and Prissy, despite emancipation, refuse to leave their masters and mistresses) or beasts like the one who tried to rape Scarlett (made white in the movie version). The film version of *Gone with the Wind* made the Old South the entire white nation's past; and the story of Scarlett and her Tara, a welcome spectacle of survival for a nation still in the throes of the Depression (Hale 1999: 277-278).

In her last novel, *Clock without Hands* (1961), Carson McCullers focuses, to a greater degree than in previous works, on the political and ideological factors of a South divided between those who promote and those who resist change. The Old South is represented by the white supremacist Judge Clane, who cannot conceive of a future for the South in which "delicate little white girls must share their desks with coal black niggers in order to learn to read and write" (McCullers 1965: 17). In his violent and self-destructive attempt to stop the hands of the clock bringing irrevocable change to the South, the Judge insists that naturally a black and a white man "are two different things", that "[w]hite is white and black is black – and never the two shall meet if I can prevent it" (39-40). Clane's defeat at the hands of the progressive forces reflects the process by which the white South in the 1940s and '50s was beginning to see that its homogeneity was not only being threatened but also proving illusory. It was during this period that Carson McCullers and Lillian Smith gained prominence as southern white writers. They were both from the state of Georgia and admired each other's work. They shared the common goal of rejecting a false conception of loyalty to fantasies like southern tradition or white supremacy, a loyalty that concealed a persistent lack

of self-scrutiny. They exposed the cracks in the South's pretended "unity", cracks which had always existed and could not be concealed much longer by the plaster of myth and legend. They tried to make southerners see that the myth of absolute racial difference could no longer be sustained, and that this myth was harmful to both blacks and whites. Their stand against segregation, together with their unconventional sexuality, incurred the harsh criticism, even the scorn, of many conservative southerners.

Carson McCullers's obsessive theme was isolation, and she was persuaded that two of the main barriers to self-expression were the monolithic conceptions of race and sexuality that characterized her cultural milieu. In her fiction she frequently dealt, implicitly or explicitly, with the connection between the subjection of blacks and the oppression of women in the South. All her life McCullers (1999: 62) had a sharpened sensitivity to social reform, and her opposition to the discrimination of blacks, which was for her one of "certain hideous aspects of the South", was so fierce that she identified the southern social system with Hitler's Germany. In her autobiography she tenderly remembers a fourteen-year old black cook of the family being refused a ride by a taxi driver who bawled, "I'm not driving no damn nigger" (54). She remembers those Depression days in which she was "exposed so much to the sight of humiliation and brutality, not physical brutality, but the brutal humiliation of human dignity, which is even worse" (56). The black novelist Richard Wright (1940: 195) praised McCullers for being the first white writer "to handle Negro characters with as much care and justice as those of her own race", for allowing them to express themselves as complex human beings beneath the prevailing stereotypes.

McCullers was sexually ambivalent all her life, and she frequently identified with the "masculine", which she considered more real than the feminine in her own person. In the summer of 1941, when she was writing *The Ballad of the Sad Café*, a novella about the tragic life of an unfeminine woman, the author confessed to her friend the writer Newton Arvin: "Newton, I was born a man" (Carr 1977: 159). She made friends with openly gay writers like H. W. Auden and Tennessee Williams. As her biographer Virginia Carr has amply documented, Carson as a young girl was very much as she described her two famous tomboys Mick Kelly, from *The Heart Is a Lonely Hunter* (1940), and Frankie Addams, from *The Member of the Wedding* (1946). She was terrified by her excessive growth and preferred dirty tennis shoes or brown oxfords while other girls were wearing hose and shoes with dainty heels, and she was ridiculed for wearing slacks, straight hair and bangs (Carr 1977: 29-30). Sex, especially if it was heterosexual, was terrifying for her and she was convinced that it increased the isolation of the individual.

McCullers opposed the insistence of southern culture on racial “purity” and the oppression of blacks as adamantly as she did its demands for rigid sexual definition and the oppression of any deviant form of sexuality. She was persuaded that just as “blackness” and “whiteness” coexist within individuals of both races,⁴ so too can femininity and masculinity be found equally within men and women. Many of McCullers’s characters are defeated by not being allowed to adequately express both sides of the male/female polarity.

Raised to be a southern lady, Lillian Smith understood perfectly well the practices and the contradictions of the southern social system, and in her writings she set out to heal the splits in the grand edifice of southern tradition. Her life was a constant transgression of the rules set for white women, who were trying to write themselves out of a kind of segregation, a situation that relegated them to powerlessness. They had to expose the contradiction of a system that privileged them as whites, but silenced and repressed them as women. She remained unmarried and had a lesbian relationship with Paula Snelling, the friend with whom she edited a magazine and ran the Laurel Falls Camp for girls in Rabun County, in the mountains of northern Georgia. Throughout her life Smith urged southern women to fight racial segregation as well as their confinement to the pedestal which kept them marginalized from so many things. Most critics of Smith agree that the isolation and exclusion that she experienced in the South as a result of her lesbianism contributed greatly to her impatience with the oppression of blacks as well as with all discourses of power and oppressive ideologies. Having to live a secret life with another woman “segregated” her, made her an outsider in the South, and this gave her a special sensitivity to the excluded race, the South’s inescapable “other”. A woman frequently dismissed as “odd”, Smith saw herself reflected in those whose “difference” in color prevented them from expressing their thoughts or living out their deepest feelings.

The Member of the Wedding is the novel in which McCullers most explicitly explores the parallel between society’s stereotypical conceptions of gender and the oppression of blacks. The emphasis is on the protagonist’s traumatic crisis that results from confronting the dangers that she perceives in conventional femininity.

4. In *The Heart Is a Lonely Hunter*, McCullers included a scene which exposes the absurdity of categorizing individuals according to monolithic notions of racial identity. When the white Marxist agitator Jake Blount brings the black doctor Copeland into the New York Café, he is confronted by the white patrons: “Don’t you know you can’t bring no nigger in a place where white men drink?” Blount says defiantly, “I’m part nigger myself”, and later, “I’m part nigger and wop and bohunk and chink. All of those. [...] And I’m Dutch and Turkish and Japanese and American” (McCullers 1961: 24). Here McCullers is using the metaphorical power of miscegenation to subvert myths of racial and personal identity. Many of McCullers’s most sympathetic characters either have mixed blood or wish they did.

Frankie is on a threshold oscillating between the freedom of childhood and the clearly defined sexual world of adults that she is reluctantly being forced to enter. Being a girl excludes her from a war that she romanticizes, and she is not even allowed to donate blood for the soldiers to carry in their veins: “she wanted to donate a quart a week and her blood would be in the veins of Australians and Fighting French and Chinese, all over the whole world, and it would be as though she were close kin to all of these people” (McCullers 1962: 31). The implication is that if mixed blood allows connection and kinship with people “all over the world”, the southern obsession with pure blood can only mean alienation and stagnation.

Frankie’s unwillingness to enter the restrictive world of womanhood is manifested through the dream of androgyny, frequent in female protagonists when they are no longer allowed a tomboy’s freedom to transgress gender boundaries and display “male” attitudes. In women’s fiction the sexual ambivalence of the androgyne acts as a symbolic means of transcending the bounds imposed on feminine identity in a phallic-centric culture which defines femininity in restrictive biological terms and ties it to passive sexuality and self-sacrificing maternity. When Frankie plays with her black nanny Berenice and her six-year-old cousin John Henry at being creators, she projects a world in which “people could instantly change back and forth from boys to girls, whichever way they felt like and wanted”. But Berenice insists that “the law of human sex was exactly right just as it was and could in no way be improved” (116). Deep down Frankie knows that sex is only reversible in the realm of fantasy or in children’s play, as in the socially accepted cross-dressing of her cousin John Henry; she knows that her dream is impossible in the real world where androgyny is an aberrant anomaly and the Half-Man Half-Woman is one of the freaks at the fair. This is precisely the attraction that most impresses Frankie and also the one she fears most because it speaks of the danger of not fitting in with the stereotypical roles sanctioned by the culture. While Frankie dreams of an avenue of escape from fixed sexual definitions, Berenice’s ideal would be a society without racialized differences, free from the oppressive polarity black/white. 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 the coloured people feel cheap and sorry all through their lives” (114-115).

Frankie’s mirror in the novel is Berenice’s half-brother, the black adolescent Honey Brown. Trapped in the claustrophobic close quarters of racial oppression and poverty, he echoes the situation of Frankie trapped in the stagnant small town that imposes on her a paralyzing femininity. Honey, like Frankie, puts up a struggle against conformity and defies racial and sexual categories. In appearance and

aspirations he is culturally androgynous like Frankie. He is sexually ambivalent and “light-skinned” (155) and “could talk like a white school-teacher” (48); he has musical talents and wants to learn French but social constraints deny him fulfillment. Both Frankie and Honey are “unfinished” and “caught”. Berenice says that “they done drawn completely extra bounds around all coloured people. [...] Sometimes a boy like Honey feel like he just can’t breathe no more. He feel like he got to break something or break himself” (141). Feeling confined by the bounds that forbid tomboyishness and female ambition, Frankie explicitly identifies herself with Honey in her struggle against conformity: “Sometimes I feel like I want to break something, too” (142). But society will not tolerate nonconformists within its categories of race and gender. At the end, Honey Brown is put in jail and Frankie has renounced most of her dreams and lost most of her ambitions and originality. The dream of transcendence and androgyny has been crushed by a dichotomic culture that persists in remaining blind to the fact that black and white have always been as inextricably linked as male and female, that, as Jenkins (1999: 191) says, “white is defined by the existence of black, not just *opposite* it but *within* it as well, and vice versa”.

According to Virginia Durr, an associate of Lillian Smith in the fight against segregation, there were only “three ways for a well-bought-up young Southern white woman to go”. She could conform and be “the actress” that plays out “the stereotype of the Southern belle” (the equivalent of “going with the wind”); if she was independent and creative, she could go crazy; or she could rebel, that is, to “step outside the magic circle, abandon privilege, and challenge this way of life” (Turkel 1985: xi). Lillian Smith chose the third alternative and became one of the fiercest critics of the racially segregated South. She was one of the first white southerners of her generation to speak out so bravely against those aspects of southern society that brought shame to the American nation. For her, literature was not just an aesthetic endeavour but also a tool for her political agenda, and it had a crucial role to play in helping the South find a solution to its racial and economic problems. In recent years critics have emphasized Smith’s amazing insights into the relationships between racial and sexual discrimination, not only in the American South, but in the whole of Western culture. She denounced the attitudes of her society toward sexuality and racial segregation as pernicious both to men and women, blacks and whites, as a deadly virus that threatened the very fabric of society as a whole. Smith saw herself involved in a political struggle over the future of the American nation. The treatment of blacks and women was at the heart of that struggle and, as Diane Roberts (1994: 181) notes, Smith “saw integration as the moral way out of the radical division of American culture into categories of black and white, polluted and pure, low and high”. The struggle seems to be always connected to bodies, to how bodies are represented, defined,

assigned spaces. Like McCullers, Smith set herself the task of exposing and subverting the false oppositions of black and white, male and female, and in her works she put forth an integrationist vision. Her two best and most influential works are the novel *Strange Fruit* (1944) and the autobiographical non-fiction book *Killers of the Dream* (1949, rev. ed. 1961). In this last study, with a long section on the psychosexual damage that racial discourse inflicts on the southern woman, Lillian Smith anticipated the work of future scholars.

Strange Fruit is Smith's most daring dramatization of the tragic consequences of segregation and the notion of white supremacy for both blacks and whites, in the fictional town of Maxwell, Georgia. The South that she paints is cruel, ignorant, and cowardly, an environment whose inhabitants are the "strange fruit" produced by a dehumanizing system of racial prejudice. With this novel, Smith attempted to shake, as hard as possible, the system of segregation and its ideology of racial, gender, and bodily division, at a time when the whites' needs for definition were getting hysterical. At the center of the plot she placed the most taboo of all southern subjects, miscegenation. The main character is the white youth Tracy Dean, from one of the town's prominent families. During his service in World War I in Marseille, he realizes that he loves the black girl Nonnie Anderson, with whom he has had a secret relationship of several years. Marseille "was as different from Maxwell as two places can be different" (Smith 1992: 49), and the self that he dared not disclose back home has there a vision in which the Nonnie who "had been something you tried not to think about – something you needed, took when you needed, hushed your mind from remembering" ceases to be just "a Negro girl whom he had in a strange crazy way mixed his whole life up with", to become "the woman he loved" (50). But on his return home Tracy faces the impenetrable walls of southern prejudice and tradition, and he is unable to relate to her except in terms of the racial beliefs and codes he learned as a child. The privileges of being white and male allow him to have sexual relations with Nonnie, but racial restrictions forbid him to love and to acknowledge her. In the South "there are signs everywhere. *White ... colored ... white ... colored*" (Smith 1994: 95) indicating and enforcing racial hierarchy and allowing only certain bodies into certain spaces. The very layout of the town speaks of these rigid color definitions: Maxwell is bisected into two different worlds: Colored Town and White Town. Blacks go to White Town to work as house servants or laborers; whites, always males, go to Black Town to get sex from black women, since these are accessible and white belles and ladies are not. As Preacher Dunwoodie instructs Tracy, many white youths prefer the pleasures of Colored Town to marriage because they are "[s]cared of white girls. Scared nice white girls can't satisfy them. And they're right! Of course no decent fine white woman can satisfy you when you let your mind out like you let out a team of wild

mules racing straight to –” (Smith 1992: 87). Sexuality is black and dirty, and purity is white. The Preacher actually doubts “if a nigger woman can live a decent, respectable life” (88). But boundaries are never fixed and always apt to be transgressed. Actually Tracy thinks about his black girl: “*In the dusk she’s as white as [his sister] Laura. God, if she weren’t a nigger*” (7). Nonnie, repeatedly described as “white”, has a college education and is as attractive and stylish as any white girl. She is aware that race is a mere social convention: “Race is something – made up, to me. Not real. I don’t – have to believe in it. Social position – ambition – seem made up too. Games for folks to – forget their troubles with” (95). In *Strange Fruit* Smith destabilizes the dichotomy white/black, the binary of the elevated white body and the degraded black one. The novel opens: “She stood at the gate, waiting; behind her the swamp, in front of her Colored Town, beyond it, all Maxwell. Tall and slim and *white in the dusk*, the girl stood there, hands on the picked gate” (1; emphasis mine). The “tall and slim and white” girl, whom later the reader knows to be a light-skinned African American, is repeatedly described as “white” and has “a face that God knows by right should have belonged to a white girl” (2). Nonnie makes her first appearance in a white dress, thus appropriating another major sign of white female purity. If black can be white, white can be black too, as when Nonnie’s sister Bess sees in dreams Tracy’s hand, “[w]hite, with black hairs across it – touching the dirty [cabin] floor, touching her sister” (18).

Tracy’s attraction to a black girl and the violation of class and color conventions in Nonnie’s character constitute a threat to the discourses of segregation that prohibit the touching of black and white. Tracy represents the uncertain beginnings of a more tolerant South, a new generation that feels the oppression and limitations of the color barrier. But he is too weak to resist the codes of a culture of uncompromising absolutes: “You can’t love and respect a colored girl. No, you can’t. But you do. If you do – then there must be something bad wrong with you”. And Tracy uses the comparison between racial and sexual segregation that the author would develop in *Killers of the Dream*: “It’s like playing with your body when you were a kid. You had to touch yourself. It felt good. It was good. But everyone told you it wasn’t good” (97). The obsession with controlling sexuality paralyzes not only Tracy but the whole town. It is this cultural schizophrenia that eventually leads to tragedy in the doomed lives of Nonnie and Tracy. Tracy loses the battle when he thinks of Nonnie as a colored girl, instead of the woman he loves, when he allows society’s definitions of his and Nonnie’s relationship to destroy it. There are moments when Tracy and Nonnie resist the barriers, but they are inevitably pulled back into the culture of segregation by some word or thought that releases deeply ingrained feelings of prejudice: “*Colored girl. Negro*. Spoiling every moment, like a hair that’s got into

your food. Why under God's heaven did he keep on thinking those damned words!" (142). Psychologically weak, Tracy is unable to resist the pressure of his mother and the revivalist preacher Dunwoodie to join the church, marry the rich white girl next door, and take the path of respectability. Nonnie gets pregnant and Tracy pays his African American friend and servant Henry to marry her. Instead of assuming responsibility for his insensitive cowardice, he thinks of it as something inevitably bound to happen, as if he had started "on a road whose map had been drawn long ago, so long ago he could never remember" (206).

Tracy's mother, Alma Dean, is obsessed with rigid divisions and definitions: body/soul, black/white, feminine/masculine. She is the supreme representative of a sclerotic Victorian morality, the enforcer of the moral values of White Town, of the southern church's rigid splitting of spirit and body. Cold and controlling, she enforces the white lack of sexuality whose counterbalance in this world without integration is the "Negro" sexuality that Tracy finds in Nonnie. Alma, whose name expresses her escape from physicality, is the stereotypical southern lady, the complicit victim of a system that values the fragility of the white woman and enforces the denial of emotion and sexuality. She is the married woman who considers sex a painful obligation, "that part of marriage [that] seemed to Alma a little unclean and definitely uncomfortable" (77). She uses the room of her virginal daughter Laura as a refuge where she occasionally sleeps "escaping [her husband's] masculinity" (67). One of the major symbols in the novel is the clay torso that Alma one day finds in Laura's room, "wrapped in a wet cloth". When she uncovers it, the figure "lay in her hand, urgent, damp like something in gestation. A lump of wet dirt" (67). No matter how long she looks at the clay figure, Alma cannot find any art in it: "If it had any beauty in it! But no, only nakedness". Alma cannot see "[w]hy should Laura want to make naked things?" It would be logical in a man, because "men seemed made that way. But your own daughter..." (68). Not an idealized classical statue, but a realistic version of a woman's body, the naked torso sexualizes Laura and represents a world of dirt and physicality that is far from the representation of the lady in Alma's world. Incapable of accepting that women have bodies and genitals, Alma dismisses the figure as "a lump of dirt" (67) and later throws it into the garbage can. She is as intent on compartmentalizing race as she is on compartmentalizing sexuality, and she rejects the flesh as vehemently as she rejects blackness, and tries with the same intensity to keep both at a distance. White women are ladies imprisoned by their bodilessness; black women are excluded from ladyhood but not subject to the suppression of the physical.

Alma warns her daughter Laura against spending too much time with her friend Jane Hardy, an older single woman, one of those “who aren’t safe for young girls to be with”, the reason being that “[t]here’re women who are – unnatural. They are like vultures” who do “terrible things to young girls”. Alma does not believe “a woman is the right kind of woman who talks about the naked body as Jane does” (243). Setting up walls in the form of sexual taboos is another form of segregation that destroys human relationships. Laura will have to repress her attraction for Jane all her life, in the same way that her brother Tracy will have to deny his feelings for the black girl he loves. As Loveland (1986: 184) notes, “[t]he novel suggests that sexual taboos have as crippling an effect on the people of Maxwell as the racial taboos separating blacks and whites”. Alma fits the type of southern woman that Lillian Smith describes as a castrater. She is manipulative to the point of taking over the family drugstore his father had given control of to Tracy, and she has always “planned Laura’s life” (Smith 1992: 71). She is psychologically and sexually crippled and turns hateful and destructive, one of those women who, having found their own dreams destroyed, “destroyed in cruelty their children’s dreams and their men’s aspirations” (Smith 1994: 150). These are the women who make their home into a “police-state” in which these “vigilant guardians of [...] southern tradition” enforce obedience to all religious, sexual and racial rules. These women are themselves victims of a culture which “had ripped off their inherent dignity and made them silly statues and psychic children, stunting their capacity for understanding and enjoyment of husbands and family” (151). These are the women who “did a thorough job of closing the path to mature genitality for many of their sons and daughters” (153). No wonder it is Alma who sends the preacher to inform her son of the boundaries his culture forbids him to transgress, to transmit the official line of thinking about black women who cannot possibly be decent and respectable and to expand on the virtues of divinely ordained segregation: “God made the white race for a great purpose” (Smith 1992: 88). Once his transgressive tendencies have been neutralized, Tracy knows that he is betraying the truth, but he is too passive to resist his domineering mother.⁵ Having decided to join the church and to marry Dottie, the rich, virginal white girl next door, he has a clear understanding of the racial and sexual divisions that haunt southern society and split the psyches of its individuals:

5. In a letter of uncertain recipient and date, the author wrote, “I did not consciously tell myself that Alma (the mother) was Southern Tradition until I had half written the book”. In this same letter, Smith added that “I did not tell myself that Tracy, the young southern man, was a symbol of the South’s moral weakness, its ambivalences and ambiguities, its fixation on the past (Alma), until I hit a certain chapter and then it blazed out at me” (Smith in Cliff 1978: 217).

Back of him White Town. Back of him white women. All the white women in the world. Yeah ... they tie their love around you like a little thin wire and pull, keep pulling until they cut you in two. That's what they do. Back there, they're asleep now, stretched out on their beds asleep, ruling the town. White goddesses. Pure as snow – dole out a little of their body to you – just a little – see – it's poison – you can't take but a few drops – don't be greedy – do as I tell you – do as I tell you now – be good boy – (194-195)

The few drops of sex that white husbands get from their pure wives are the equivalent of the tiny rations of love that Tracy gets from his cold mother. As Diane Roberts (1994: 188) notes, both the white woman and the white mother “make desire and gratification contingent on obedience to the Southern social order which constructs white women as goddesses, untouchable yet powerful”. It is the same discourse that constructs black women as dirty and easily available to white males, that makes chastity – or its absence – the only criterion to define female value.

Killers of the Dream was the most daring and controversial of Smith's books, one of the harshest portraits of the South by a notable white southerner. In 1949, when it was originally published, very few whites considered segregation as the South's number one problem. One of her aims was to find an answer to an old question, “Why has the white man dreamed so fabulous a dream of freedom and human dignity and again and again tried to kill his own dream?” (Smith in Loveland 1986: 98), in order to expose the moral mistake of assessing individuals by the arbitrary category of race, instead of the standard of individual freedom and merit on which America prided itself. In the South, the killers of the dream were not only the evils that Smith had been writing about since the 1930s: ignorance, poverty, political bargains between North and South, between the South's rich and poor whites, but also the timid and confused southern liberals who advised patience, and especially the “haunted childhood” of white southerners, the most prominent topic in the book.

Influenced by her reading of Freud, in *Killers of the Dream* Smith presents the South as a sick society, tormented by racial segregation, haunted by sin and guilt. Drawing partly on her own experience, she describes what it was like to grow up in the South, to live in a segregated culture. The South is like a house haunted by the ghosts produced by a culture of segregation, by a long history of oppression and repression that fractured individuals of both races and killed so many things in them. The author set herself the task of bringing to the surface the darkest and most fearful side of southern childhood in order to make possible a future of light and freedom. She shows how the white home functions as the site where

socialization takes place, where white children learn about racial difference and are steeped in the culture of segregation:

Neither the Negro nor sex was often discussed at length in our home. We were given no formal instruction in these difficult matters but we learned our lessons well. We learned the intricate system of taboos, of renunciations and compensations, of manners, voice modulations, words, feelings, along with our prayers, our toilet habits, and our games. I do not remember how or when, but by the time I had learned that God is love, that Jesus is His son and came to give us more abundant life, that all men are brothers with a common Father, I also knew that I was better than a Negro, that all black folks have their place and must be kept in it, that sex has its place and must be kept in it, that a terrifying disaster would befall the South if I ever treated a Negro as my social equal and as terrifying a disaster would befall my family if ever I were to have a baby outside of marriage. [...]

From the day I was born, I began to learn my lessons. I was put in a rigid frame too intricate, too twisting to describe here so briefly, but I learned to conform to its slide-rule measurements. I learned it is possible to be a Christian and a white southerner simultaneously; to be a gentlewoman and an arrogant callous creature in the same moment; to pray at night and ride a Jim Crow car the next morning and to feel comfortable in doing both. I learned to believe in freedom, to glow when the word *democracy* was used, and to practice slavery from morning to night. I learned it the way all of my southern people learn it: by closing door after door until one's mind and heart and conscience are blocked off from each other and from reality. (Smith 1994: 27-29)

The mind of the white southerner bred by this culture is like a house divided producing schizophrenia in those individuals who establish their gender and racial identities in opposition to the darkness which is both inside and outside the home. Smith opposed the spiritual imprisonment of the white southerner by urging the opening of the doors of the haunted house of the South in order to avoid a crippling compartmentalization and to recover forbidden energies. Only thus could the self be liberated from ideological imprisonment in the house of southern tradition, and the heart and the mind and the conscience reconnected with each other and with reality.

The “haunted childhood” of white southerners includes three traumatic relationships, three never openly acknowledged “ghost relationships” that, like the childhood lessons quoted above, had to be brought to the level of consciousness before they could be laid to rest. The three “ghost stories” are: the relationships between white men and black women, the suppressed relationship between white fathers and their African American children, and the devalued

relationship between white children and their African American mammies. The first of the three is directly related to the white women's conviction "that God had ordained that they be deprived of pleasure" and to their listening to their men's "tribute to Sacred Womanhood". The trouble with these women is that "they stayed on lonely pedestals and rigidly played 'statue' while their men went about more important affairs elsewhere" (141). "Elsewhere" is the coloured section of town and the "more important affairs" are the sexual satisfactions that the men get from black women once they have shut sexual fulfilment off from their white women. Smith denounces the white woman's complicity in a perverse system that separates them from their bodies as White Town is separated from Colored Town: "The more trails the white man made to back-yard cabins, the higher he raised his white wife on her pedestal when he returned to the big house. The higher the pedestal, the less he enjoyed her whom he had put there, for statues after all are only nice things to look at" (121). This culture that segregates races and bodies produces cold disembodied women, like Alma and Dottie in *Strange Fruit*, unknowing victims of "a patriarchal-puritanic system which psychically castrated its women" (118).

One of Smith's most original and valuable contributions to the study of southern society was her insightful analysis of the connections between racial and sexual oppression, her coupling of a fierce denunciation of the culture of segregation with the rejection of the role of the southern lady. A famous passage in *Killers of the Dream* presents the connection between racial and sexual segregation, which to Smith are parallel emblems of the cultural schizophrenia of southern society. She establishes a metaphorical parallel between the "segregated" parts of the body and the segregated spaces of southern towns, and points to the interrelations of the legacy of racial segregation and that of Victorian sexual repression. To explore the black body entails as great a risk as exploring one's own:

By the time we were five years old we had learned, without hearing the words, that masturbation is wrong and segregation is right, and each had become a dread taboo that must never be broken, for we believed God [...] had made the rules concerning not only Him and our parents, but our bodies and Negroes. Therefore when we as small children crept over the race line and ate and played with Negroes or broke other segregation customs known to us, we felt the same dread fear of consequences, the same overwhelming guilt we felt when we crept over the sex line and played with our body. (83-84)

The God that sanctions segregation and instils the fear of dark people is the same one that instils the fear of the creative powers in our own bodies. Sexuality is dark and should be repressed with the same vehemence as blacks. Actually, at the core

of the doctrine inculcated into southern children is the principle that “[n]ot only Negroes but everything dark, dangerous, evil must be pushed to the rim of one’s life” (90). Thus the southerner is turned into a broken, diminished being by his own culture, which suppresses not only the humanity of blacks but also the creative and precious darkness within himself. For Smith, then, integration was more than a strategy to improve race relations; it was an effort to restore the wholeness of the individual and stop the compartmentalization of a culture characterized by its blocked doors preventing the free flow of precious energies. Smith insistently voiced her concern with the harm segregation does to white children, which is like a reflection of that done to black children, as if both were united by a sort of Siamese ligature and equally deprived of a healthy emotional growth in the culture of segregation. Firmly convinced of the interdependence of human beings, she could see no hope of a solution until whites acknowledged the blackness in themselves. The lessons to which the passage alludes are reinforced by the racialized marking of spaces, both physical and psychological, by the “[s]igns put over doors in the world outside and over minds” (90). Southern towns become stages for social representation in which the racial order is marked by geography, in a futile attempt to separate all life into whiteness and blackness. No other southern writer has been more accurate in the description of the body as site of political contention: as a child she was conveniently told that “parts of your body are segregated areas which you must stay away from and keep others away from. These areas you touch only when necessary. In other words, you cannot associate freely with them any more than you can associate freely with colored children” (87). Even in the white body, some parts, especially the female genitals, are contaminated with blackness. Thus, in southern culture, bodies are rigidly regulated and defined, and even the apparently unified body is segregated from itself, in an effort to keep sexuality at a distance. Nothing could be more appropriate than the application of the language of segregation to the human body. Segregation is, after all, a social policy bent on excluding and controlling the black body. The segregation of parts of the body derives from the same mode of thinking that produces racial segregation – both are pernicious to human growth and produce fractured bodies and psyches.

Smith proved that race shapes white women’s lives and identities, too. The myth of the southern lady on her pedestal made the southern white woman so “pure” and so desexualized that the white man sought sexual satisfaction in the easily available black woman. His own wife could not give him what he had blocked in her. If the white lady has neither sexuality nor physicality, the black woman carries the burden of giving the white man the pleasure that he could not demand from his “pure” wife. Considered by the dominant ideology to be intimately related to the forces of darkness, and excluded from the definition of true

womanhood in a culture in which woman meant white, the black woman was thought to be guilty of victimizing the white man with her disorderly sexuality and thus endangering the conjugal sanctity of the white lady (Carby 1987: 27). The situation was most degrading for both the white and the black woman. The burden was obviously much heavier for black women, but Lillian Smith, Carson McCullers and others stressed also the psychological damage inflicted on the white woman by the white man's inflexible structures of control. In order to be loyal to their class, white women had to deny their feelings, to repress their sexuality and physicality. These pedestalled women were prisoners in homes in which "[s]ex was pushed out through the back door as a shameful thing never to be mentioned" with the same diligence that "[s]egregation was pushed out of sight also" (Smith 1994: 141).⁶

Carson McCullers left the South in search of more congenial environments for her ambivalent sexuality; Lillian Smith stayed and tried to persuade southern women to denounce segregation as morally untenable, to reject an ideology that insisted that segregation was maintained to preserve the sanctity of southern womanhood. These two women writers opposed a rigid dichotomy of masculinity/femininity as intently as they opposed the separation of whiteness and blackness. Both of them welcomed the advent of the Civil Rights movement, and can be counted among the perceptive whites who always understood the interconnections of blacks and whites in the South, and felt that, to know half of their own history, whites needed to know their black neighbors of hundreds of years. As Joel Williamson (1984: 522) observes, "[c]ulturally, black America is so much white; and white America, in its stubborn and residual racial egotism, resists the realization of how very deeply and irreversibly black it is, and has been".⁷ For white people "[t]o recognize and respect the blackness that is already within themselves would be to recognize and respect the blackness that is within the nation". That would put an end to a race problem which is nothing but a creation of people's minds. In our time we should continue to pay attention to the voices of writers like McCullers and Smith, to their conviction that American whites are also somehow black, to their reminders that the system of racial and sexual opposites that our Western civilization has been cultivating for centuries creates dangerous binaries of separation flowing menacingly from white/black and man/woman to rich/poor, good/evil, us/them.

6. In southern culture, sexuality has traditionally been represented as black. In Faulkner's (1964: 87) *The Sound and the Fury*, a disturbed Quentin Compson describes his sister Caddy's sexual activities as dark and "nigger": "Why won't you bring him to the house, Caddy? Why must you do like nigger women do in the pasture the ditches the dark woods hot hidden furious in the dark woods".

7. Lillian Smith insistently argued that, when repressing blackness, whites were suppressing something in themselves. She (1994: 212) was firmly convinced that the cultural creations of blacks "met a deeper need than most realized, reuniting us with a part of ourselves so long hidden away in shame".

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A DEFENCE OF THE CLICHÉ¹

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ABSTRACT. *A sure thing is that clichés have a bad reputation. Trying to define the cliché as a linguistic or stylistic category, however, leads to all sorts of difficulties, as we seem to be dealing with “matters as imprecise as the shape and size of a cloud or the beginning and end of a wave”. Following the example of Louis MacNeice who once wrote a “Homage to Clichés”, in this paper I will take the defence of the cliché and show that in the terms of a (Lacanian) problematic of the subject’s enunciation it has its own function and significance.*

“ce cœur parlant que nous appelons l’inconscient”²

Jacques Lacan (in Kaufman 1993: 395)

Samuel Godwin (1948), the Hollywood cinema magnate, is reported to have once said to his team of script-writers: “Let’s have some new clichés!”. This raises the question of whether one can “make it new” when dealing *in* clichés, or be at all original when dealing *with* clichés – as I will be doing here –, bearing in mind everything that has been said or written on the subject. Perhaps, the only proper way to address the cliché is, as we shall see presently, to follow the example of Louis MacNeice, who composed a “Homage to clichés”, and write up something that would be both an illustration and a defence of the cliché, a discourse from which anything new or original would be eliminated, leaving only what falls into the categories of the banal, the commonplace, the ready-made formula, the

1. A prior version of this article was published in *British and American Studies* VIII: 199-214, 2002.

2. “that speaking heart, which we call the subconscious” (my translation).

stereotype, and other such expressions that belong to everybody, refer us to the fundamental principle of the common ownership of the means of expression – those worn out and still ready-to-wear phrases, always available, off the peg, *hackneyed* phrases, as they say in English, the word *hackney* having successively been used to mean a horse kept for ordinary riding, a horse kept for hire, a coach for hire, a common drudge and a prostitute. It is not easy to wear the mask of the cliché-monger for any length of time, however, and J. A. Cuddon (1979: 125), who tries to put together a whole string of clichés in his *Dictionary of Literary Terms*, is soon forced to come to a stop, without having even managed to be really funny:

When the grocer, who was as fit as a fiddle, had taken stock of the situation, he saw the writing on the wall, but decided to turn over a new leaf and put his house in order by taking a long shot at eliminating his rival in the street – who was also an old hand at making the best of a bad job.

On the other hand, if we try to develop a serious reflection on the cliché, we soon realize that the first difficulty lies in the absence of any clear, easy, well-accepted definition of the concept of *cliché*, and also in the existence of all sorts of terms, most of the time loosely given as equivalent to the cliché – the catch phrase, the slogan, the set expression and the *locus communis* more or less completing the list begun with the stereotype, the ready-made formula, the hackneyed phrase, the commonplace. So, I will first set myself the task of giving a definition of the *cliché*.

1. A DEFINITION OF THE CLICHÉ

As *cliché* is a French word, it is fair to look up its meaning in the *Litttré*, still a useful reference book today. If you do so, you will find that a cliché is “une planche en relief obtenue par le clichage” by workers called *clicheurs* working in a *clicherie*, and that the verb *clicher*, itself a form of the very common *cliquer* (to click), which probably has an onomatopoeic origin. The *OED* confirms the origin of the word *cliché* as the past participle of the verb *clicher*:

The French name for a stereotype block [...]. Originally, a cast obtained by letting a matrix fall face downward upon a surface of molten metal on the point of cooling, called in English type-foundries “dabbing”.

Both the cliché and the stereotype (from the Greek, meaning literally “solid type”) originally refer to techniques used by printers. The latter is described in the *OED* as a process of printing with a solid plate “cast from a papier-mâché or

plaster mould taken from the surface of a form of type”, and was invented in France towards the end of the 18th century by Firmin Didot. Both are descriptive of a mechanical process allowing the printing of an endless number of identical copies of the same form, or body of type. With the invention and development of photography, the word *cliché* was then used in French (not in English, though) to mean the transparent photographic image showing dark areas as light and light areas as dark, from which as many identical prints can be obtained as necessary.

When was the word *cliché* first used metaphorically? According to *Le Nouveau Petit Robert*, the figurative and pejorative meaning of “ready-made idea or expression too often used” appears in France in 1869. As for English, the *OED* gives 1892 as the date of the first use of *cliché* meaning “a stereotyped expression, a commonplace phrase, also a stereotyped character, style, etc”. The use of *cliché* in English seems to have taken some time before it became common usage: the second edition of *The King’s English* (1908) published by the Fowler brothers, does not mention it, whereas in *A Dictionary of Modern English Usage* (Fowler 1926), it appears among the technical terms, meaning “stereotype block”, a French name used to name hackneyed phrases.

There is an innocent question which I would like to ask at this point, for which I have no ready answer. Why is it that the English borrowed the word *cliché* from the French, and only in its pejorative meaning? Was there no good native Anglo-saxon alternative available? The technique of *stencilling* used from the 18th century and the word *stencil* (by the way ultimately derived from the French *étincelle*) could have served the purpose, and though *Webster’s Third New International Dictionary* gives for *stencil* the figurative meaning of “uninspired or insipid repetition usu. [ally] of an original idea or plan”, not so the *OED*.³ With no ill-feeling, I would like to suggest that the very successful borrowing of the word *cliché* by the English admirably exemplifies a certain way of enriching the national vocabulary by using foreign words when they refer to indecent, sinful, reprehensible, or merely objectionable practices, thus implying that such practices are typically foreign, preferably French, unknown among true-born Englishmen. Thus *cliché* would fall into the same category as *faux-pas* and *coup d’État*, together with *double entendre*, *billet doux*, *négligé* and *ménage à trois*, such expressions all implying more or less dubious situations and a lack of straightforward honesty. Let not a Frenchman, however, cast the first stone at the English! All nations are guilty of the same modes of lexical enrichment at the expense of their neighbours. But there remains an

3. The *OED* mentions *poncif* as French and meaning “stereotyped or conventional literary ideas, plot, character, etc”. The technique of the *poncif* in art was similar to that of the *stencil*.

undeniable French connotation attached to the very concept of *cliché* in English, as though it were the result of a continental influence unduly allowed to spread on British soil. A quotation from Swift's "Letter to a Young Gentleman" (Swift 1948: 68), however, will show that the *thing* was already rampant in England long before the *word* was imported:

Two things I will just warn you against: the first is the Frequency of flat, unnecessary Epithets; and the other is the Folly of using old threadbare Phrases, which will often make you go out of your Way to find and apply them; are nauseous to rational Hearers, and will seldom express your Meaning as well as your own natural Words.

Let us return to our sheep – if I may use a ready-made phrase adopted from the French –, that is to say to the definition of the *cliché*. Having checked a number of reference books, I have come to the conclusion that definitions vary a good deal with authors, and that all possible gradations are to be found between two extremes: on the one hand the loose, extensive definition, with which almost anything can be treated as *cliché*, on the other the restrictive narrow definition with which the *cliché* becomes a rare bird indeed.

Extensive definitions sometimes boil down to the simple notion of "repeated discourse", but this includes proverbs, quotations, and all proverbial or otherwise set collocations (Delas & Filliolet 1973: 96-99). Eric Partridge, who set himself the task of making a detailed catalogue of clichés in his *Dictionary of Clichés* (1978) found that they fell into four categories, i.e. "idioms that have become clichés", "other hackneyed phrases", "stock phrases and familiar quotations from foreign languages" and "quotations from English literature", a picturesque classification which no linguist today would take seriously. Permyakov's definition of clichés (1979) as "set word-combinations which are reproduced in a form fixed once and for all", though more sober, is still quite as extensive as the other two.

Extensive definitions can even go further and pass on from the level of expression (*plan de l'expression*) to the level of content (*plan du contenu*). For Michèle Aquien (1993: 34), the cliché is "a stereotyped image, also called *poncif*, or lieu commun". The same author adds that "the characteristic banality of the cliché can lie as much in the image as in the idea". In a very instructive study of the *locus communis* of the swan, Didier Alexandre (in Plantin 1993: 46) speaks of "formal and thematic clichés". And as we have seen earlier, in both the *OED* and *Le Nouveau Petit Robert* the notion of cliché can very extensively be applied to ideas, characters, and situations.

If I turn now to the restrictive definitions of the cliché, I think that the most restrictive are those of the linguists for whom the cliché has no pertinence whatsoever, and their strict attitude towards the cliché is made quite clear by the fact that they do not even mention its existence as *fait de langue*. To take one single example, the word does not appear in Ducrot and Todorov (1972) though their book is the sort of reference book that aims at covering all the many fields related to language.

In some other cases, linguists will acknowledge the pertinence of the concept of cliché, but will give it a very strictly limited use. I have in mind Arnaud and Moon (in Plantin 1993: 37-38) and their study of what they call “proverbial clichés”, structures leaving one or several vacant slots into which lexical elements can be inserted, and referring to the form of a canonical proverb – for example, “Too many X’s spoil the Y”, with reference to the proverb “Too many cooks spoil the broth”, allows the production of proverbial clichés, such as “Too many jokes spoil the fun”, “Too many guests spoil the party”, or ... “Too many lectures spoil the conference”, etc.

Another interesting attempt at defining the cliché is the one proposed by Gerstenkorn (in Plantin 1993: 37-38) who makes a clear distinction between the stereotype, which in rhetoric comes under *inventio*, and the cliché, which comes under *elocutio*. Thus “the ruler’s inflexible authority” will be considered as common motif, or topos, or stereotype, and “the iron hand” (with or without its “velvet glove”) as a cliché, a fixed discursive unit, or lexicalized metaphor. A similar distinction is made by Andrée Chauvin (in Plantin 1993: 27) between the logical, ideological, argumentative level of the topos, or *locus communis*, and the properly linguistic plane of literally constituted syntagms, where she further distinguishes verbal stereotypes and clichés, the latter being lexicalized tropes.

In the taxonomic quarrel over the definition and classification of clichés, I have no authority or competence to decide who is right and who is wrong. But I wish to say that this last restrictive definition of the cliché suits me, as it corresponds to my own practice as teacher of poetry and poetics, though I prefer to speak of “poetic images” than of tropes. The expression “poetic image” brings together the order of the signifier and that of the signified, the poet’s activity as a *maker* working with words and the *imaginary* representation which is the effect of that *making*. One further advantage of the notion of “poetic image” over that of “lexicalized trope” is that it leaves out those dead tropes that have lost their power to produce imaginary representations, unless they do so absurdly, as in the case of a *catachresis* (meaning “improper use” in Greek) – for example when carried away by enthusiasm one speaks of “a virgin country, pregnant with possibilities...” Finally, the expression

“poetic image” refers the cliché to both word and image, namely to the original technical use of the word *cliché* among the first unchallenged legitimate cliché-mongers – I mean printers and photographers.

At this point, having found a definition of the cliché that I find precise enough and therefore operative, I must however add that there is still one essential element missing to it if I want to account for the fact that each of us has an intimate ready knowledge of what a cliché is. In the same way as “to call a spade a spade” requires a certain experience of what a spade is, as Oscar Wilde well knew, to call a cliché a cliché requires an experience of the poetic, a familiarity with the uses and abuses of language, a capacity to recognize recurrent images, and a tender susceptibility to the sense of *déjà vu* they engender. In other words, there is no cliché out of the context of its reception. There is no cliché without subjectivity being brought into play. Which probably accounts for the linguists’ reticence towards the cliché, as many linguists, though not all, prefer to deal with problems of language outside the context of interlocutory discourse.

2. THE CLICHÉ AND ENUNCIATION

There is no cliché without a judgement of value, and that judgement is usually negative. “Cliché!” used to appear red-pencilled in the margins of my schoolboy’s compositions and essays, at the time when I was making my first attempts at writing “with style”. An image is perceived as a cliché only from someone’s point of view, according to his or her taste, preferences, and prejudices. There could even be a socio-linguistic approach to the question, and the appreciation of clichés might well be shown to depend upon age, class, education and gender, etc. The directions I now want to follow, however, are not those of socio-linguistics, but two directions related to the problematics of enunciation, my starting points being: firstly, the fact that with the cliché an act of speech is always explicitly or implicitly involved, that an image is *pronounced* a cliché, and the pronouncement made within the context or framework of an interlocutory situation; secondly, the fact that the cliché is always referred to an axiology – i.e. the application of a scale of values.

With regard to interlocution, the “cliché effect” can only be experienced by the addressee of a message received from some addresser. The well-known description Roman Jakobson gives of verbal communication must be modified, however, in order to show that interlocution is also at work in the silent reading of a written text, the reader being led to lend his voice to and assume the enunciation of what he is reading, so that when I read a love poem, for instance,

I am at the same time speaking it and listening to it, addressing myself as an other, the inner *forum* of my subconscious (which we call “le *for* intérieur” in French) being the locus of the interlocutory rapport in which *I* and *you* do not refer to identities but to enunciatory positions. So, when I read:

Shall I compare thee to a summer's day?
Thou art more lovely and more temperate:
Rough winds do shake the darlings buds of May,
And summer's lease hath all too short a date

I am at once reader and listener, addresser and addressee, lover and beloved, and need not know anything of Shakespeare's love life to become involved in the poem's enunciatory operations. To put it more bluntly, it takes at least two to have a cliché, and I can be those two at the same time. And one of the two must be in the position of reader, or listener, expecting novelty and originality. The “cliché effect” indeed springs from a sense of disappointment and frustration, and do not tell me, by the way, that you have never been both the embarrassed author and the severe judge of your own clichés when writing a poem, a love letter or... a conference presentation!

This explains why the “cliché effect” is best experienced by those whose role, or job, or pleasure, is to evaluate and criticize. Teachers of course are, or think they are, great experts in clichés, and this goes too for literary critics. What I would like to develop, however, is the idea that the “cliché effect”, when experienced, interrupts what had been established as an interlocutory exchange between addresser and addressee. When I say or think “Cliché!” to what I hear or read, the other as subject of enunciation I was listening to is so to speak disqualified as subject, reduced to his utterance (or *énoncé*), and that utterance assessed as worthless and rejected as cliché. The addresser disappears as subject. Instead of lending my ear to what is being said of the other's truth through what he or she is trying to say, I stop listening. I am deaf to the other's *cœur parlant*, Lacan's “speaking heart”, desirous though that heart is to speak out, sometimes to speak volumes – “voluminous” as it can be, like Hopkins' “heart in hiding”. The woman who hears clichés in the passionate declarations of her lover has already decided that she does not love him. To use a metaphor which is itself a cliché among soccer fans, the cliché is the red card you take out of your pocket, as self-appointed *arbitre élégantiae*, the other being sent off, having to shut up and leave the field.

Such an exercise in axiology, I would like to suggest, manifests an obscure, mostly subconscious, desire to dismiss the other (to give him the *axe*), by reducing him to his poor, clumsy words. It corresponds to the imaginary triumph

of the self. It is easy to perceive the arrogant self-sufficiency and self-complacency of the self-appointed guardians of good taste, and their *jouissance* in denouncing clichés. Take Rémy de Gourmont (in Riffaterre 1971: 161), who belonged to the generation of the French *symbolistes*, for whom a cliché was “the expression of an anonymous brain and perfect intellectual servilism”.⁴ Or take Eric Partridge (1969: 73), who writes:

A cliché is an outworn commonplace; a phrase [...] that has become so hackneyed that scrupulous speakers and writers shrink from it because they feel that its use is an insult to the intelligence of their auditor or audience, reader or public.

Any axiological system, however, is reversible. This is well-known. Even Partridge’s superior airs and severity sounds a little forced and excessive, the more so when one realizes that in order to publish his *Dictionary of Clichés* he must have spent years collecting them, and a collector cannot but love the things he collects. So, it is not unimaginable to find true connoisseurs of clichés, ready (like me) to write a “Defence of Clichés”. Georges Perec was one, and with *La Cantatrice chauve*, Eugène Ionesco certainly gave the cliché its “lettres de noblesse”. But here I would like to turn to the poet Louis MacNeice and consider his “Homage to Clichés” (MacNeice 1966: 59-60). Here is the beginning of the poem:

With all this clamour for progress
This hammering out of new phases and gadgets, new trinkets and phrases
I prefer the automatic, the reflex, the cliché of velvet.
The foreseen smile, sexual, maternal, or hail-fellow met,
The cat’s fur sparking under your hand
And the indolent delicacy of your hand
These fish coming in to the net
I can see them coming for yards
The way that you answer, the way that you dangle your foot
These fish that are rainbow and fat
One can catch in the hand and caress and return to the pool.
So five minutes spent at a bar
Watching the fish coming in, as you parry and shrug
This is on me or this is on me
Or an old man momentarily sharpens a pencil as though
He were not merely licking his fur like a cat –
The cat’s tongue curls to the back of its neck, the fish swivel round

4. My translation.

by the side of their tails, on the abbey the arrows of gold
On the pinnacles shift in the wind –
This is on me this time [...] (lines 1-19)

I quite readily admit that the meaning MacNeice gives here to the word *cliché* is a good deal more extensive than the one I said I preferred.⁵ But what he says of the “cliché of velvet” in a world in constant flux, filled with the sense of impending gloom – the poem was written in December 1935 – can *mutatis mutandis* be applied to the cliché as lexicalized trope or familiar poetic image. MacNeice will thus help me on my way, in my effort to understand why, in certain circumstances, clichés can be a source of emotion and happiness, so that the cliché cannot be reduced to a mere manifestation of bad taste and bad style. Let us follow MacNeice (1966) a little further:

What will you have now? The same again?
[...]
A gin and lime or a double Scotch –
Watch the response, the lifting wrist the clink and smile
The fish come in, the hammered notes come out
From a filigree gothic trap.
These are the moments that are anaplerotic, these are the gift to be accepted
Remembering the qualification
That everything is not true to type like these
That the pattern and the patina of these
Are superseded in the end. (lines 26-36)

It appears that for MacNeice the cliché implies repetition (the proper cliché is “true to type”, like the stereotype) and long wear (“the pattern and the patina”), and this can give it the value of a sort of epiphany, of an anaplerotic gift (*anaplerosis* being the filling up of a deficiency) that momentarily fills up the lack-to-be (Lacan’s *manque-à-être*), before the final catastrophe. It can thus be argued that the cliché has to do with the subject’s desire at the very point where desire is articulated upon language, which means that the cliché has to do with the structure of Lacan’s *parlêtre*, or “speaking-being”, man or woman as belonging and subjected to the order of language.

5. In “Experience with Images”, MacNeice (1987: 163) writes: “In some poems of this type I have used a set of basic images which crossfade into each other; thus in ‘Homage to Clichés’ (1935) clichés (by which I meant the ordinary more pleasant sense-data of the sensual man) are imaged by fish coming in to a net, by the indolent self-contained behaviour of cats, by the chiming of bells (where the bell itself does not move), and by the ordering of drinks (‘the same again’) at a bar”.

3. THE CLICHÉ AND THE STRUCTURE OF THE *PARLÊTRE*

In “Politics and the English Language” George Orwell (1970: 159) declares that there are newly invented metaphors, metaphors that are technically dead, and that between those two categories there is “a huge dump of worn-out metaphors”. These worn-out or “dying metaphors” – in Orwell’s list you find “toe the line”, “ride roughshod over”, “no axe to grind”, “grist to the mill”, “fishing in troubled waters”, “swansong”, “hotbed” – are in fact clichés, for ever dying but still alive in political discourse. Christopher Ricks (1984: 250) makes a similar remark when he writes that clichés are “phrases which are dead but won’t lie down”. Clichés are indeed extraordinarily resistant, and the capacity they have to survive may well mean that they have an irreplaceable function, for in their humble paltry way they bring into play the Lacanian categories of the real, the symbolic, and the imaginary, bound together (the metaphor is to be found in John Donne’s “The Extasie”) into “that subtle knot, which makes us man”.

The way in which clichés can bear upon or refer to the real is well illustrated in the second part of MacNeice’s poem (1987: 163), where the real is represented by “the imminent *pealing* of bells (where the bell does move), the tenor bell being equated with a stone Rameses about to move his sceptre and dismiss ‘the productions of Time’”:

Never is the Bell, Never is the Panther, Never is Rameses
 Oh the cold stone panic of Never –
 The ringers are taking off their coats, the panther crouches
 The granite sceptre is very slightly inclining
 As our shoes tap against the bar and our glasses
 Make two new rings of wet upon the counter
 Somewhere behind us stands a man, a counter
 A timekeeper with a watch and a pistol
 Ready to shoot and with his shot destroy
 This whole delightful world of cliché and refrain –
 What will you have, my dear? The same again? (lines 69-82)

Repetition, at work in the cliché, may be interpreted as a symptom. It is significant of desire’s insistence and failure to take the real in the nets of discourse. In a famous formula, Lacan (1975: 53) said that “the universe is a flower of rhetoric”, by which he meant that all knowledge, constitutive of the cohesiveness of the universe which we inhabit, is but a discursive construct from which the real, as such, is forever absent. The cliché, as lexicalized trope, is like a nodule, a concretion, a cyst in the system of language. It speaks to us insistently of our failure to speak the impossible real. With clichés, something can always be heard of that failure.

Now if you ask me what it is that there is no ultimate knowledge of, what it is that cannot be said of the real, I will answer by quoting three lines from “Sweeney Agonistes” (Eliot 1936: 127):

Birth, copulation, and death.
That’s all the facts when you come to brass tacks:
Birth, and copulation, and death.

Encounters with the real more often than not occur in the event of birth, sex, and death, when we are left literally speechless, or experience the vanity of any discourse that might be equal to the event, that might speak the joy, the suffering, the *jouissance*, or the agony. Words fail us. And I believe that in such circumstances – for which religions have invented all sorts of rituals – the cliché proves very useful, serves its purpose, fills up the unbearable silence, starts up again the process of interlocution. Let me quote the first lines of another poem by Louis MacNeice (1966: 220), “*Tam cari capitis*”, an elegy written after the death of his friend Graham Shepard, drowned at sea during the battle of the Atlantic, lost forever in “the dark backward and abyss of time” (*The Tempest*, I, 2, 50). The voicing of sorrow and of the sense of loss is here made possible by the quotation from Horace and the initial cliché:

That the world will never be quite – what a cliché – the same again
Is what we only learn by the event
When a friend dies out on us [...]

Often too, in the last stage of man’s “strange eventful history”, before “second childishness and mere oblivion”, the “speaking heart” of old people can only mechanically repeat the same poor words, the same drivelling, the same poor ready-made phrases and clichés, and here again the cliché indirectly signifies something of the impossible real. Likewise, in his essay on aphasia, Roman Jakobson (1963: 58) notes that “only a few stereotyped, ‘ready-made’, expressions manage to survive”.⁶ And I believe that in the clichés and stereotypes, sometimes repeated with such tiresome monotony by old people, something is to be heard of the first *jouissance* inscribed in the “speaking heart”, when in its mother’s arms the infant produced its first lallations.

As regards the imaginary, now, MacNeice makes no mistake in his praise of clichés and insists mostly on that function, associating as he does “the cliché of velvet” with those uneventful encounters in which the same meets the same, like

6. My translation.

to like – “The foreseen smile, sexual, maternal, or hail-fellow-met”. In the great store of language, the cliché is the most readily available item, ready-to-wear, fitting everybody, always second-hand and always as good as new. It allows everybody to go on his way, keeping to the beaten tracks of discourse, taking no chance, never risking too much of his *parole*. Clichés moreover characteristically render the images they convey almost transparent: little remains, for example, of the visual image conveyed by “it was raining cats and dogs” for native speakers of English, there being of course no cliché for learners of a foreign language, and foreigners being notably incapable of using clichés properly.

Which leads me to remark that the cliché is a great factor of social cohesiveness and identity, and most strikingly so in the case of social groups that are bound by the same type of discourse. As early as 1938, one Frank Whitaker (in Partridge 1969: 73), addressing a group of journalists, was busy denouncing the use of clichés when he remarked:

I have, however, heard their use in football reports defended on the ground that the public expects them, and would feel lost without them.

All readers of the sports pages of magazines and newspapers, whether they are soccer fans, or followers of the annual epic of the Tour de France, will perceive the relevance of this remark, which can very easily be transposed to other types of social discourse, that of the arts, of fashion, of politics or *haute cuisine*.

Finally, with regard to the category of the symbolic, I will say that the cliché also articulates the symbolic upon the categories of the real and of the imaginary, if only in a minor way. Among the definitions of the cliché which I have collected, one of my favourite ones is George Baker’s metaphor of “a coin so battered by use as to be defaced” (in Partridge 1969: 1973), because money, like *parole*, is meant to circulate and be exchanged, and Jacques Lacan (1966: 251) – what a coincidence! – also wrote that “la parole, même à l’extrême de son usure, garde sa valeur de tessère”,⁷ the “tessera” in ancient Greece being a token, the *tessera hospitalis*, for example, being “a die broken between host and guest, and kept as a means of recognition” (*OED*). I would like to suggest that in the system of language the cliché is a poetic image “à l’extrême de son usure”, and what it has lost in the way of novelty and piquancy is made up for by its familiar smoothness, MacNeice’s “pattern and [...] patina”, as with the worn handles of old tools or the thresholds of old houses, which look as if they remembered something of the hands and feet of the past. In a way, the cliché is like the intertext. In its great banality, it is the intertext

7. “*parole*, even when worn-out to an extremity, keeps its value as tessera” (my translation).

of every Tom, Dick, and Harry, of the man in the street and of the nobodies of society. It is part of the intertext of our daily life, that great word-hoard of idioms, collocations, proverbs, and ready-made phrases, which belongs to nobody in particular because it belongs to everybody – “All men’s, no man’s, thine, mine”, to quote Louis MacNeice (1966: 313) again. If the first effect of the poetic, according to Robert Frost (in Scully 1966: 55), “lies in the surprise of remembering something I didn’t know I knew”, cannot we say that our “speaking heart” will also experience the same surprise, though ever so tenuously, in recognizing with every cliché something heard so many times and so many times forgotten?

4. THE CLICHÉ AND MODERNITY

As I come to my conclusion, I would like to suggest that in literature the concept of cliché is to be related to the notion of modernity. It is certainly significant that the *cliché* should have appeared in the late 19th century in the terminology used by critics and teachers, and that it should have so successfully formulated and crystallised an ill-defined notion during the decades marked by the advent of modernity in literature and the arts, with Ezra Pound “Make it new!” serving as a kind of motto. Before then, was ever Homer accused of having coined clichés with his repeated use of what is known as “Homeric epithets”, such as (in their English version) “the wine-dark sea”, “the rosy-fingered dawn”, “swift-footed Achilles”, “white-armed Hera”, or “bright-eyed Athena” (Cuddon 1979: 309-310)? Were *kennings* – for instance “the whale-bath” or “the foaming fields” to refer to the sea –, those favourite stock phrases found in Old Norse skaldic verse and also in Old English poetry, ever criticized because they were repeated again and again? Was ever Petrarch condemned for having introduced the standard *topoi* of love poetry and the conceits that were later imitated throughout Europe and are still very much alive, for instance, in the works of the English metaphysical poets? I believe that the aesthetics of novelty and originality, which is characteristic of our modernity, is at the origin of the cliché considered as an offence against good taste and style, in the same way as “poetic diction”, which characterized the codified poetic language of the neo-classic 18th century, became offensive to Romantic ears after Wordsworth (1965: 246), in the Preface to the *Lyrical Ballads*, had denounced “arbitrary and capricious habits of expression [...] to furnish food for fickle tastes and fickle appetites” – all in the name of the new aesthetics of simplicity and naturalness.

At the heart of the concept of cliché in literature, the idea of the originality and creativity of the poet is very much part of the imaginary, self-complacent, narcissistic, hero-worshipping attitude we tend to have towards the process of writing. I will leave out all the theoretical work that has been done over the past

forty years in the fields of linguistics, anthropology, and psychoanalysis, showing that we are more the subjects than the masters of language, and remind you that some of the great champions of our modernity were already long ago very much aware of the dangers of the great illusion entertained about the poet's originality. As early as 1919, T. S. Eliot (1951: 15, 17) declared in "Tradition and the Individual Talent", that "no poet, no artist of any art, has his complete meaning alone" and that "the progress of an artist is a continual self-sacrifice, a continual extinction of personality". And W. B. Yeats (1961: 522), at the end of his long career, once exclaimed: "Talk to me of originality and I will turn on you with rage. I am a crowd, I am a lonely man, I am nothing".

Even Joyce (1986: 140), often naively thought of as the original artist *par excellence*, has Leopold Bloom reflect "Never know whose thoughts you are chewing", and his *Finnegans Wake*, among many other things, can be presented as the result of a great process of linguistic and textual recycling. As Fritz Senn (1994: 195) puts it, *Finnegans Wake* "seems indefatigably to reassert the platitude that there is nothing new to impart". The *Book of Ecclesiastes*, full of the wisdom of Solomon, teaches that "there is no new thing under the sun", and this, like (almost) everything else, finds its way into *Finnegans Wake* (Joyce 1939: 493): "there is nihil nuder under the clothing moon".

Living as we do in the age of post-modernity, we know that fashions come and go, and the cliché, once mocked and condemned, probably deserves to be rehabilitated. This is what, following the example of Louis MacNeice, I have tried to do. Not that it constitutes a major issue. With or without clichés, what matters most in literary studies as in life is that, if we are attentive enough to what is being said in what we hear or read, something of the "speaking heart" will be heard, with its silences and intermittences, like another enigmatic "still small voice" (I, *Kings*, 19).

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NARRATIVE GENRES AND THE ADMINISTRATION OF CONSCIOUSNESS: THE CASE OF DAISY GOODWILL'S REBELLION¹

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ABSTRACT. *The Stone Diaries (1993), a novel by Carol Shields, examines the strategies characters use to render their selves accountable: they turn life into an ensemble made up of historical, scientific, novelistic or biographical discourse. In contrast, Daisy Goodwill, who is the subject-matter of this fictional autobiography, remains close to the epistemology of the short story, whose potential has been described by critics as a challenge to knowledge or synthesis (Cortázar 1973; Bayley 1988; Leitch 1989, May 1994; Trussler 1996). There seems to be agreement that the only condition of coherence necessary for the short story is a pointing to the evasion of meaning in life, also that the genre allies itself to the way in which the past is attached to our memory (Kosinski 1978; Hallet 1998; Lobafer 1998; Wolff 2000). This essay will analyze the implications of its protagonist's stance with a view to pinning down some of the ideological grounds of the novel and of the short story in their approach to the question of identity.*

[H]ow are we to understand the project of telling a life story where it must be organized in terms of what is anomalous, difficult, and resistant to narration? (Gilmore 2001: 33)

This article deals with the question of how we articulate our consciousness by focusing on the proposals of two major narrative genres: the novel and the short

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story. One of society's demands upon the individual is precisely self-articulation, the creation of an identity of one's own made manifest by an exercise in verbalization. This task is performed through the adscription of meaning to a sequence of incidents and emotions, that is, through the making of a story. Thus, the psychological structures we use to make sense of ourselves seem to put us unavoidably in a narrative dimension; we read ourselves as characters in a story.² The interplay between *storyness* and personal biographical composition will be the object of this study.

The finality of a life story is knowledge, or at least, intelligibility, a goal reached thanks to certain formulaic beliefs which allow us to connect events within a sequential pattern of progress which – we imagine – moves us towards the future and diminishes the chaos of existence. We like to believe that experience leads to maturation, that the cause-effect binomial organizes our life and explains the conditions of our present situation, that the passing of time brings about learning (intellectual, emotional, ethical). These assumptions, which no degree of post-modernism will be ever able to uproot, act like *joints* which help interpret the succession of occurrences in one's life – or in a character's life – as the dramatization of the efforts towards self-understanding, a path sanctified with the aura of redemption. These ethical dynamics of narrative is grounded in the religious precedent of sacrifice followed by reward. It is the metaphor of life as a river or as a journey which starts as blankness or as confusion and achieves its climax in an adjustment of perception (an awareness of wrongness) or in a more satisfactory appreciation of the relationship between a person and his/her world. However, not all narrative genres share the same joints or the same sense of finality. Indeed, the short story has been often defined as contrary to the ingrained idea that stories have to make transitions plausible or intelligible. In its search for truth in the clash of experiences which do not cohere, the short story shows ample disregard for other genres such as the novel or the biography, which often equate reality with a slow display of psychological interiors. Aspirations toward knowledge also fare differently in both genres: whereas the short story is said to have constituted itself in its challenge to knowledge and has a penchant for situations that cannot be rationalized (Leitch 1989: 133; Trussler 1996: 560), the novel has historically sought the “expropriation” of life's mystery (May 1994: 135); it evidences a will to dissect the machinery of connections at play in an individual's existence. Our culture has made us mainly inheritors to the legacy of the novel, a form of discourse which reveals life as an ongoing pattern connecting the past to the future. The novel's

2. See Rose (1997: 237).

appearance as a life-long companion is firmly rooted in a sense of biographical time: its embodiment of learned ideas of self as history makes it possible to envision life as a path that is psychologically self-sustaining.³

Alien to this “ethos of connection”, the short story is often seen as an unfinished narrative product: it traces the lack of “jointedness” of experience, it finds and revolves around a situation which makes life’s reassuring continuity recede from view. It dismantles the notion of the “sequential self” because it negates contiguity; always ecstatically pointing at a mystery or a paradox, it seems to propose a category of person structured nonsensically. By prioritizing the disarming power of a hypnotic moment, a person’s life is shown as strayed from a set course.

Much worthy theory and criticism has been produced about the differences between the novel and the short story in terms of epistemology, textual tactics, narrative structure, and reader-response. However, the capacity of these two genres to create different models of identity still remains somehow unexamined. Both narrative forms shape and make available certain patterns we use to attach an identity to ourselves. On a different front, but on one that we can use as a suitable background, Anis Bawarshi (2003: 86) has regarded non-literary genres as sites of “subject formation”, as constitutive of identities. According to him, certain genres are associated with typified subjectivities, that is why he studied generic habitats outside the strict literary environment in order to show how a certain rhetoric makes us think of ourselves.⁴ Genres are not thought of as descriptive or classificatory, but as generators of communicative goals by way of its ideological and discursive conventions.

3. Bakhtin (1991: 242, 253, 269) defined biographical time as thread-time, as a path man traverses, as a journey or transition that modifies people. Biographical time is supported by the notion that life affects us as a sequence, as a whole and indivisible mass. When dealing with the advent of the novel, Roland Barthes (1988: 145-146) claimed that our society has developed this reassuring notion of time to “unite as rapidly as possible a cause and an end”. It is a “security system”, “the ideal instrument for every construction of the world” because it paves the way for an intelligible narrative. In this construction, reality is not mysterious or absurd: “The Novel is a Death; it transforms life into destiny, a memory into a useful act, duration into an orientated meaningful time” (150). According to Barthes, time in the novel is tamed in order that our society can universalise its views of history and life. For other explanations of this institutionalised version of time, see Kermode (1968: 7-8), Raible (1988: 308) or Alverson (1994: 97).

4. An example is “The Patient Medical History Form” (2003: 83) (PMHF) a form that American patients have to complete prior to their seeing a doctor. Here, the individual learns to think of himself as a patient and to absorb a series of beliefs, social positions, and linguistic terms which will rule his future interaction with the doctor. Other conceptual habitats are found in the relationship between professors and students at university, where different kind of written assignments perform regulative, managerial or creative functions (85).

Although Barwarshi's inventory of genres does not include the more embracing literary generic frameworks this essay examines, nonetheless his perspective legitimizes the approach undertaken here: genres establish the rhetorical conditions that help to organize our desires and subjectivities and create assumptions as to what is knowable (or doable). Subjectivity will be looked for in the negotiation between a certain kind of generic pressure and a set of internal structures which may transgress generic demands.

Thus, this will be our working hypothesis: different narrative genres give us different views of the human power to understand reality and they generate schemas within which we can understand ourselves. Although a great variety of subgenres exist, my focus will be mainly on the novel and the short story because their opposed views on the issue of the *narrativity* of existence channel two basic impulses which may be present, in different degrees, in any fictional work. These two genres represent two different commitments to *story* understood as an explanatory structure. As a starting point, we claim that the strategies we use to narrate our past to others and to ourselves can comply with two conventions: we may assume that life has been experienced in a continuum, with stages made up of events, emotions, and thoughts which can be labeled and which enable us to explain subsequent occurrences (the novel does this kind of job for us). Or we may feel that our past contains certain moments in which we remember ourselves under the effect of some compelling sensory or psychological force that is unconnected either temporally or causally with the rest of our existence. The short story undertakes this second task.

Can we say that this approach constitutes an *either/or* existential motivation? Do we consider one form of remembrance more appropriate than the other? Does the short story's disbelief in coherent contiguity undermine the validity of the novelistic experiential flow? Or is the moral weight of an ideal well-articulated novel more fulfilling than the fleeting, less vertebrate sense of self that the short story promotes?

In Carol Shields' *The Stone Diaries* (1993) we find a novel in which these two potentialities for self-contemplation are at odds. This fictional autobiography cannot be properly realized as such because its protagonist, Daisy Goodwill, is unable to verbalize her life according to a novelistic pattern of intelligibility. Daisy is both narrator and character, but both the narrator and character within herself fail in performing their roles: Daisy the narrator rarely has a privileged access to her own internal affairs, and Daisy the character refuses to be pinned down within any pre-established arrangement of vital stages. This novel is not the first case of an autobiography where the main character is absent; its peculiarity lies in the fact

that this absenteeism of the self is due to the conflict of two forces at play: the desire to narrate versus the conviction of life's lack of narrativity. Let's look at this battleground more closely.

Almost at the end of her life Daisy Goodwill asks herself:

What is the story of a life? A chronicle of fact or a skillfully wrought impression? The bringing together of what she fears? Or the adding up of what has been off-handedly revealed, those tiny allotted increments of knowledge? She needs a quiet place in which to think about his immensity. And she needs someone – anyone – to listen. (340)

In this passage Daisy brings to the foreground our need to accommodate our lives to certain versions of narrative, and although the novel is not just a chronicle of fact and the short story is not only a skillfully wrought impression, Daisy's life, having been patterned by the author as an autobiography of forward movement, leaves her "throttled, erased from the record of her own existence" (76). Daisy remains absent for the most part of a narrative that has chaptered her life within the phases of birth, childhood, marriage, love, motherhood, work, sorrow, illness, decline, and death. We are offered a gigantic web of stories, also photographs, documents and letters that survey the world she lived in and the persons she interacted with, but she remains anonymous, out of sight. We only know that, in sharp contrast to the other characters, Daisy felt the chronic disease of not being able to grasp her experiences as "beads on a string" (340). Her identity was emptied out, annihilated, precisely because she was unable to turn her own life into a novel. We apprehend her as an unknowable and isolated being, submerged under heavy layers of a narrative that marches on and around her, full of characters busy with the business of constructing their own life stories and providing Daisy with their own interpretations.

Daisy is aware that she has been crowded out of her own life by history and narrative, that her experience lacks continuity, progression, and connectivity. These novelistic and biographical arrangements operate like a conspiracy to defraud her of her own life; she can only get hold of herself at certain moments when her mind regurgitates a few sensations of her past that she can relish anew, but these are deprived of any communicative pact, unhinged from what came before or after. She does not conceive of herself as a "psychology in time", a definition that would suit novelistic standards, but as an intermittent soul, unable to find the joints that would connect her to a universal tissue of storyness. However, as a compensatory gift, she can temporarily arrest the course of time, "the curse of continuity" (309), as she thinks about it, in order to be possessed by images which press on her with the

solidity of the present moment. While in hospital, already in her eighties, Daisy experiences an earlier self coming back to her:

She is seven years old, standing in her Aunt Clarentine's garden, stooping over the snapdragons, pinching them with her fingers so that their mouths open and close. They possess teeth and tiny tongues. Do other people know about this? "Daisy" she hears. She's being called in to supper. Aunt Clarentine's promised to make pancakes tonight. All this: the thought of the pancakes, the hot bite of chives, the hidden throats of flowers, the sound of her own name –she is suddenly dizzy with the press of sensation, afraid that she will die of it. [...]

The brown leaves had been raked into a pile ready to burn. [...] She let herself fall backward, her arms straight out, trustingly, and at once the complications of branches, fences, sheds and houses, so dense and tangled together, burst with a cartoon pop into the spare singularity of sky, the primary abruptness of blue. That's all there was. Herself suspended in a glass sphere. You could go back and back to that true and steadfast picture, hold it in your head for the rest of your life. (338-339)

She can only contemplate herself suspended, the weight of her memories distributed unevenly, as "sparkling subversions" (337). But only very rarely does the reader become a witness to these triumphant outbursts of individuality: Daisy's thoughts and words remain unspoken; instead, the narrator explains that she was only aware of the inauthenticity of her own life, never managing to articulate it in order to offer it to others. The narrator herself and other characters keep telling us that "Daisy Goodwill's perspective is off" (148), that "she was forever going after some stray little thought with a needle and thread" (356), a woman to be pitied, unable to manage a well-run identity. She is aware that her lack of anchorage to life comes as a result of her inability to abide by the connecting system of dispositions available in biographical discourse and, in this novel, the apparent implication is that her impotence in weaving her life's landmarks kept Daisy forever diminished, insubstantial, forever on the margins of her own life.

Thus *The Stone Diaries* partly revolves around this question: does the inability to construct a continuing plot for one's life inevitably lead to lack of identity? Is the "ethos of connection" so typically represented by the novel the only pattern of intelligibility possible?

We cannot help relating Daisy's stance with the epistemology of the short story genre not only because of her choice of resisting sequentiality and of inhabiting a realm of suspended temporality – allied, as some critics have noted, to our own processes of personal remembrance (Wolff 2000: xi-xii) –, and also

because her awareness of where reality is and how it is accessible to us offers an alternative proposal to the novel-oriented habits of the other characters and of Daisy herself as a narrator of her own life.

Many critics and short story writers have spelled out the epistemology of the short story as a genre which intrinsically possesses a certain attitude to knowledge, this attitude consisting of putting it aside temporarily; they insist on the short story's irreducible component of wonder and mystery, its reliance on paradox, a figure which cannot reconcile different truths, or on the puzzle, since the reader cannot provide the story with a plot and, not least, its dependence on the potentiality of images that cannot be integrated into a larger consensual reality (Hanson 1989: 25). Short stories insist that the nature of meaning is private, not shared or fraternal. Bayley (1988: 126), for example, affirmed that the short story commits itself to the literary as enigma, pointing to a mystery that lies outside any discursive answer; May (1994: 133-135) claimed that the short story, unlike the novel's original impulse to understand the world, addresses those experiences that cannot be dissected and analyzed; Leitch (1989: 133) defined the short story not as a form of knowledge, but as "a means of unknowing"; Trussler (1996: 560) explains that the short story is grounded on a hermeneutic crisis, on the failure or the refusal to explain the relationship between passing time and event. From different perspectives, criticism on the short story points out that short stories contain "ghost" or secret plots (Rohrberger 1998: 203), that the relevant experiences in a short story are muffled (Hannah 1998: 208) or that the reader experiences an incongruity in existential experience as a slap in the face. It has also been noted that the short story has no responsibility other than showing life fissures (Rueda 1992: 29): a mere disturbance in a previously unmolested course of a life can satisfy us imaginatively as the plot of a short story. It is a step aside, not forward. The short story exploits our lack of acquaintance with its fictitious worlds and its transitions. All these assimilations of the genre stress the fact that what is real for the short story writer is that which evades understanding or coherent articulation, in other words, that which cannot be narrated.

In view of this orientation of the short story towards the incongruous, the isolated, the unfinished, the disturbing, the unattainable, the perplexing, it may be perhaps pertinent to ask why some writers, readers, and critics are addicted to a literary form that apparently denies them the comforts of narrative per se, with its chaining of events, its sustained incursions into the character's lives and minds, its wrapping-up sensation that we are accompanying characters in a journey from which some knowledge is to be gained, its reassurance that we participate fully in a world spread out there for us. Why should we forget about the whole mechanism of life to entertain ourselves with the enigmatic quality of a spare part?

(I mean by “spare part” a piece of a larger mechanism that at any precise moment does not serve the purpose of keeping that mechanism going).

Ulrich, the protagonist of Robert Musil’s novel *The Man Without Qualities* (1952) expresses this apparent quality of “senselessness” of the short story when describing what his lover thought about an evening they had spent together:

Her friend regarded such an evening as a ripped-out page, alive with all sorts of suggestions and ideas but mummified, like everything torn from its context, full of the tyranny of that eternally fixed stance that accounts for the uncanny fascination of tableaux vivants, as though life had suddenly been given a sleeping pill and was now standing there stiff, full of inner meaning, sharply outlined, and yet, in sum, making absolutely no sense at all. (20)

This passage illustrates Daisy’s marginalized model of self-knowledge in *The Stone Diaries* and points at the risks of refusing to comply with the demands of a narrative articulation, which provides characters with context, motive, and progression. Are we truer to reality when we look at it without a larger explanatory context? One of the short story writer’s abilities is precisely to move us by rendering useless our habitual mechanisms to make reality intelligible. In *The Man Without Qualities*, as in *The Stone Diaries*, we also find the case of a novel whose character is unable to cope with narrative, however intensely he is aware of the advantages to be gained from a novelistic organization of his own life: “Lucky the man who can say ‘when,’ ‘before’ and ‘after’” Ulrich says,

[t]his is the trick the novel artificially turns to account. Whether the wanderer is riding in pouring rain or crunching through snow and ice at ten below zero, the reader feels a cozy glow [...] because it has the look of necessity, and the impression that their life has a ‘course’ is somehow their refuge from chaos. (708-709)

What interests me about Ulrich’s manifestation is mainly his conviction about the way we should relate to ourselves if we wish to survive pointlessness and the overwhelming multiplicity of existence. He associates a novelistic notion of ourselves with a survival mode of narrative, but if this were the case, would the short story’s approach to knowledge mentioned earlier imply the impossibility of a satisfactory and sustained sense of self?

Contemporary critics often call our attention to the fact that story is an inescapable feature of human life: we assimilate reality and we make sense of ourselves through narrative (Taylor 1996: 51). The claims are that identity demands verbalization, more specifically, narrativization (Fernández Prieto 1994: 124-125), that there is no identity previous to the act of narration. In order to achieve a sense

of the self, we have to become a narrator and construct a plot in which we fashion some of our pasts as characters. Giddens (1991: 54) asserts that we are not to find a person's identity in behavior, or in the other's reactions, but in his or her ability to keep a particular narrative going. The self is no longer a list of qualities, but a narrator in search of coherence. When analyzing confessional narrative Forster (1987: 10) remarks that "[n]o matter how one's experiences may be present in memory, the events of these narratives are understandable only when they are transformed into objects of consciousness, into histories rather than sensations", an argument which clarifies Daisy's dilemma and her incapability to pin down her life within a contextualized historicity.

In *The Stone Diaries* we can discern these two conflicting attitudes to self-knowledge once we realize that Daisy the narrator and Daisy the character represent two different attitudes to the narrativity of the self: Daisy the narrator tries to impose a novelistic plan on her life, she uses narrative to try to communicate how an individual was encased in the world, but her responsibility to transmit how a subjectivity was shaped by space and time is thwarted by Daisy's rebellion as a character, who feels that this trajectory is how the narrator within her and the other characters try to assimilate her, but intuitively finds its inadequacy in relation to herself. It would be interesting to mention here that Hillis Miller (1979: 14-15) considered the novel to "represent human experience as standing outside itself" and, in the same connection, Jerzy Kosinski (1978: 160) defined our individual consciousness as composed of very short incidents; according to him the plot, a sense of destiny, is provided for us only by outsiders, "by family tradition, by society, by a political party, or by our own indoctrinated imagination" [...] "Maybe that is why we believe that everyone has one novel in him: his own empirical existence – if he can extract his self from it".

Daisy's instinct goes against this lifetime's training and understands the effects of time as a shipwreck – only a few objects will come to the surface eventually, and when they come, she acknowledges their lack of anchorage to the plausible movement of the world. The chapter entitled "Childhood" is brought to a close when Daisy's father, a well-known orator, decides he owes Daisy the story of his life after so many years of absence. Then, on the train from Manitoba to Indiana, he delivers the longest speech of his life, which lasted two days. While this chaptered account is in progress, Daisy is storing the materials she will use later in life for purposes other than purely narrative:

The two of them were drinking lemonade from tall tumblers.
Who made this lemonade? Someone must have squeezed the lemons and stirred
in cups of sugar and added chipped ice, but Daisy can't think who this person

might have been. Nevertheless her fingers will always remember the feel of those tumblers, the pale raised bands on thin pink glass, but it is the sun she will chiefly remember – how yellow like corn meal it was, sifting through the fine summer curtains and filling up the whole room. These, at least, were the things she might believe in: the print of sunlight on her bare arm. The cold sweet drink sliding down her throat. The buttons on her father's shirt, glittering there like a trail of tears.

Her knees formed little hills, poking up through the yellow cloth. Her father's words came to her like a blizzard of dots.

On that day she liked the world. (77-78)

Her father's mainstream narrative blinds Daisy but she stores in her memory the pieces that make up an autonomous moment of her childhood, "highly telescoped", as Jerzy Kosinski would have said.⁵ Daisy imagines all the other "men and women in the world, who wake up early in their separate beds, greedy for the substance of their own lives" (283), and are obliged every day to edit their memories in a "then-and-then" narrative, but why can't she do it herself?

According to Charles Taylor (1996: 18) in *Sources of the Self*, not to use this framework for one's life is to fall into a life which is spiritually senseless. He rejects the value of the immediate experience or the sudden rupture by explaining that our notion of ourselves only comes through the story of how we have become, the unfolding of "how we have travelled to get here" (48). The self cannot be punctual or instantaneous. Self-understanding necessarily has temporal depth, sense of direction, and incorporates narrative. If we think of ourselves as different persons or we fail to meet the full challenge of making sense of our lives we condemn our chances for a meaningful life. So without these reasonings in transitions, Daisy's ethics of inarticulacy would be deprived of any validity, it would almost be an offence. Yet, why do we feel that yes, she does exist outside the gigantic mechanism of causes and effects, that she is a latent but real presence, even if she did not endorse the memory of herself as a continuous individual with a biography?

In the essay "Assembling the Modern Self", Nikolas Rose (1997: 224) poses a very interesting idea which can be related to the above-mentioned conception of

5. That Carol Shields has filled her novel with allusions to some poems of Emily Dickinson such as "A Slant of Summer Light", "I Like a Look of Agony" or "I'm Nobody! Who Are You?" emphasizes the engagement of this novel with the complex relationship between narrativity and existence. In these poems Dickinson claimed the truth of certain perceptions which religious or social systems left unaccounted for, and she expresses the grind of having to assert one's identity to others continually under the risk of banishment.

the self as narrator. He explains that the enormous influence of the language and systems of the sciences of the self: psychology, psychiatry, psychotherapy, etc., has contributed to making experience independent of individuals: once our experiences have been classified and described and gone on stage, so to speak, they come back with new authority, with their phases, types of explanation, and specific lexicon. To a very great extent, this is what happens in *The Stone Diaries*, where all those characters who knew Daisy well proclaim themselves “experts of experience” and get entertained in very long theses with similar grammars of causes and effects, their groundings in family history, their diagrams of interior forces and feelings and reactions – the accounting for Daisy’s present in terms of her past. What Nikolas Rose (243) calls the “psy” language has made us inhabit particular styles of remembering ourselves and of explaining other people: “Freud not only devised a language of description, he invented a novel schema for the direction of souls”.

Rose draws our attention to the fact that this kind of narrative has a therapeutic design: if we engage with the self and try to render it into speech that is because we want to take control of our lives “within an ethics of empowerment” (244). So we want to make our past narratable in order to make life more practicable to our purposes. Our voice of introspection is a doctor with a cure in mind, that of meaning and finality. Previously we defined the self as a narrator, but this narrator is indeed a narrator not basically because narrative is our only form of understanding, but because narrative gives us the comfort of understanding, because narrative, looked at from this perspective, establishes a healing link between ourselves and experience.

Charles May (1993: 376; 1994: 133-138) has dug into psychology and philosophy in order to show that the novel depends greatly on a survival mode of narrative. In contrast, the short story seems to be engaged in disrupting those narrative tools which make us intelligible to ourselves in relation to others. I do believe we respond instinctively to the short story on these terms: from a novel, however experimental it may be, we always expect to get engaged in a trajectory which submerges us into the mechanics of a world that moves both by external impositions and the motivations of its participants and that, although we may also become witnesses to this ensemble in the short story, in a short story we are eager to find that piece that would refuse to be assimilated by this therapeutic monopoly of understanding. We find that our sense of direction is displaced by a single point of urgency, the impression that the raw material of this genre, its storyness, is used for the purpose of making us feel how unfounded progress is, and how we are forever at the beginning. Perhaps that is why a critic said that to think about the short story is to

imagine “an impossible larva” (Balza 1995: 65), as if the short story itself would try to undo the medium which fleshes it. We do not expect a narrative which tries to make sense of the world, but a narrative whose only condition of coherence is to make us sense the world, where things *are* rather than *come into being*.⁶

The character Daisy in *The Stone Diaries* chooses a particular style of remembering herself, using Rose’s expression, in dissonance with narrative as understanding and self-mastery. We observe this in her account of herself as experiencing lapses untied to time, her dependence on a world of sense rather than thought, her will not to possess but to be possessed by certain manifestations of life. This unnarratable version of the self, based on the hypnotic quality of a situation, “as if the world had been given a sleeping pill” quoting Robert Musil’s words, chooses to look, not to explain. Her own name, as she realizes late in life, means “Day’s Eye”, giving the “eye”, the sense of sight, the same status as “I” the self. She makes private monuments of the things her mind absorbs without turning them to currency.

This way, Daisy’s inner voice, silenced by so many stories, will surface now and then in the novel. We understand that her existence was real, only that it could not be adjusted to predominant models of novelistic identity. The other characters think that there is absence and emptiness in Daisy – considered as an “identity site” –, but in fact there is only a lack of conventional articulation. Sometimes Daisy is tempted by the lure of narrative and imagines what her life would be like should she apply a generic mould to it:

She understood that if she was going to hold on to her life at all, she would have to rescue it by a primary act of imagination, supplementing, modifying, summoning up the necessary connections, conjuring the pastoral or heroic or whatever, even dreaming a limestone tower into existence, getting the details wrong occasionally, exaggerating or lying outright, inventing letters or conversations of impossible gentility, or casting conjecture in a pretty light. (76-78)

The act of making a narrative, that is, of rescuing life from randomness, is seen as having a remedial quality and it promises healing. But in spite of her Good Will, Daisy is never totally persuaded to take the bait: the available genres are too artificial; she does not feel part of a collective enterprise. The kind of mental activity she wishes to develop is perceptual rather than cognitive, she wants to hold on to

6. The short story does not address the question “who am I and how did I become who I am?”, instead it mocks that question because it eludes a sense of biographical time, as if this kind of time did not fit well into the experience of ourselves. The short story can be defined as a “stranded narrative”, since it exposes a condition grounded in a hermeneutic crisis.

experience prior to story formulation and leave each object or person that fell under her attention undisturbed. Her acute feeling of being swamped by “the great story” (125) is, however, relieved by the irruption of the irrational:

And yet, within her anxiety, secured there like a gemstone, she carries the cool and curious power of occasionally being able to see the world vividly. Clarity bursts upon her, a spray of little stars [...] The narrative maze opens and permits her to pass through [...] Tonight Mrs. Flett is even touched by a filament of sensation linking her to her dead mother, Mercy Stone Goodwill; this moment to be sure is brief and lightly drawn, no more than an impression of breath or gesture or tint of light which has no assigned place in memory, and which, curiously, suddenly, reverses itself to reveal a flash of distortion –the notion that Mrs. Flett has given birth to her mother, and not the other way around. (190-191)

Daisy’s adoptive aunt, Clarentine Flett, the other female character who does not possess the comforting gift of narration, also experiences uprooting moments which disconcert her as well as provide her with another life that makes her stand apart from any coherent history. Her understanding of life implicitly rejects notions of progress and continuance and vindicates the way in which the past is attached to our memory, “glued to it” as little bits of residue; a small part will grow out of proportion, it will displace life’s other tides:

These segments of time are *untied to any other time* she recognizes. It happens more and more frequently, these *collapsed hours*, almost every day since the summer weather came on. She wakes up fresh enough, but as the hands of the clock move forward she feels a force beckoning, the teasing of seduction of ease and secrecy, and then, with the next breath, she’s lost the battle. Whatever it is that encloses her is made up of tenderness. It rises around her like a cloud of scent. There’s *no face or voice* to it, only a soft, steady, pervasive fragrance, a kind of rapturous wave that enters her throat, then moves downward through her body, springing tightness to her female parts and the muscles of her softened thighs. The *silence* is perfect, and yet a torment – that *God* is not interested in her *lapses*. He has not spoken out to her in any way, *has not given a sign* [...] It is frightening, and also exhilarating, her ability to deceive those around her; this is something new, her lost hours, her vivid dreams and *shreds of language*, as though she’d been given two lives instead of one, the alternate life cloaked in secret. (11-12; my emphases)

It is significant that those moments in which Clarentine seems to have an intensified conscience of herself are not described as thoughts, but as physical sensations thoroughly severed from language, rational explanation, or shared plot. Like Daisy, she is more true to herself when she does not have to infuse the world

with narrative and she can get lost in the rapture of her senses. These unhinged moments are not only invisible to the others, but are also thought to be unwanted and even shameful: intervals to be discarded by the Supreme Authority as unworthy. However, the notion of hollowness transmitted in the previous excerpt effectively functions as a proposal which negates the linear order, creating the outside in time.

Serrano (1995: 42) claims that life is unfinished or dark if there are not narrations about it. Daisy and Clarentine seem to have appropriated their past inadequately since they experience it as an accumulation of disconnected images, which would provoke unhappiness and desperation, according to Serrano. A mere list of perceptions replaces a chain in Daisy's mind: a relative's voice, light entering a room, the feel of a heap of dry leaves. Are these things insufficient to create the plot of a life?

The Stone Diaries revolves around two poles of significance, on the one hand the stone, the public monument, symbol of duration and continuity, associated with the male protagonists of the novel: the orator and historian, the scientist, the businessman, who construct their lives on the assurance of progression and achievement. On the other hand we have the diary, symbol of the silenced, the secret, without scenic pact, a narrative that does not have a socializing function, but it is devoted to the space man knows is occupying alone, as Elizabeth Bowen (1994: 262) said about the short story.

In the case of Daisy Goodwill, the impossibility of connection does not necessarily entail an emotional or intellectual wreckage, as Taylor and others have claimed (Serrano 1995: 42). Daisy's grasp of time is similar to that of Borges (1967: 148) when he said in a poem: "What of successive time if in it/there was a plenitude, an ecstasy, an afternoon" (my translation) showing again, as Bachelard (1969: 8) had claimed, that all we know is fixations in space, that "we are never real historians but always near poets". For Daisy, who has been given a short-story soul, this apparently anti-therapeutic use of her past served to occasionally fill her life with a few tokens of joy and solidity. In any case, she remains adamant, not allowing the narrator within herself to novelize her. She shows that life strikes us as short story although we have been trained to think of it as a novel.

7. Rita Kleinhart, another heroine absent in her biography, *The Hornbooks of Rita K* by Robert Kroetsch, shows a similar appreciation of life when she says that some colorful flowers which appear every year on a dry slope give her reason to live: "A patch of scarlet mallow appears each spring in the / grasses on the edge of the coulee directly in front of my / house. That little patch of orange-red blossoms, emerging/on a dry, south-facing slope, is one of my reasons for living" (36).

The Stone Diaries strikingly embodies and rethinks the issue of how we pursue biographical meaning by bringing to the foreground the interaction between novelistic demands and the patterns we use to attach an identity to ourselves. Although the genre of the novel has never been subservient, not even in the eighteenth century, to the belief in an unprejudiced access to an objective (or subjective) reality, its advent responded to the need to make up for the tremendous amount of opaqueness involved in an individual's existence. The novel was invented to explore privacy – it offers detailed accounts of personal identities subsisting through duration – and since then, readers have attributed to it an unsurpassed capacity to reach and pierce the mysteries of life.⁸ And when humanity is invoked successfully once, the schema for this particular kind of invocation becomes widely available.

The novel, together with other interpretive frameworks, such as psychoanalysis, have promulgated life as a staged order of life events and consequently have created a hermeneutic context which demands a rationalization of our psychological impulses. This interpretive system, which applauds progress towards achievement as the main successful engagement in life-review, somehow downgrades the random quality of memory. A goal-oriented therapeutic framework presides self-knowledge nowadays (constantly practiced in the media) and, according to Rose (1997: 240), “[o]nly through being assembled together with an array of non-natural, non-individualized techniques which extend beyond the boundaries of the human skin is one capable of being a self with an autobiography”. Studies in the sociology of storytelling (Craib 2000: 65-69; Roemer 1995: 181, 246-247) also point to the danger of the construction of narratives which make things natural, avoiding guilt. Craib calls them “bad-faith” narratives or no-choice stories, because one’s agency does not have to be considered. They are “about what is done to me and what I am because these things have been done to me” (67). They carry a powerful anesthetic power in the form of standardized plots and they also legitimize an internal denial of the choices we make or the ones that are open for us.

Additionally, it is significant that feminist studies, which seek to counteract the dangerous effects of much of adult development theory, suggest the opposite direction: to forget sequences in order to get hold of sensations.⁹ An inescapable therapeutic ethos obliges us to be individuals of a certain sort. It is against the

8. Peter Brooks (1993: 28) suggests that it was the advent of the new concept of “private experience” or “private life” that created the need for the novel.

9. See Fisher (1989) and García (1989). These critics propose that agency can indeed be achieved when not seeking to attain any particular goal.

difficulty to understand oneself outside this discourse that Daisy rebels, finding in the potentiality of the short story a more authentic approach to selfhood.

The general purpose of this essay has been to draw attention to the fact that the generic frame has to be taken into account for a better understanding of the ever-present activity of self-scrutiny. Genre is not only about how we read certain elements in a given text and it does not only generate literary activity. Genre helps to regulate the perceptions of ourselves. It is performative, not substantive, it infiltrates into alien structures, as the short story mode did in this novel.

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THE RECEPTIVE VOCABULARY OF ENGLISH FOREIGN LANGUAGE YOUNG LEARNERS¹

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ABSTRACT. *This paper responds to the need for research on vocabulary knowledge in foreign language education. First, we investigate the receptive vocabulary knowledge of students learning English in Spanish primary education by using the 1,000 word test and the 2,000 frequency band of The Vocabulary Levels Test (VLT). Second, we study differences between the sexes by comparing their scores. Third, we evaluate whether students' scores correlate with their scores on a cloze test. As a result, we show that their English receptive vocabulary size falls within the 1,000 word level. Finally, we demonstrate the existence of a positive correlation between the two frequency bands and a cloze test.*

1. INTRODUCTION

Research on vocabulary acquisition in second or foreign languages (L2) is characterized by a great deal of fragmentation as well as inconclusive results. The teacher or researcher who reads articles and books with the hope of finding answers to questions concerning vocabulary acquisition and development (such as how vocabulary develops throughout school years or what effect contextual and individual differences have on vocabulary acquisition) is often left with more doubts than certainties. However, within this apparently perplexing picture, a

1. This study has been carried out under the auspices of a research project funded by the Spanish 'Ministerio de Ciencia y Tecnología', Grant nº BFF 2003-04009-C02-02.

pattern emerges that points to the importance of vocabulary knowledge in L2 learning and to its educational and social implications.

Knowledge of the number of words known by L2 learners is crucial in any learning context but of paramount importance when such learning takes place in primary and secondary education. In these contexts, learning, as measured by tests, is going to be reflected in school grades, and as a result, is going to have an impact on students' lives. At the beginning of a new school year, teachers need to know how many words students know receptively and productively, in order to be in a position to assess students' vocabulary gains at the end of the course and diagnose possible gaps. Teachers also need to estimate their students' vocabulary size to set language levels in each course, to programme language activities and to carry out motivated selections of materials. Such knowledge is also important for test and textbook designers as well as for vocabulary acquisition researchers: for the former because they are better informed to create materials and tests suitable for different levels and educational needs, and for the latter, because empirical data from different groups of subjects can provide a baseline for comparison and help to identify patterns of vocabulary acquisition and development.

The present study is an attempt to further our understanding of young L2 learners' vocabulary knowledge by (a) surveying the receptive vocabulary size of students who are learning English as a compulsory subject in Spanish primary education, (b) investigating individual differences by means of the comparison of the scores of males and females on a vocabulary size test and (c) assessing whether their scores on a vocabulary size test correlate with their scores on a cloze test.²

2. BACKGROUND

Leading scholars in vocabulary research (Nation 1990; Meara 1996; Laufer 1989, 1998; Read 1988) believe that the number of words known is one of the key factors in L2 learning, particularly in the first stages of L2 learning where students probably have only small lexicons. Unfortunately, as Read notes, finding out how many words L2 learners know is not a straightforward issue, because when estimating learners' vocabulary size, researchers encounter conceptual and methodological

2. We would like to thank Prof. Paul Nation for sending us the 1,000 word test and different versions of the Vocabulary Level Test through Soraya Moreno Espinosa, a member of our research team. We must also acknowledge our gratitude to Prof. Christopher Butler for reading our paper and offering cogent suggestions for its improvement. Furthermore, we are in debt to Soraya Moreno Espinosa and M^a Pilar Agustín Llach, fellowship research students in our research project, for their help in the scoring of the tests.

problems (Read 1988). These problems have been addressed in a number of studies, such as for instance: on defining what a word is (Bauer and Nation 1993), what it means to know a word (Nation 1990, 2001; Meara 1996), what is the minimum vocabulary size to follow academic programmes in English as a medium of instruction (Sutarsyah, Nation and Kennedy 1994), and what is the minimum needed to understand English texts (Nation 1990; Laufer 1992, 1997; Ward 1999). Another important issue is the selection of the test used to measure vocabulary knowledge; in this regard, a number of studies have focused on the design of receptive vocabulary size tests, among which the VLT (Nation 1983, 1990) and the Yes/No vocabulary test (Meara and Buxton 1987; Meara and Jones 1990) have had a considerable impact on vocabulary research.

The VLT (Nation 1983, 1990) was devised with a pedagogical aim in mind, for teachers to diagnose English learners' receptive vocabulary gaps. It contains words sampled from the 2000, 3000, 5000, The Academic Word List, and the 10000 most frequent words in English. In each of the three sections that make up the test in the five frequency levels, the testee is asked to match three definitions to six words. The main assumptions underlying the test are that the most frequent words in a language will be the first to be learned, and that vocabulary growth will take place in scalable order: that is, knowledge of words in a particular band implies knowledge of words in all lower bands, but not of those in any higher band. To put it in another way, testees' knowledge of uncommon words implies knowledge of the most frequent words but not the other way round. The VLT has been used for different purposes in a number of studies (Laufer 1997, 1998; Schmitt and Meara 1997; Cobb 1999, 2001). Research has also been devoted to the validation of this test (Read, 1988), the assessment of its adequacy for secondary school learners of English as an additional language (Cameron 2002), and the elaboration of new test versions (Schmitt 1993; Beglar and Hunt 1999) together with their subsequent validation (Beglar and Hunt 1999; Schmitt, Schmitt and Clapham 2001).

As to the Yes/No vocabulary test, it was based on the previous work of Meara (1992), and Meara and Buxton (1987) as an alternative to multiple choice in vocabulary testing, and gave rise to Eurocentres Vocabulary Size Test (Meara and Jones 1990). The test format is a checklist in which test takers are presented with a list of words and asked to check whether they know each of the words within the list. To avoid false scores due to testees' overestimating their word knowledge, a number of imaginary words are included. As in the case of the VLT, word selection and word knowledge are based on graded frequency lists.

Both tests have advantages and drawbacks but, on the whole, they have proved to be valid and reliable receptive vocabulary tests. The key issue here is whether one test is more suitable than the other to assess young learners' receptive vocabulary. In this sense what research tells us is that low level learners seem to have problems with non-words (Read 1997). According to Cameron (2002) – who studied the practicability of the Yes/No test and the VLT to investigate the vocabulary size of UK secondary school learners of English as an Additional Language – the latter is more useful for 13 to 15 year-olds because the non-words included in the Yes/No test lead learners to be confused regarding their recognition of words. On the other hand, research carried out with the VLT has given evidence of its validity when used with secondary school students in different contexts. Laufer (1998) used the test to investigate vocabulary gains in the receptive vocabulary knowledge of Israeli comprehensive high school learners of English as a foreign language. Beglar and Hunt (1999) validated four versions of the 2,000 frequency level and the University word Level with Japanese high school students. Both studies provided useful data with respect to the validity of the tests for the assessment of secondary students.

The considerable amount of time and energy devoted to the construction and validation of the most economic, valid and reliable test is perhaps one of the reasons for the dearth of studies on L2 learners' vocabulary sizes. Notwithstanding, several related research lines are found that focus on: i) the comparison between native speakers' and L2 learners' vocabulary sizes (Jamieson 1976; Izawa 1993; Cameron 2002); ii) the relation between receptive and productive vocabulary knowledge (Laufer 1998; Fan 2000) and its correlation with L2 proficiency (Fan 2000); iii) receptive and productive gains over one year of study (Laufer 1998); iv) receptive vocabulary increase throughout a study abroad programme (Milton and Meara 1995); v) estimates of vocabulary size of L2 learners (Quinn 1968; Takala 1984; Nurweni and Read 1999; Cobb and Horst 1999; Cameron 2002; Pérez 2004; López-Mezquita 2005). This line of research is extremely related to the goals of the present study. Therefore in the remainder of the section we will deal first with the characteristics and main results of these studies, then we will review research on the relationship between receptive vocabulary knowledge and the sex variable.

Studies on estimates of L2 learners' vocabulary knowledge are difficult to compare due to differences concerning subjects, the learning contexts, and the tests used for estimating vocabulary size. Whereas in Quinn (1968), Nurweni and Read (1999), Cobb and Horst (1999), Pérez (2004), the subjects are university students, in Takala (1984), Cameron (2002) and López-Mezquita (2005) they are secondary school students; however, in the latter study, two groups of university

students are also investigated. In these studies, words are drawn from different sources and different test formats are used as can be seen in Table 1.

Word source	Study	Test format
	Quinn (1968)	
General Service List (West 1953)	Nurweni and Read (1999)	Translation, association test
Kilgarriff (1995) (British National Corpus)	López-Mezquita (2005)	Adaptative multiple choice test
Students' textbooks	Takala (1985)	Translation: L1 to L2 and L2 to L1.
The Vocabulary Levels Test (Nation 1990) (words selected from Thorndike and Lorge (1944); Kucera and Francis (1967) and West (1953))	Laufer (1998a, 1998b); Cobb and Horst (1999); Cameron (2002).	Matching definitions to words.
Yes/no test (Meara 1992) (words selected from Thorndike and Lorge (1944); Kucera and Francis (1967) and West (1953))	Cameron (2002)	Yes/No test

Table 1. *Word source and test format employed in receptive vocabulary studies.*

Surprisingly, the results obtained coincide in showing a rather low vocabulary knowledge on the part of the English learners investigated. Results speak of 1,000 words (Quinn 1968), about 1,200 words (Nurweni and Read 1999), 1,500 words (Takala 1985), the 2,000 most basic word families of English (Cobb and Horst 1999), and gaps and problems in the comprehension of the most frequent words in English (Cameron 2002). Within the context of Spanish secondary education, López-Mezquita (2005) reports an average of 941 words in 4^º ESO (4th form), 1,582 words in 1^º *Bachillerato* (5th form), and 1,855 in 2^º *Bachillerato* (6th form). She also reports 3,174 words for first year university students of English Philology

and English Translation studies. The figures reported in vocabulary size studies are low if we bear in mind that they have been produced after six or seven years of extensive study of English in high-school, and even, as in the case of Cameron's study, after 10 years of education through English.

Sex as a variable in individual differences has received little attention in L2 vocabulary research. The few studies conducted with primary and secondary school learners have shown that compared to male students, female students make use of a greater number and a wider range of vocabulary strategies (Jiménez 2003), and commit fewer lexical errors (Agustín 2005; Agustín, Fernández and Moreno 2005). Research has also provided evidence of differences in vocabulary strategy use (Jiménez 2003), choices of word topics related to social issues (Jiménez 1997), productive vocabulary in written compositions (Jiménez 1992; Jiménez and Ojeda 2007, 2008) and productive vocabulary in Lex30 by Meara and Fitzpatrick (2000) (Jiménez and Moreno 2004). One of our research goals is to determine whether these trends will also appear in receptive vocabulary size studies. Unfortunately, in most of the vocabulary studies conducted so far no information is provided regarding the distribution of the informants according to the sex variable. The only data we have found on sex differences in receptive vocabulary knowledge comes from broader studies on L2, aimed at investigating the acquisition of different language skills. Hurlburst (1954) reported differences in favour of boys reflected in the mean scores achieved in word recognition and recalling tasks by males and females. Likewise, Edelenbos and Vinjé (2000) found that boys in the 8th grade of Dutch primary education outperformed girls in English word knowledge.

On reviewing research on vocabulary size in an L2, the following conclusions can be drawn: a) most research has been carried out with university students; b) few studies have been done with learners of English as a foreign language in primary education; c) there is a gap concerning studies that focus on the relationship between receptive vocabulary knowledge and individual differences such as the sex variable. To our knowledge, no empirical research has been conducted on the vocabulary size of English foreign language young learners. The present study is a preliminary attempt to fill this gap by providing data on the receptive vocabulary estimate of a large sample of 10-year-old Spanish students who are learning English in the 4th year of primary education. Our sample is highly homogeneous regarding L1s, age, proficiency level and the social profile of the areas where the schools are located.

3. RESEARCH QUESTIONS

- a. What is the overall receptive vocabulary size of 4th Spanish Primary school students who are learners of English as a foreign language, as measured by the 1,000 word test and the 2,000 frequency band of the VLT?
- b. Will there be significant differences between the vocabulary sizes of male and female students?
- c. Will there be a significant correlation between students' scores on both the 1,000 word test and the 2,000 frequency band from the VLT and a cloze test?

4. METHODOLOGY

4.1. SUBJECTS

The subjects under study are 270 4th year primary school pupils who are learners of English as a foreign language in four primary schools in La Rioja, Spain. The average age of the students is 10.3 years and the sex distribution is 118 females and 152 males. The sample is homogeneous concerning students' mother tongue, social backgrounds, and type of instruction. All students have Spanish as their mother tongue and attend schools located in middle class areas in a medium size city. According to the language policy of the national and regional governments, the four schools share the same educational goals, similar English language teaching methodology, and an equal number of instruction hours devoted to English. The aim is the achievement of communicative competence by placing emphasis on oral skills with a gradual and integrative introduction of reading and writing skills from the first through to the sixth year (end of primary education). At the time of data collection, the subjects have been taught English for 3 school years in periods of 3 to 4 hours per week for a total of 419 hours.

4.2. DATA COLLECTION

Three tests were used in this study: (a) a 1,000 receptive word test (Nation 1993), (b) the 2,000 word frequency band from the receptive version of the VLT (Schmitt, Schmitt and Clapham 2001, version 2), and (c) a sub-test (in cloze format) of a language level test. The selection of the tests was conditioned by the age and the language level of the informants: all three tests have been proved to be within the grasp of young learners such as those found in primary and early secondary education.

According to Schmitt “sampling from the most frequent 1,000 and 2,000 levels is often sufficient, especially for beginners” (Schmitt 2000: 23). For Nation (1993), the most frequent 1,000 words are essential for English language learners because of their high coverage of informal conversations and their presence in English language readers. Likewise, the 1,000 word level test and the 2,000 frequency band of the VLT are drawn from the same frequency lists, which have been used and continue to be used as a basis for many series of graded readers for beginners all over the world.

The cloze test used is a subtest from a standardized language level test for young learners (Corporate Author Cambridge ESOL 2004). This test has been used with young learners of English all over the world and validated as an instrument for discriminating language level. Research has provided evidence of the relationship between the cloze test and vocabulary size test (Jochems and Montens 1988; Fan 2000) as well as the cloze test and language proficiency (Hanania and Shikhani 1986; Lapkin and Swain 1977; Jochems and Montens 1988). Except in Lapkin and Swain, where English and French cloze tests were used to measure children’s language proficiency in a bilingual program, most correlational studies have been conducted with adult learners. By using a cloze test, in the present study we aim to ascertain whether this relationship is also observed in primary school learners’ scores. The data obtained could serve for a better understanding of the link between vocabulary size and language level and of the relationship between the VLT and the cloze test.

4.3. PROCEDURES

The 1,000 word test, the 2,000 frequency band from the VLT, and the cloze test were given to students during class time, within a period of two weeks. They were given 15 minutes to complete each task. At the beginning of each task, clear instructions were given both orally and in written form in the students’ mother tongue so as to ensure that they understood what they were being asked to do. To avoid 50% chance of guessing correctly, students were told that wrong answers would be penalized.

4.4. RESULTS

Table 2 shows the means and standard deviations for the 1,000 word test and the 2,000 frequency band of the VLT. As can be seen, the mean score for the former is 16.76, whereas for the latter it is 5.33.

	1,000 words	2,000 words
No. of items	30	30
Mean	16.76	5.33
SD	4.12	3.36

Table 2. Means and standard deviations of word knowledge at the 1,000 and 2,000 frequency levels.

The figures indicate that the overall receptive vocabulary of 4th primary school students is considerably lower than 1,000 words. This profile is illustrated in the rankings of percentages summarized in Figures 1 and 2. Regarding the 1,000 most frequent words, the results show that about half of the students (46.7%) scored between 16 and 20 points (out of 30), 29.3% of students scored between 11 and 15, 17 % of students scored between 21 and 25, 5.6% of students scored between 6 and 10 points, and 0.7% of the students scored between 26 and 30 points.

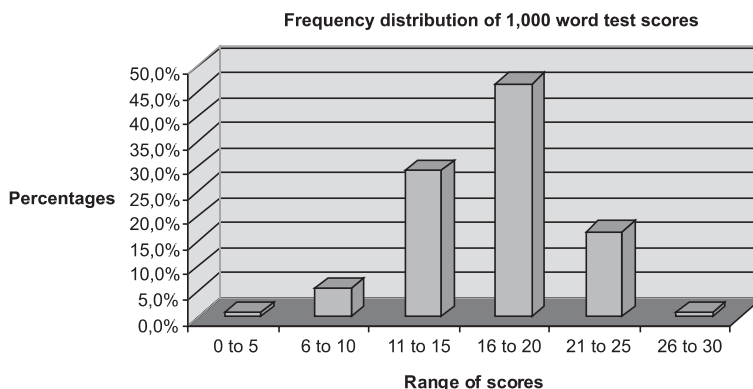


Figure 1. Frequency distribution of 1,000 word test scores (n= 270).

With regard to the 2,000 most frequent words, 4th Primary students' mean is 5.33. As can be observed in Figure 2, 52.9 % students scored between 0 and 5 points, 40.4 % between 6 and 10, 5.2% between 11 and 15, and 1.1% between 16 and 20 points. No student got the top scores (21 to 25 or 26 to 30). The low scores achieved indicate that few 4th primary students know English words from the 2,000 frequency band.

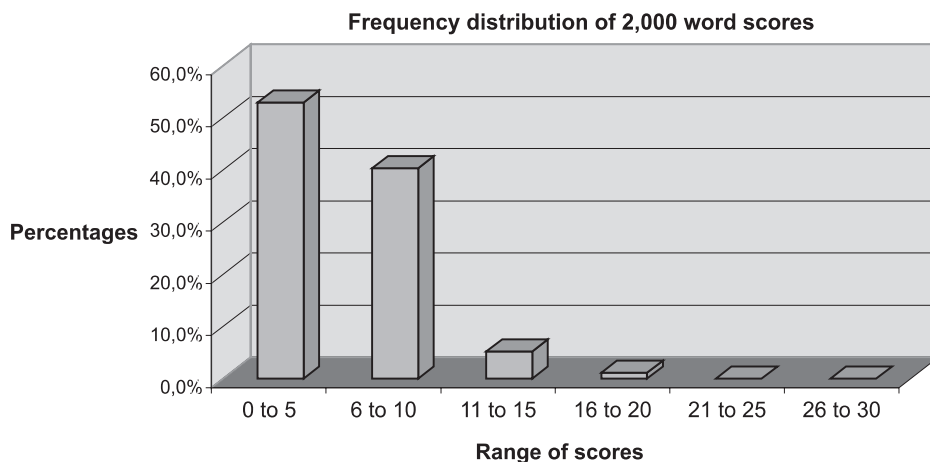


Figure 2. *Frequency distribution of 2,000 word test scores (n= 270).*

A decrease is shown in the mean scores achieved by students in both levels. The mean of 16.76 points obtained in the 1,000 frequency level drops sharply to 5.33 at the 2,000 level. The results of the t-test applied to the means of each frequency level gave us the following values: $t = 47.174$; $df = 269$. This value is significant at the $p < .001$ level. It can be claimed that 4th Primary school students know considerably fewer words from the 2,000 than from the 1,000 frequency level.

Pearson correlations were conducted between scores on a cloze test and the scores on the 1,000 and the 2,000 word frequency levels. Before we proceed to an analysis of the results, we should mention that the vocabulary tests and the cloze task were administered on different days, and that because of this, some students who took the vocabulary tests were absent when the cloze was administered. Therefore, correlations were calculated only for the 259 students that took both tests. Results show a significant positive correlation between the cloze test and the 1,000 word level test ($r = 0.282$; $p = <.001$), and the cloze test and the 2,000 frequency level ($r = 0.208$; $p = <.001$).

In the light of the results, it can be inferred that language level as measured by the cloze test and receptive vocabulary knowledge as measured by the 1,000 and 2,000 frequency bands of the VLT are related: the higher the score on the cloze test, the higher the score on the VLT. Nevertheless, care should be taken in the interpretation of these correlations since they are significant but not strong, particularly in the case of the cloze test and the 2000 frequency level as is observed in Figures 3 and 4.

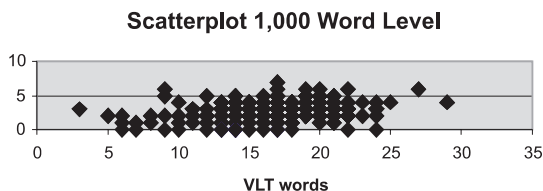


Figure 3. Scatterplot of 1000 word level.

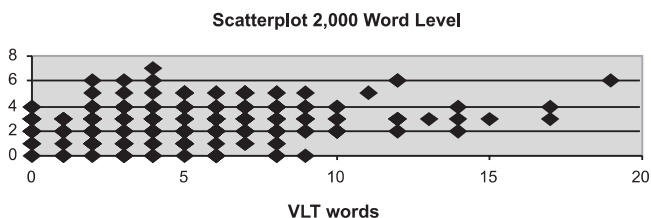


Figure 4. Scatterplot of 2000 word level.

In order to ascertain whether there are significant differences between the vocabulary sizes of male and female students, the mean scores of the two groups were compared for the 1,000 and 2,000 word level tests. Table 3 presents the means and standard deviations for both groups.

	1000 level	1000 level	2000 level	2000 level
	Males	Females	Males	Females
No. of items	30	30	30	30
Mean	16.55	17.04	5.19	5.50
S.D.	4.22	3.69	3.38	3.33

Table 3. Means and standard deviations for males and females (n =270) in the 1,000 and 2,000 bands.

As can be seen from Table 3 there is a slight difference in favour of females at both levels. However, a t-test applied to the means of the two groups shows that the differences are not significant, either at the 1,000 frequency level ($t = -1.010$, $df = 268$, $p = 0.313$;) or at the 2,000 frequency level ($t = 0.880$, $df = 268$, $p = 0.380$).

5. DISCUSSION

In research question one, we asked what was the English receptive vocabulary size of 4th Spanish Primary school students as measured by the 1,000 word test and the 2,000 frequency band of the VLT. The results indicate that it falls within the 1,000 frequency level. However, this does not mean that students master this level since scores reveal that half of the students recognize less than two-thirds of the words from this level. Regarding the 2,000 frequency band, the results indicate that few words within this band are known by students. Their profile of receptive vocabulary clearly falls about half way to the mastery of the 1,000 most frequent words (about 737 words).³ In other words, students know 559 words from the 1,000 word test and 178 words from the 2,000 frequency-band of the Vocabulary Level Test. In our view, this finding represents a reasonably good vocabulary size if we consider that the sample of students investigated are still in the fourth year of primary education and that they have been taught English as a curricular subject for three school years and for a total of 419 hours of instruction. Furthermore, this finding is rather positive if we compare it to the results reported in vocabulary size research for secondary school and university students.

A sharp decrease rather than a gradual one is observed from the 1,000 word test to the 2,000 frequency band. On the one hand, this finding shows that the 1,000 and 2,000 word frequency bands are useful in discriminating the students' vocabulary levels. On the other hand, it confirms that 4th primary students' receptive vocabulary profile falls within the 1,000 word band.

As to our second research question, our data demonstrate the existence of a positive correlation between the 1,000 and 2,000 word frequency bands and the cloze test, suggesting a relationship between vocabulary knowledge and L2 proficiency. In this sense, our results confirm the studies carried out by Jochems and Montens (1988), Fan (2000), Hanania and Shikhani (1986), and Lapkin and Swain (1977). As was mentioned earlier, these studies focus on university students in a context of English as a medium of instruction. Our study extends existing research by providing data on the positive correlation of the cloze test and the 1,000 and 2,000 frequency bands of the VLT in the context of English as a foreign language in Spanish primary education.

Finally, in research question three we set out to ascertain whether there are differences in the receptive vocabulary sizes of male and female students. The

3. In order to calculate the pupils' receptive vocabulary size we applied Nation's formulae (1990: 76), which reads as follows: Vocabulary size = N correct answers multiplied by total N words in dictionary divided by N items in test.

results show very small although non-significant differences between the two groups. Our results on this point are in line with those found in gender and language education both in L1 and L2 where patterns of difference emerge, but depending on the language aspect analysed, females may outperform males or *vice versa*.

The results obtained reveal a profile of the receptive vocabulary knowledge of a large and homogeneous sample of English learners in a foreign language context, which we believe will be useful for teachers and researchers. For the former, the pedagogic implications derived from the findings of this study are clear. First, they provide a picture of (the competence) where students of 4th year of primary education are concerning English receptive vocabulary knowledge: the top scores obtained by half of the students in the 1,000 frequency band are 16 to 20 points. This means that in the 1,000 level alone there are almost 500 words that need to be taught. Knowledge of the number of words known in this band by primary school learners has important implications for language education. As Nation (1993: 3) remarks:

The first 1,000 words of English are essential for all learners who wish to use the language. It is thus very important that teachers know what vocabulary knowledge their learners have and are aware of how they can systematically help them to increase this knowledge. If learners do not know all of the first 1,000 words of English it is well worth ensuring that they have the opportunity to learn those that they do not know.

In the same vein, knowledge of the number of words known and unknown by primary students is relevant for teachers as it allows them to adopt informed decisions on the number of words to be introduced in the lesson as well as the strategies to adopt in the teaching of vocabulary (Read 2000).

Second, since we provide an estimate of how many words 10 year old students in the 4th year of primary education know the results will be useful for comparing learners' estimates of vocabulary size of similar ages and educational level, not only in other parts of Spain but also in other European countries where English is taught in primary schools. Cameron (2003) points out the importance for secondary teachers of receiving information about the young learners who come to them from primary education. This knowledge is essential for constructing the basis of good learning practices. In the same vein, we believe that teachers in the 5th and 6th of primary education need information on their students' receptive vocabulary knowledge in the previous years of language education. As Cameron (2003: 107) remarks: "Taking TEYL seriously involves multiple strands of work, much of which is only just beginning, carrying out new research, learning from programmes across

a range of contexts and situations, and understanding more about the nature of child foreign language learning”.

Third, although differences on vocabulary knowledge in male and females are non-significant they point to the need for awareness of this issue. It may be the case that greater differences are found in older students. In a large-scale study with Spanish secondary students, Jiménez (1992) found significant differences between male and female students. Girls wrote a greater number of words (types and tokens) than boys in English composition tasks.

For researchers, the findings are useful because of the information they reveal with respect to the vocabulary knowledge of a group of learners of which there is very little systematic investigation. The focus of our study on 4th primary school students opens a window on the understanding of receptive vocabulary knowledge of 10 year-olds, an age (according to Piaget) previous to the development of formal thinking. We believe that the data will be particularly useful for comparing vocabulary gains in students' subsequent school years, as well as for studying vocabulary development through time.

This study has focused on the investigation of the receptive vocabulary size of a sample of learners of English as a foreign language at a grade of primary education in a specific region in a concrete specific country of EUROPE. However, although illuminating, the data obtained do not allow us to generalize the results to all 4th Spanish primary students. In spite of the fact that the same official curriculum and similar methodology is followed all over the country, there are bilingual communities in which either Basque, Catalan or Galician are acquired as major or minor languages in addition to Spanish, and where English is taught as a third language. Even in the case of other Spanish monolingual communities, there are differences concerning regional peculiarities and social contexts that may yield different results. Further studies on estimates of students' vocabulary size are needed not only in Spanish bilingual and monolingual communities but also in other countries where English is taught in primary and secondary education in a foreign language context situation. The data obtained would build up a grounded baseline for comparison as well as for unifying vocabulary criteria in the different educational stages all over Europe.

Likewise, care should be taken in the interpretation of the results concerning pupils' receptive vocabulary size. First, the nature of the test used does not allow us to claim more knowledge than word recognition. Although Meara is aware of the limitations of the VLT, he reckons that it is “the nearest thing we have to a standard test in vocabulary” (Meara 1996: 36), Beglar and Hunt observe that this test estimates the learners' basic knowledge of common word meanings (Beglar

and Hunt 1999: 132). It does not go further to estimate depth of word knowledge. Second, basic receptive vocabulary knowledge does not guarantee being capable of recalling the words needed or using the words in real communication. More studies are necessary to investigate the validity of the results obtained by means of other measures of the children's English vocabulary knowledge. Likewise there is the need of studying the relationship between receptive and productive vocabulary knowledge as well as the degree of knowledge of the different words contained in the 1,000 word test as well as in the different bands of the VLT.

Finally, although we believe that a profile of the receptive vocabulary of students at a given stage is useful for teachers and researchers, we also believe that it is necessary to carry out longitudinal studies with the same group of learners in order to investigate receptive vocabulary development throughout the different stages of primary and secondary education. Takala (1984) observed that a larger proportion of vocabulary is known at lower stages than at upper stages of education. That is to say, young learners learn more foreign words than older learners. Our guess is that primary students may be more motivated in the learning of the foreign language than secondary students and that motivation may be positively related to vocabulary size, but this is only a hypothesis that requires further investigation. In order to support or disconfirm our hypothesis, and to study the incremental nature of vocabulary acquisition, we plan in the short run to study the development of receptive and productive vocabulary size in 5th, 6th of primary education, and in the long run, it is our intention to investigate the same students in the 1st, 2nd, and 3rd year of secondary education.

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ANAPHORIC REFERENCE TO ENTITIES AND PLACES IN LITERAL AND METAPHORICAL CONTEXTS¹

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ABSTRACT. *This article reports on corpus research into the occurrence of from + anaphor. Developing distinctions derived from the typology of entities and qualities in Functional Grammar as well as the notion of metaphoricality found in the work of Lakoff, we find that in the syntactic context chosen for analysis the anaphor there is applied when the language-user conceives of the antecedent as a metaphorical place, whereas the occurrence of anaphoric it indicates a non-metaphorical conceptualization. The suggestion is advanced that choice of anaphor could be used as a test for metaphoricality where the source domain is location or movement in space.*

It is now well understood that when we use a referring expression, we refer to a phenomenon or set of phenomena in a mentally projected world (Frawley 1992: 24). There is a general, and usually implicit, assumption that the phenomena we refer to are all entities, defined by Frawley (1992: 68) as “relatively stable and atemporal discourse, ontological, and conceptual phenomena”. This tacit equation of referent and entity had already been challenged, however, by Lyons (1977: 475 ff.), who argued that language users refer not only to entities but also to other types of phenomena, notably places and times. The standard definition of entities involves notions of spatial stability and of temporality; if place and time were themselves entities, that definition would become circular. This is indeed the essence of Zeno of Elea’s paradoxical observation that “Everything is in place; this means that it is in something; but if place is something, then place itself is in something, etc.” (as presented by Jammer 1954: 16).

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The present article rests on Lyons's assumption that entities and places are distinct kinds of phenomena, examining anaphoric reference to each kind of phenomenon in a representative sample of contemporary English. The central claim will be that the distinction between entity and place carries over from the literal into the metaphorical domain, and that the nature of the anaphoric reference can be used as a diagnostic for identifying true metaphoricality. The theoretical framework to be applied is that of Functional Grammar (FG; Dik 1997) enriched with Cognitive Linguistics (Lakoff 1987), very much in the spirit of Pérez and Ruiz de Mendoza (2001), who show how FG could profitably incorporate advances in cognitive and pragmatic analysis of language use. Before progressing to our argument, however, we must first further clarify the distinction between entities and non-entities.

This distinction is not immediately obvious in the languages of the world. This fact is attributable to the ubiquity of hypostatization, the linguistic procedure by which we regularly treat places as though they were entities. Thus noun phrases are regularly employed to identify places. Lyons (1977: 693) argues that in (1):

(1) I'll meet you at the car.

the car is "used indirectly to identify a place; i.e. the space that is occupied by the car". Mackenzie (1992: 255), developing this idea, suggests that the mentally projected world to which we refer should be seen as a space that contains entities. What counts as an entity and what as a place, or as a figure against the ground, will vary according to the viewer's goals: thus the prospective buyer of a house may conceptualize the building as a potential place to live (indeed English has specialized the word *home* to indicate this view of a dwelling), whereas the real estate agent will typically classify it as an object, i.e. as a commodity to be sold.

FG has developed a four-way ontology of entities, building upon the work of Lyons (1977), to whom we owe the distinction of the first three orders. Entities that fulfil without reserve Frawley's above-mentioned definition are classified as 'first-order entities'. They are "relatively constant as to their perceptual properties", "are located, at any point in time, in [...] a three-dimensional space", and "are publicly observable" (Lyons 1977: 443). To refer to first-order entities in a language like English, we typically use noun phrases the head of which is a noun such as *woman*, *tortoise*, *nose* or *lorry*. Second-order entities are "events, processes, states-of-affairs [...] which are located in time and which, in English, are said to occur or take place, rather than to exist" (Lyons 1977: 443). Such

entities are typically referred to by means of clauses, such as the italicized non-finite clause in (2):

(2) I saw *him come up the path to the house*.

Yet English, like most but not all languages, also permits us to refer to a second-order entity by means of a noun phrase, headed by such 'abstract' nouns as *arrival*, *error*, *excursion* or *contest*, as in (3):

(3) We awaited *the arrival of the honoured guests*.

Second-order entities are similar to first-order entities in being located in time and place, but lack physical palpability, and, as Lyons (1977: 444) remarks, "the criteria for re-identification are less clear-cut". The nouns that denote second-order entities in English are typically nominalizations of some sort.

Third-order entities differ sharply from the preceding types in being located in neither space nor time; they are unobservable, purely 'mental' phenomena: "they are entities of the kind that may function as the objects of such so-called propositional attitudes as belief, expectation and judgement" (Lyons 1977: 445). In English they are regularly expressed as finite clauses, as in (4):

(4) I cannot believe *that it is already three o'clock*.

but again there are nouns available, such as *belief*, *idea*, *fact* or *hope*, for the formation of noun phrases that refer to third-order entities.

Fourth-order entities, finally, are speech acts.² This category is due to Hengeveld (1992: 7), who points out that, like second-order entities, they are located in space and time. They have been added to Lyons's three-way ontology because of their special status in linguistic communication. They are typically realized as full utterances, of the type that can be quoted in direct speech. In (5), the italicized object of *say* refers to a fourth-order entity:

(5) And then she said, "*Where did you find that bat?*"

2. As Functional Grammar has morphed into Functional Discourse Grammar (Hengeveld and Mackenzie 2006), further types of fourth-order entity have been proposed. The nature of these need not detain us here.

Whereas third-order entities are such that, generally speaking, “‘true’, rather than ‘real’, is more naturally predicated of them” (Lyons 1977: 445), fourth-order entities are assessed in terms of their felicity. Again, English has nouns such as *statement*, *question* or *command* that denote fourth-order entities, although these can generally also denote the third-order entity associated with the speech act in question:

- (6) I could not hear *that question* (fourth-order entity).
- (7) I would like to contest the presupposition of *that question* (third-order entity).

The four-way ontology of entities proposed in FG is summarized in Table 1.

Order of entity	Criterion	Example nouns
First-order entities	[±existent]	<i>woman, tortoise, nose, lorry</i>
Second-order entities	[±real]	<i>arrival, error, excursion, contest</i>
Third-order entities	[±true]	<i>belief, idea, fact, hope</i>
Fourth-order entities	[±felicitous]	<i>statement, question, command</i>

Table 1. *FG ontology of entities.*

What, then, of non-entities? I wish to put forward the suggestion, already adumbrated by Weigand (1990: 100), that corresponding to each order of entity there is a corresponding order of non-entity. Non-entities not only differ from entities, they also depend upon the latter for their identification. As Strawson (1959: 37) pointed out, “places are defined only by the relation of things”, and, more generally, non-entities indicate qualities of the entities to which they are assigned. An example of such a non-entity is the colour ‘red’, which ‘exists’ in our mentally projected world only as an abstraction from the perceived quality of blood, apples, the Liverpool football team’s strip, etc. In English, the qualities of first-order, third-order and fourth-order entities are typically expressed as adjectives, although nominalization again allows the possibility of hypostatization, i.e. nominal expression; the qualities of second-order entities, which will play a central role in what follows, are typically expressed by means of adverbs and adpositions.

Let us therefore distinguish four types of quality. Firstly, there are attributes, which apply to first-order entities, e.g. *the intelligence of the pupil* or *the height of Ben Nevis*. A quality applying to a second-order entity will be termed a circumstance, e.g. *the venue of a football match* or *the duration of the play*. A third-order entity such as *belief*, *hope*, etc. is assessed in terms of its epistemic status, as in *the plausibility of her assertion*, *the vanity of her hopes*. Finally, the quality that applies to fourth-order entities may be termed style, as in *the imperiousness of her order* or *the directness of his statement*. The four-way ontology of qualities in FG may be summarized as in Table 2.

Type of quality	Type of associated entity	Example nouns
Attribute	first-order entity	<i>intelligence, height, colour</i>
Circumstance	second-order entity	<i>venue, duration, reason</i>
Epistemic status	third-order entity	<i>plausibility, vanity, persuasiveness</i>
Style	fourth-order entity	<i>imperiousness, directness, vigour</i>

Table 2. *FG typology of qualities.*

Focusing now on expressions referring to places, we can classify them within the four-way ontology of qualities as referring to a type of circumstance. At this point, we need to remind ourselves of the distinction between reference and denotation (cf. Lyons 1977: 208). Let us repeat example (1):

(1) I'll meet you at the car.

The prepositional phrase *at the car* refers to a place, a circumstance of my meeting you. The noun *car*, however, has no reference in itself; rather, it serves to denote an entity. Whereas reference results from an action of the speaker, i.e. the formation of the prepositional phrase, the relationship of denotation between the word *car* and the concept 'car' is a virtual one. We may consequently regard denotation as reflecting conceptualization, whereas reference is more a matter of visualization: in forming the prepositional phrase *at the car*, the speaker is visualizing the entity as a place.

There is a range of expression types that is specialized in the denotation of places. Firstly, toponyms such as *Hong Kong* unsurprisingly serve to denote places;

indeed we will return to this very place-name in discussing (17) below. Secondly, spatial adverbs such as *upstairs* or *aloft* and spatial prepositions such as *under* or *near* also denote places; Mackenzie (2001) has argued that in FG the great majority of spatial adpositions and spatial adverbs should be seen as forming a single lexical category Ad. Thirdly, there is a class of nouns which do not denote entities but places: there are relational nouns such as *lee*, *right*, *centre*, which denote a region or a place in relation to some entity, as in *in the lee of the wind*, *to the right of the house*, *at the centre of the circle*; then there are nouns such as *home* and *shade* which differ from the corresponding nouns *house* and *shadow* in pinpointing a location rather than an entity; and finally there are certain nouns that denote parts of the body that are conceptualized as places rather than entities, such as *navel* or *armpit*, in contrast to *leg* or *nose* which are clearly entity-denoting. Finally, headless relative clauses introduced by *where* serve to denote a place, e.g. *where I spent my summer*.

Generally, reference and denotation coincide: we refer to places by means of a place-denoting form, and refer to entities with an entity-denoting form. This is clear from the following examples, which display an equative structure:

(8) The South of France was where I spent my summer.

(9) A CD-player was what I wanted for Christmas.

In (8) we see an equation of two places, just as in (9) we see an equation of two entities. One property of equative utterances is that the two referents that are equated must be of the same type: entities can only be equated with entities of the same type, and qualities similarly can only be equated with qualities of the same type:

(10) *The South of France was what I wanted for Christmas.

(11) *A CD-player was where I spent my summer.

As pointed out above, entities are seen, and indeed defined, as occupying places. As a result, each entity is associated with a place at any one moment, and conversely many places (though not all, because of the infinity of space) are associated with entities. These relations of association engender metonymic relations, which considerably expand the expression possibilities in language. Thus places may serve to identify the entities they contain, as in (12):

(12) Scotland were defeated in the European Championships.

where the first-order entity 'the Scottish team' is metonymically identified via the place with which the members of that team are associated; note how the verb

agrees with the referent, understood as plural. Similarly, as we have already seen, entities may serve to identify the spaces they occupy; cf. the discussion of (1) above.

The sharp distinction between reference and denotation allows us to grasp that the lexical item *car* denotes an entity but is being used in (1) to refer to a place; and conversely, whereas *Scotland* denotes a place, it is being used in (12) to refer to an entity. A useful test was proposed by Thrane (1980: 92) to distinguish place-reference from entity-reference, the so-called *Of all* test. Whereas reference to entities is generally identifiable by the possibility of appending the parenthetical expression *of all things* with non-human entities or *of all people* with human entities, reference to places permits the addition of parenthetical *of all places*. Applying this test to (8) and (9), we find indeed that this test applies to identify the subjects of those sentences as place-referring and entity-referring respectively:

(13) The South of France, of all places/*things, was where I spent my summer.

(14) A CD-player, of all things/*places, was what I wanted for Christmas.

The text also applies well to (12) and (1), where metonymy arises through a clash of reference and denotation:

(15) *Scotland, of all places, were defeated in the European Championships.

(16) *He proposed to meet me at the car, of all things.³

As shown in Figure 1, in addition to the straightforward correlations between denotation and reference, metonymy also permits the relations shown with dotted lines.

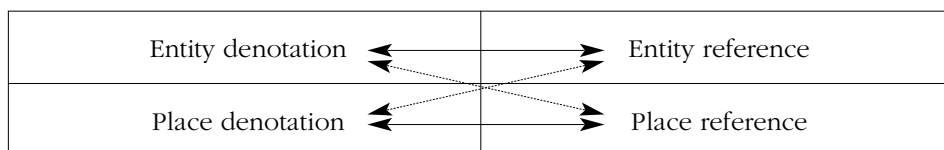


Figure 1. *Direct and metonymic relations between denotation and reference.*

3. (16) is arguably well-formed, but only if *of all things* expresses surprise at the third-order entity 'his proposition'. The essential point is that *the car* here identifies a place, and therefore cannot trigger *of all things*.

The two types of reference, reference to entities and reference to places, are reflected in the system of anaphoric pronouns in English. Although places are inanimate, reference to a previously mentioned place does not involve the pronouns for inanimate entities, but calls for the pronoun *there*. Interestingly, whereas anaphoric reference to an inanimate entity may be either demonstrative or not, in English there is no non-demonstrative pronoun for place-reference (compare Dutch, in which clitic *er* is the non-demonstrative equivalent of demonstrative *daar*). The system may be displayed as in Table 3.

Anaphor to inanimate entity	Anaphor to place	
<i>it, they</i>	(Dutch <i>er</i>)	–demonstrative
<i>that, this, these, those</i>	<i>there</i>	+demonstrative

Table 3. *Anaphoric reference to inanimate entities and places.*

The metonymic relation between places and entities entails that the language user under certain circumstances has a choice between referring back to either the entity or the place. Consider the following example from the corpus examined in this article:

- (17) Our casinos depend on Hong Kong, our exports depend on it and most of our tourists come from there. (*MCA_IND1.FOR*)

This example is remarkable in that the writer refers back to the place Hong Kong twice, first with the anaphor *it*, and then with the anaphor *there*. In the former case, the writer is visualizing Hong Kong as a commercial entity; in the latter, as a place where people live. Note that the choice of anaphor appears to be connected to the semantic context: the verb *depend (on)* selects for entity reference, whereas *come* selects for place reference.

The remainder of this article presents an examination of all the cases of pronominal anaphora to inanimate entities and to places introduced by the ablative preposition *from*, extracted from two corpora of modern English with a total of 4,100,659 words. The first is the MicroConcord Corpus (2,107,134 words). This corpus consists entirely of written material, half of it from the newspaper *The Independent* and the other half from books; both the newspaper subcorpus (A) and the books subcorpus (B) are further subclassified into 5

genres each.⁴ References to this corpus will appear after relevant examples in the MicroConcord format: thus (*MCA_IND1.FOR*) indicates a reference to subcorpus A, *Independent* group 1, *genre* Foreign News. The second is the BNC Sampler (1,993,525 words), consisting of 185 texts, with an approximately equal division into written English and transcriptions of speech; many different *genres* are represented.⁵ References to this corpus are given in the BNC Sampler format, so that (*BNC_fxr 0340*), for example, indicates text 'fxr', utterance no. 0340.

In total there are 424 relevant instances of pronominal anaphora introduced by *from* in the two corpora. The distribution is as shown in Table 4. Note that only the use of *this*, *that*, *these* and *those* as pronouns was included, all cases of determiner use of these words being discarded.

Item	MicroConcord Corpus	BNC Sampler	Total
<i>from there</i>	12	45	57
<i>from it</i>	42	45	87
<i>from them</i>	32	24	56
<i>from this</i>	40	16	56
<i>from that</i>	55	55	110
<i>from these</i>	4	2	6
<i>from those</i>	39	13	52
Total	224	200	424

Table 4. *Distribution of relevant anaphors across the two corpora.*

The choice of the preposition *from* was justified by a number of linked considerations. Firstly, it is a relatively frequent preposition and therefore likely to generate sufficient instances. Secondly, it is used in spatial contexts (*He leapt from his bed*, *She is from Cornwall*, etc.) and also in more abstract contexts (*a necklace made from coral*, *knowledge from books*, *they suffer from malnutrition*, etc.). Thirdly, whereas many prepositions are highly polysemic, *from* tends to retain

4. This corpus is no longer commercially available; to search the MicroConcord Corpus, see <http://langbank.engl.polyu.edu.hk/corpus/microconcord.html> (accessed on 2 June 2007).

5. This corpus is no longer commercially available; to search the BNC Sampler, see http://langbank.engl.polyu.edu.hk/corpus/bnc_sampler.html (accessed on 2 June 2007).

some sense of ablativity in all of its uses. Following Lakoff's (1987: 283) "spatialization of form" hypothesis, I will take the localist position⁶ that the spatial use of the preposition is basic, and will accordingly refer to such uses as 'literal'; the more abstract senses will be analysed as 'metaphorical'.

Of the 424 instances in the two corpora, 57 (13.4%) involved place reference, i.e. took the form *from there*. In many cases, there was literal anaphoric or exophoric reference to a place, as in the following examples:

- (18) go down the M50 into Ross and then go from there (*BNC kcl 0089*)
- (19) the place is like Fort Knox at the moment ... because someone was pilfering from there (*BNC fxr 0340*)
- (20) where that stove was ... and they moved the sink from there (*BNC kb2 0987*)
- (21) literally aiming the weapon and from there the gun was out (*BNC jjw 0582*)
- (22) She couldn't see it from there. (*BNC kd0 00783*)
- (23) she ripped it from there to there (*BNC kdn 0041*)

In (18) to (20) the antecedent clearly denotes a place: in (18) we find the toponym *Ross*, in (19) the (obviously!) place-denoting noun *place*, and in (20) a clause introduced by *where*. In (21), *there* appears to refer back to a rather vaguely specified bodily position and in (22), the place referred back to is clear only from the conversational context, with (23) showing, as the context makes plain, exophoric reference to two locations on the speaker's body.

In other cases, the antecedent appears to be an entity; in (24) a tent, in (25) a brew house and in (26) a university:

- (24) went into one tent ... and carried from there the silver (*BNC flu 004*)
- (25) in the brew house and then er where did I go from there? (*BNC g4n 0087*)

6. See the pioneering work of Anderson (1971: 128-150) on 'abstract direction'.

- (26) at the University of North Carolina. From there he and his wife ...
(MCA_IND4.HOM).

Note, however, that the antecedent entity is in each case introduced by a spatial preposition (*into*, *in*, *at* respectively). It is as though the entity comes to be visualized as a place under the influence of this preposition, so that *there* does not really refer back to the entity 'tent', etc. but to the location evoked by the combination of preposition and entity-denoting noun. This appears to apply especially to entities that are metaphorical 'containers' of human activity such as businesses, restaurants and colleges. Some evidence for this analysis can be gained from instances in which the antecedent of *there* is clearly the entire prepositional expression:

- (27) ... near the window. It has never moved from there because ... (BNC
j8g 0630)

In this case, which is about the placement of a television set, *there* refers anaphorically to the prepositional phrase *near the window*.

All the instances considered above involved anaphoric reference to a literal place. However, *from there* can also be used in metaphorical contexts. Consider the familiar experientially based metaphors MORE IS UP, LESS IS DOWN (Lakoff 1987: 276) and GOOD IS UP, BAD IS DOWN (Lakoff and Johnson 1980: 16). These are clearly at work in (28) and (29) respectively:

- (28) Are you gonna take the figure starting from one twenty and take it up from there and down from there (BNC f7j 0781)
- (29) The year began badly and went down from there (MCA_IND3.SPO)

The fact that *there* is here being used non-literally strengthens the case for regarding the conceptualization underlying the antecedent as also being metaphorical.

Let us consider other cases of metaphorical *there*, all of which involve the notion of Source — Path — Goal, i.e. a journey:

- (30) So what's your next step from there? (BNC fm4 0883)
- (31) So it'd have been twenty years and er from there I became er an instructor (BNC jjw 0223)

- (32) You don't WP from there (*BNC jjw 0223*)
- (33) And then we was able to buy a little machine and it went from there (*BNC g4n 0096*)
- (34) Now there's a serious point from starting from there because ... (*BNC fly 0102*)
- (35) ... I got a feeling that this was really where ... I would be able to work. So from there I mentioned it to our provincial who's ... the one in charge of us ... and she said ... (*BNC fy8 0062*)
- (36) I think the story is that, Matthew heard this voice, shall we just read from there? Mhm. Because then Jesus said to him, ... (*BNC kbx 0180*)

As Lakoff (1987: 435) points out, there is a very general metaphor ACTIVITY IS A JOURNEY, of which we see various manifestations here. (30) shows LIFE IS A JOURNEY (Lakoff 1987: 439), and (31) a variant, CAREER IS A JOURNEY. Similarly, (32) and (33) show more specific activities metaphorized as journeys: OPERATING A COMPUTER IS A JOURNEY and OPERATING A BUSINESS IS A JOURNEY respectively. (34) displays AN ARGUMENT IS A JOURNEY (Lakoff and Johnson 1980: 89-96); (35) can be seen as exemplifying A NARRATIVE IS A JOURNEY and (36) as instantiating READING A TEXT IS A JOURNEY, both of which reflect a more general view that DISCOURSE SPACE IS PHYSICAL SPACE (cf. Lakoff 1987: 517-518, which indeed mentions the use of *there* to refer to "discourse in the immediate past").

What has emerged from our examination of the use of *from there* is that the antecedent can in all cases be identified as a location. However, whereas the instances (18-27) all exemplify a literal location, (28-36) show metaphorical locations, involving either experientially based cognitive metaphors of verticality or various interlinked metaphors in which *from there* is identified as the starting-point of a journey. The fact that the locational anaphor *there* is used in these cases strengthens the case for asserting the all-pervasiveness of such metaphors in our everyday thinking and speech.

Non-demonstrative anaphoric reference to an entity calls in the corpus for the forms *from it* or *from them*. We will here concentrate on instances of *from it*. A typical example is (37):

- (37) "What would you do if you saw a ferocious tiger walking across the playground?" "I'd escape from it riding like the wind on a champion racehorse" ... (*BNC chr 0781*)

In discussing (24-26) above, we observed that *there* can be used to refer back to the location evoked by an entire prepositional phrase. Example (38), however, shows that anaphoric reference is also possible to the entity that is invoked by the complement of the preposition:

- (38) She rested on the boulder and from it looked down to where the river ran shallow (*BNC aea 1002*)

where *it* refers back to the entity 'boulder' and not the location 'on the boulder', in which case the author would have written *from there*. Note that the close metonymic relation between a place and an entity (a placeholder) permits a choice between two anaphors, i.e. two visualizations. A similar example is (39):

- (39) ... the floors and walls of the passage and the small room leading from it appeared to surge and lift (*MCB_WFOW.ART*)

in which *passage*, although a place-denoting noun, is referred to as an entity; this reification is perhaps due to the mention of its floors and walls (both being entities).

Alongside these instances of literal anaphora, there are also cases of metaphorical uses of *from it*. Consider (40), which might be assumed to involve some such metaphor as DIFFERENCE IS DISTANCE, cf. the use of *long way*:

- (40) ... the Spanish language ... and Italian is not a long way from it (*BNC fyt 0541*)

If such a metaphor is indeed involved, we would expect the spatial notion of distance to impose the choice of the anaphor *there*. Similarly, it might be supposed that a metaphor such as FINANCIAL VIREMENT IS PHYSICAL TRANSFER is at play in (41):

- (41) a reserve shall only be reduced to the extent that amounts transferred from it ... (*BNC fej 0686*)

However, we again do not find the anaphor *there* that characterized the metaphors identified in (28-36) above. The uses of prepositions before the complements of verbs, adjectives and nouns are also often assumed to derive

from spatial metaphors, but again examples (42-44) evince the entity-referring *it* rather than place-referring *there*:

- (42) Multiple sclerosis ... more women suffer from it than men (*BNC kb1 1068*)
- (43) ... remained largely aloof from it all (*MCA_IND4.SPO*)
- (44) ... excludes indifference to the group as well as alienation from it (*MCB_MORF.BEL*)

One of the fundamental problems of metaphor study is the identification in actual discourse of what is true metaphor as opposed to idiomatic expressions which may have their origins in metaphorical thinking but which no longer reflect metaphorical conceptualization (Steen 2005). It may be that the examination of anaphors of the type discussed here can provide a window upon this issue, in any case allowing a distinction between true and spurious instances of spatial or localistic metaphors.

Let us finally consider demonstrative anaphoric reference to entities, expressed in our corpus as *from this*, *from that*, *from these* and *from those*; we shall see that these cloud the issue somewhat. Concentrating on *from that*, we note that above all in the written language, the antecedent of *from that* is very often a second-order entity, as in (45) and (46):

- (45) ... the notion of trust had become divorced from that of dependence ... (*MCB_RTRU.SOC*)
- (46) ... using procedures quite different from those employed by Lawrence ... (*MCB_PERC.MED*)

Alternatively, the antecedent is a proposition, analysed in FG as a third-order entity:

- (47) <being only 5 points behind> ... but Toshack draws little comfort from that (*MCA_IND4.SPO*)

We also find that *from that* occurs in the kind of spurious metaphorical context identified in (40) above:

(48) Homicide isn't far away from that (*MCB_TREA.MED*)

However, in the following cases, which seem to involve the well-established ACTIVITY IS A JOURNEY metaphors, we find *from that* rather than *from there*:

(49) They're given a medical, eyesight, hearing tests and going on from that er er a one day assessment ... (*BNC jjw 0211*)

(50) Enter to escape from that first (*BNC g4k 0256*)

(49) appears to rest upon the notion THE NEXT ACTION IS THE CONTINUATION OF A JOURNEY and (50) on OPERATING A COMPUTER IS JOURNEY, yet we find *that* rather than *there* in these two examples. The intimate metonymic relation between entities and places here warns us against relying too easily upon anaphors as a test for metaphoricality.

To conclude, then, it has been established that anaphora involves reference either to entities or to non-entities (qualities); in this article, we have focused on one particular type of quality, the circumstance 'place'. The close conceptual association between entities and the places they occupy (or between places and the entities that occupy them) readily allows metonymy in both directions, such that an entity-denoting expression can be used to refer to a place or vice versa. How we refer anaphorically to a phenomenon can be seen as reflecting how we visualize it. Consider Lakoff and Johnson's (1980: 35) classic example of metonymy:

(51) The ham sandwich is waiting for his check.

The possessive determiner *his* here contributes to the analysis of *the ham sandwich* as a metonymic reference to a person who has ordered one. Similarly, we have argued that the distinction between *there* and *it/that* reflects place-reference and entity-reference respectively as two metonymically associated ways of visualizing phenomena. The corpus examination revealed that anaphoric *there* reflects the language user seeing the antecedent as a metaphorical location, whereas the occurrence of anaphoric *it* appeared to indicate a non-metaphorical view of the antecedent as an entity. This suggests that anaphors might be used as a test of metaphoricality where the source domain of the alleged metaphor is a matter of location or motion in spatial reality, e.g. UP/DOWN, JOURNEY, etc.; only where a place-anaphor is chosen can the expression be classified as metaphorical.

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OLD ENGLISH *GE-* AND THE DESCRIPTIVE POWER OF *NERTHUS*¹

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ABSTRACT. *The main purpose of this article is to carry out an extensive examination of the evidence available of the Old English affix ge- in general, and, in particular, of the ge-alternation, which holds between predicates that bear a form-and-function contrast such as hlid 'lid'-gehlid 'roof'. The ge-alternation is examined as a pure and a mixed alternation, co-occurring with gradation, zero derivation and affixation. The conclusion is reached that ge- is the most frequent and the most widely distributed affix in Old English. Moreover, it partakes in inter-categorical and recursive derivation. As a secondary goal, this article aims at assessing the descriptive adequacy of the database of Old English derivational morphology Nerthus both on qualitative and quantitative grounds. In this respect, the conclusion is reached that the amount of evidence of ge- that can be drawn from Nerthus allows for an extensive analysis of the affix. On the other hand, Nerthus, in its present state, requires more accurate and formalised meaning definitions.*

1. INTRODUCTION

The purpose of this article is to bring, by means of an extensive examination of the evidence available for Old English *ge-*, a new way of looking at this affix. Additionally, the evidence of the affix *ge-* drawn from *Nerthus* (Martín Arista, Caballero González, González Torres, Ibáñez Moreno and Torre Alonso fc.) will be used to assess the descriptive power of this lexical database both on qualitative and on quantitative grounds.

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Although this piece research develops along quite a different path, I would not do justice to Lindemann's work (1953; 1970) if I did not acknowledge that their publication represents a milestone in the long tradition of studies in *ge-*. Indeed, this author proved empirically inadequate two ideas central to philological studies, namely that *ge-* is often meaningless (Benson 1701; Adelung 1796; Krapp and Kennedy 1929; Hollmann 1936; Samuels 1949) and that this affix is monosemic, expressing transitivity (Lenz 1886; Lorz 1908), intensification (Bernhardt 1870; Wackernagel 1878; Lorz 1908; Weman 1933), completion (Grimm 1878; Dorfeld 1885; Wustmann 1894; Swaay 1901) or perfective aspect (Martens 1863; Streitberg 1943).²

In spite of his contribution to clearing the traditional underbrush, Lindemann's work is fraught with a fundamental problem: focusing on verbal *ge-*, Lindemann overlooks the transcategorial dimension of derivational morphology. On this question, Lindemann follows the long and crooked path of philological studies published from the 18th century onwards, most of which I have just quoted after Lindemann himself (1953). In this paper I harbour the conviction that the lack of a clear morphological perspective, based on a comprehensive theory of morphology, has weakened the approach to Old English derivation in general and to *ge-* in particular. I can cast two arguments in favour of this view. To begin with, if the distinction between inflectional morphology (always intra-categorial) and derivational morphology (often inter-categorial) had been drawn before in the history of linguistics, the approach to *ge-* would not have been exclusively verbal, as in Samuels (1949) and Niwa (1966), to quote just two authors from the 20th century; and the inflectional or derivational nature of this affix had not been the spine of the discussion. And, in the second place, if derivational morphology had been understood as a phenomenon of its own, independent of inflection, the studies in the derivation of lexical categories, including, for instance, Schön (1905), Schuldt (1905) and Nicolai (1907), would have gone into the heart of the debate, instead of taking issue with the intricacies of inflectional categories in the diachronic perspective.

Given this state of the art, I offer an analysis of *ge-* which touches upon questions of morphological relatedness and contrast and focuses on morphological processes (*Ablaut*, zero derivation and affixation) and all four major lexical categories: Noun, Adjective, Verb and Adverb. With this aim, this journal article is organised as follows. Section 2 raises the methodological question of the interaction between synchrony and diachrony. Section 3 offers a quantitative description of *ge-* affixation, as well as a qualitative approach to categorial distribution and change.

2. All references in this paragraph have been quoted after Lindemann (1953).

Section 4 deals with the pure *ge*-alternation, both intra-categorially and inter-categorially. Section 5 engages in the overlapping of *ge-* with other derivational principles, namely *Ablaut*, zero derivation and affixation. Section 6 offers a summary of the results of the research undertaken in this article.

2. DRAWING EVIDENCE FROM *NERTHUS*

The lexical database of Old English *Nerthus* can provide extensive empirical evidence on the affix *ge-* because it contains around 30,000 entries (headwords) with a full description of their derivational morphology, along with the inflectional morphology relevant for derivation. *Nerthus* analyses each headword in terms of more than sixty variables, which are grouped in three blocks of information: predicate (including category, form, variants, translation, inflectional morphology, type of predicate and morphological process) derivation and compounding (both including canonical, non-canonical, inflective, and phonologically-modified base and adjunct). The organisation of the database is categorial (distinguishing between nouns, adjectives, verbs, adverbs, adpositions and affixes, which are treated as predicates, or full lexical items). Terminal and non-terminal derivational chains constitute the main descriptive device of *Nerthus* (terminal chains represent non-recursive derivation whereas non-terminal chains represent the pre-final stage of recursive derivation).

As I have already remarked, it is a secondary aim of this research to test the descriptive adequacy of *Nerthus* against *ge-*, one of the most widespread features of the language, and a question that has engendered one of the longest debates in English historical linguistics. For this reason (and for the reasons given in the state of the art), the main thrust of the research that follows is description. Sections 3, 4 and 5 gather a body of evidence that represents the main contribution of this journal article, given its scope and depth. Regarding scope, the evidence furnished is both intra-categorial and inter-categorial; as for depth, the quantification of the affix *ge-* is exhaustive and many aspects of the *ge-* alternation are nearly exhaustive.

Of all the possible aspects relating to the affix *ge-*, the evidence under scrutiny here is the *ge-* alternation. The *ge-* alternation holds between predicates (in the sense of *lexemes*) that bear a form-and-function contrast such as those in (1a), and excludes those predicates that do not bear a functional contrast, like the ones in (1b).³

3. Notice that the examples that follow in the remainder of this paper draw on *Nerthus*, which is mainly based on Clark Hall (1996).

(1)

- a. *blid* 'lid'~*geblid* 'roof', *lang* 'long'~*gelang* 'dependent', *spræ:dan* 'to spread'~*gespræ:dan* 'to stretch forth', *hwæ:r* 'where'~*gehwæ:r* 'everywhere'
- b. *eardung* 'tabernacle'~*geardung* 'tabernacle', *gylden* 'golden'~*gegylden* 'golden', *wærian* 'to pass by'~*gewærian* 'to pass by', *ble:owe* 'in a sheltered manner'~*geble:owe* 'in a sheltered manner'

The analysis that is carried out in this journal article regards *Ablaut*, zero derivation and affixation as formative principles of derivational morphology. These phenomena are illustrated, respectively, by (2a), (2b) and (2c):

(2)

- a. *full* 'full'~*gefyllednes* 'fulfilment', *helm* 'protection'~*gebilmed* 'helmeted', *be:ab* 'high'~*gebe:ban* 'to raise'
- b. *bæc* 'back'~*gebæcu* 'back part', *clibbor* 'clinging'~*geclibs* 'clamour', *gleng* 'ornament'~*geglengan* 'to set in order'
- c. *fre:o* 'freedom'~*gefre:ogend* 'liberator', *glo:f* 'glove'~*geglo:fed* 'gloved', *eftgian* 'to repeat'~*geeftgian* 'to restore'

The concept of the interaction between synchrony and diachrony underlying the alternations in (1a) and (2a)-(2c) is necessarily dynamic, since *Ablaut*, zero derivation and affixation are not simultaneous processes in a strictly synchronic analysis. It is usually the case that in the diachronic axis, phenomena overlap throughout processes often blurred by the lack of evidence or even contradictory data. Diachronically, strong verbs turned out nouns, adjectives and other verbs by means of graded or ungraded zero derivation (Hinderling 1967; Kastovsky 1968), while nouns and adjectives produced weak verbs. Then, fully productive affixation was followed by less productive affixation and more productive compounding (Hiltunen 1983). Categorial extension (as in *riht* 'right'~*riht* 'something right') must have been active throughout the three diachronic stages I have just sketched. Overall, two central distinctions arise: between lexical derivation as stem formation versus word formation on the one hand (Kastovsky 1986, 1990, 1992), and between more productive affixation as opposed to more productive compounding, on the other (de la Cruz 1975; Horgan 1980; Hiltunen 1983).⁴

4. Whereas Horgan (1980) merely describes affix interchangeability, de la Cruz (1975: 77) identifies a process of grammaticalizing equalization, through which interchangeable affixes are replaced by zero, as in *anymed/genimmed/nimað*. See also Martín Arista (2006) on the question of affix interchangeability.

It is my contention that *ge-* can throw more light on the evolution of word formation in Old English than any other affix, for three reasons: firstly, because *ge-* is the most frequent (in the sense of type-frequency) affix in Old English; secondly, because *ge-* is the only universal affix (given that it distributes over all lexical categories); and, thirdly, because *ge-* co-occurs with all major morphological processes throughout the history of Old English word-formation, including, at least, *Ablaut* (gradation), zero derivation and affixation. In the remainder of this paper I describe *ge-* as the most frequent and universal affix in Old English (section 3) and examine contrastive *ge-* as the only formative principle in an alternation (section 4) or as one of the formative principles that motivate a given alternation (section 5).

3. DESCRIPTION OF *GE-*

Recapitulating, the *ge-* alternation links two morphologically related predicates between which there exists a functional contrast (involving meaning and/or category). In identifying an alternation I am not making a claim of productivity in the synchrony, neither am I assuming a unidirectional derivation. I have just remarked that the morphological processes that motivate the alternation have not taken place simultaneously: *Ablaut*, for instance, takes place in Germanic already and clearly predates productive affixation, leave alone productive compounding in Old English.⁵ Regarding unidirectionality, the notion of alternation implies a choice within a derivational paradigm, which can be unidirectional or multidirectional. A unidirectional derivation can be described by means of a single derivational chain, as in (3a) and (3b). A multidirectional derivation cannot be described in terms of a single derivational chain, as in *hand* 'hand' > *gebendnes* 'proximity' / *handlung* 'handling' in (3c) and (3d):

(3)

- a. *co:p* 'vestment' > *geco:p* 'proper' > *geco:plic* 'proper' > *geco:pli:ce* 'in a proper manner'
- b. *ðe:aw* 'custom' > *geðe:awe* 'customary' > *geðe:awian* 'to bring up well' > *geðe:awod* 'well-mannered'
- c. *hand* 'hand' > *gebendan* 'to hold' (*gebende* 'near', *gebende* 'at home', *gebendnes* 'proximity')

5. See Stark (1982: 122) on productivity and recoverability in the synchronic and diachronic analysis, respectively, of Old English derivation.

- d. *band* 'hand' > *bandlung* 'handling' (*bandlinga* 'by hand', *bandle* 'handle', *bandlian* 'to handle', *bandful* 'handful')

Considering (3c) and (3d), it is worth remarking that *Ablaut* and *ge*-affixation represent the formative principles which motivate the two directions of the derivation, *band* > *gebendnes* vs. *band* > *bandlung*. In more general terms, (3c) and (3d), being instances of multidirectional derivations, constitute substantial evidence against any claim of unidirectional derivations in Old English.⁶

It is not surprising that *ge*- has received so much attention in English historical linguistics, given that it is the most generalised affix, both in quantitative and qualitative terms. I focus on the quantitative aspects of the prefix first.

Ge- is prefixed to 1,270 predicates, of which 532 are nouns, 359 adjectives, 84 adverbs, 293 verbs, and 2 belong to minor grammatical categories. No adposition is preceded by *ge*. If we consider the category Noun, 92 predicates are masculine, 193 feminine and 185 neuter; the rest are ambiguous with respect to gender. Within the category Verb, 15 predicates belong to the strong classes, and 278 to the weak classes. An illustration of each predicate category with *ge*- follows in (4):

- (4)
- a. *gebedbigen* 'payment for prayers' (Noun)
 - b. *geblystful* 'attentive' (Adjective)
 - c. *gese:dan* 'to satisfy' (Verb)
 - d. *gemimorli:ce* 'by heart' (Adverb)
 - e. *gebwilc* 'which' (Other)

The number of predicates to which the affix *ge*- can be prefixed, that is, those predicates that are preceded by (+/-) in Clark Hall's (1996) dictionary, is 1,346, out of which 345 are nouns, 109 adjectives, 47 adverbs, 843 verbs, and 2 belong to minor grammatical categories.⁷ No adposition has been found in this group, either. As for the category Noun, 79 are masculine, 169 feminine and 60 neuter. The rest are ambiguous for gender. If we focus on the category Verb, it turns out

6. Put in Kastovsky's (1992: 294) words, the vocabulary of Old English is characterised by large morphologically related word-families. See Palmgren (1904: 25) on *ge*-formations on the present tense form of the strong verb.

7. For headwords like *gebannan*~*a:bannan* 'to summon', see *The Dictionary of Old English*, which distinguishes the headwords *bannan*, *geábannan* and *a:bannan*.

that 3 are irregular verbs, 162 belong to the strong classes and 689 to the weak class. An illustration of each category is given in (5):

- (5)
- a. *stencnes/gestencnes* ‘odour’ (Noun)
 - b. *limpful/gelimpful* ‘fitting’ (Adjective)
 - c. *ru:mli:ce/geru:mli:ce* ‘at large’ (Adverb)
 - d. *de:adian/gede:adian* ‘to die’ (Verb)
 - e. *ilca/geilca* ‘the same’ (Other)

Summarising, *ge-* can be prefixed to 2,616 predicates, including 877 nouns, 468 adjectives, 131 adverbs, 1,136 verbs and 4 predicates of minor grammatical categories. A comparison with the rest of predicates in *Nerthus* is in point here. *Nerthus* contains 29,389 predicates, of which 16,494 are nouns, 5,755 adjectives, 1,600 adverbs, 5,273 verbs, 80 adpositions and 117 belong to minor grammatical categories. These figures are given, along with the corresponding percentages, in Table 1:

	<i>Ge-</i>	Total	<i>Ge-</i>percentage
Nouns	877	16,494	5.3%
Adjectives	468	5,755	8.1%
Adverbs	131	1,600	8.1%
Verbs	1,136	5,273	21.5%
Adpositions	0	80	0%
Other	4	117	3.4%
Total	2,616	29,389	8.9%

Table 1. *Ge-prefixable items per lexical category (type frequency).*

These figures have no rival among Old English affixes: no other affix can be attached to such a high number of predicates (up to 2,616); neither can any affix distribute so freely across categories (all except adpositions). The affix *a-* can be attached to 928 predicates, all of which are verbs (Martín Arista and González Torres 2005), that is, *ge-* outnumbers *a-* in frequency and distribution. These figures also tell us that *ge-* is mainly but not exclusively a verbal prefix: it is

prefixed to 21.5% of verbs, but also to 8.1% of adjectives and adverbs, 5.3% of nouns and 3.4% of the members of minor grammatical categories. Variation also revolves around verbs: 15% of verbs can take the prefix *ge-* without change of meaning. This is probably the reason why *ge-* has been considered inflective. The inflectional character of *ge-* must be ruled out on account of the stability of the affix throughout the derivation and the lack of generality of *ge-* affixation. I deal with these questions in turn.

As an argument in favour of the derivative character of *ge-*, I advance the stability of this affix all the way down the derivation. Consider the derivatives of *geno:g* 'enough' in (6):

(6)

geno:g 'enough': *genebe* 'sufficiently', *genugan* 'to suffice', *geno:g* 'sufficiently', *geno:gian* 'to be abundant', *genyht* 'abundance', *genyhtful* 'abundant', *genyhtli:ce* 'abundantly', *genyhtsum* 'satisfied', *genyhtsumian* 'to suffice', *genyhtsumnes* 'abundance', *genyhtsumung* 'abundance'

It is certainly an argument in favour of the derivative character of *ge-* that it is kept throughout the derivation all the paradigm down. This does not mean that derivative paradigms like the ones in (7) do not exist. The variation of *ge-*, however, is the result of the alternation $\pm ge$ in the basic predicate, namely *bindan/gebindan*, *dre:fan/gedrefan* and *hlystan/geblystan*:

(7)

- a. *bindan/gebindan* 'to bind': *binde* 'headband', *bindele* 'binding', *bindere* 'binder', *binding* 'binding', *una:bindendlic* 'indissoluble', *gebind* 'binding'
- b. *dre:fan/gedrefan* 'to trouble', *dre:fre* 'disturber', *dre:fung* 'disturbance', *gedre:fedlic* 'oppressive', *dre:fednes* 'trouble', *gedre:fnes* 'confusion'
- c. *hlystan/geblystan* 'to listen': *geblyste* 'adjective', *hlystend* 'listener', *hlystere* 'listener', *geblystful* 'attentive', *hlysting* 'act of listening'

And as an argument against the inflectional character of *ge-*, I raise the fact that the affixation of *ge-* is not a generalised process, even in verbs. *Ge-* is not affixed to every member of the class Verb, neither does it cause the same meaning change, whereas inflectional affixes can combine with all the members of a given category conveying the same meaning (Bybee 1985). Consider example (8). The affix *ge-* changes valency in pairs like (8a)-(8d). However, there follow several instances where the affix does not motivate a change in the verbal valency. In

(8e)-(8h) the two members of the pair take one internal argument, whereas in (8i)-(8l) the two members of the pair take two internal arguments:

(8)

- a. *ri:nan* 'to rain'~*geri:nan* 'to wet with rain'
- b. *sadian* 'to be sated'~*gesadian* 'to satiate'
- c. *stincan* 'to emit a smell'~*gestincan* 'to smell'
- d. *ðearfian* 'to be in need'~*geðearfian* 'to impose necessity'
- e. *ce:lan* 'to cool'~*gece:lan* 'to quench thirst'
- f. *ceorran* 'to creak'~*geceorran* 'to turn'
- g. *cuman* 'to come'~*gecuman* 'to come together'
- h. *brisian* 'shake'~*gebrisian* 'shake together'
- i. *biddan* 'to ask'~*gebiddan* 'to beg'
- j. *fricgan* 'to ask'~*gefricgan* 'to learn'
- k. *gryndan* 'to set'~*gegryndan* 'to found'
- l. *sle:an* 'to strike'~*gesle:an* 'to strike down'

To round off the question of derivation versus inflection in *ge-*, it is probably worth commenting on the fact that it is hard to find instances of gender change that can be attributed to *ge-* like *timbru* 'building' (femimine)~*getimbre* 'building' (neuter). Instances like the ones given under (9), on the other hand, are more frequent:

(9)

- a. *ba:n* 'bone'~*geba:n* 'bones'
- b. *freond* 'friend'~*gefri:end* 'friends'
- c. *mæcg* 'man'~*gemæcca* 'pair'
- d. *mann* 'man'~*gema:na* 'community'
- e. *sco:h* 'shoe'~*gescy* 'pair of shoes'
- f. *swe:or* 'pillar'~*geswe:oru* 'hills'
- g. *sweostor* 'sister'~*gesweostor* 'sisters'
- h. *wæ:pen* 'weapon'~*gewæ:pnu* 'arms'

Although textual work is probably needed in this area, it does not seem completely out of place to consider *ge-* a marker of nominal aspect (in the sense

of Van Valin and LaPolla 1997), thus rendering countable nouns as uncountable or collective. No further evidence of inflectional *ge-* has been found throughout the research reported here.

For the reasons just given, I consider *ge-* a derivational affix and identify *ge-* alternations in pairs such as the ones that follow in (10):⁸

(10)

- a. *be:or* 'beer'~*gebe:or* 'pot-companion'
- b. *byrd* 'burden'~*gebyrd* 'burdened'
- c. *stincan* 'stink'~*gestincan* 'to smell'

As I have already pointed out, *ge-* can be prefixed to all categories except adpositions. It is prefixed to basic predicates in instances like those in (11):

(11)

- a. *blid* 'lid'~*geblid* 'roof'
- b. *biddan* 'to ask'~*gebiddan* 'to beg'
- c. *lang* 'long'~*gelang* 'dependent on'

Ge- can also be prefixed to predicates already derived by transparent derivative means such as the ones in (12):

(12)

- a. *lustful* 'desirous'~*gelustful* 'desirable'
- b. *langian* 'to long for'~*gelangian* 'to send for'
- c. *friðsum* 'peaceful'~*gefriðsum* 'safe, fortified'

Ge- affixation does not involve category change in derivations like the following:

(13)

- a. *fæ:mne* 'maid'~*gefæ:mne* 'woman'
- b. *cy:ðig* 'known'~*gecy:ðig* 'aware of'
- c. *gryndan* 'to set'~*gegryndan* 'to found'

8. But see Sosa Acevedo (forthcoming).

d. *hwæðere* ‘however’~*gehwæðere* ‘nevertheless’

e. *hwilc* ‘which’~*gehwilc* ‘whichever’

When *ge-* affixation changes category, the most frequent pattern of derivation is *-ge* noun > *+ge* adjective:⁹

(14)

a. *de:aw* ‘dew’~*gede:aw* ‘dewy’

b. *molcen* ‘curlded milk’~*gemolcen* ‘milked’

c. *swa:t* ‘sweat’~*geswa:t* ‘sweaty’

Ge- can be contrastive by itself, as in (15a), or in combination with other formative principles, such as *Ablaut*, zero derivation and affixation, as is depicted by (15b), (15c) and (15d), respectively:

(15)

a. *spræ:dan* ‘to spread’~*gespræ:dan* ‘to stretch forth’, *wesan* ‘be’~*gewesan* ‘contend’, *ðingan* ‘to invite’~*geðingan* ‘to thrive’

b. *cle:ofan* ‘to cleave’~*geclyft* ‘cleft’, *helm* ‘protection’~*bilmed* ‘helmeted’

c. *coro:na* ‘crown’~*gecoro:nian* ‘to crown’, *gleng* ‘ornament’~*geglengan* ‘to set in order’

d. *bi:geng* ‘practice’~*gebi:gendlic* ‘inflectional’, *cne:orin* ‘generation’~*gecne:orenes* ‘generation’, *glo:f* ‘glove’~*geglo:fed* ‘gloved’,

I will refer to *ge-* by itself as *the pure alternation* and to *ge-* in combination as *the mixed alternation*. I devote the next two sections to the two alternations of *ge-* I have just distinguished.

4. THE PURE ALTERNATION

The pure alternation holds when *ge-* is contrastive in form (presence versus absence) and in meaning (more or less specialised meaning) without overlapping with *Ablaut* or affixation. The pure alternation can relate members of the same or different categories. The meaning contrast most often dealt with in the literature (Lenz 1886; Lorz 1908, to cite just two works) affects syntactic transitivity, in pairs like:

9. See Hinderling (1967: 79) on the evolution verb > deverbal noun > adjective > noun.

(16)

- a. *o:nettan* 'to be quick'~*geo:nettan* 'to get quickly'
- b. *habban* 'to have'~*gehabban* 'to hold'
- c. *innian* 'to go in'~*geinnian* 'to include'
- d. *brisian* 'to clatter'~*gebrisian* 'to shake together'
- e. *fe:ran* 'to go'~*gefe:ran* 'to undergo'
- f. *restan* 'to rest'~*gerestan* 'to give rest to'

Regardless of whether these pairs are explained in terms of *Aktionsart* or syntactic transitivity, the affixation of *ge-* to one of the members of the alternation has the effect of changing the valency or the verb from one internal argument to two internal arguments. I have already focused on this question, as well as on the exceptions to this generalisation in example (8). Putting aside verbs, nouns that partake in the pure alternation of *ge-* include:

(17)

- a. *a:gnung* 'owning'~*gea:gnung* 'acquisition'
- b. *beorg* 'mountain'~*gebeorg* 'defence'
- c. *be:or* 'beer'~*gebe:or* 'pot-companion'
- d. *bro:ðorscipe* 'brotherliness'~*gebro:ðorscipe* 'brotherhood'
- e. *fæ:mne* 'maid'~*gefæ:mne* 'woman'
- f. *fædera* 'paternal uncle'~*gefædera* 'godfather'
- g. *blid* 'lid'~*geblid* 'roof'
- h. *hweorf* 'exchange'~*gebweorf* 'a turning'
- i. *setl* 'seat'~*gesetl* 'assembly'
- j. *si:ð* 'journey'~*gesi:ð* 'companion'

The pure alternation of *ge-* can also be identified in adjectival pairs like the ones that follow in (18):

(18)

- a. *æðele* 'noble'~*geæðele* 'natural'
- b. *ælfremed* 'strange'~*geælfremed* 'free'
- c. *byrde* 'of high rank'~*gebyrde* 'innate'
- d. *cy:ðig* 'known'~*gecy:ðig* 'aware of'

- e. *fæderen* 'paternal'~*gefæderen* 'born of the same father'
- f. *friðsum* 'peaceful'~*gefriðsum* 'safe'
- g. *bealdsum* 'careful'~*gebealdsum* 'provident'
- h. *lang* 'long'~*gelang* 'dependent'
- i. *me:dren* 'maternal'~*geme:dren* 'born of the same mother'
- j. *sce:ad* 'understanding'~*gesce:ad* 'reasonable'
- k. *se:aw* 'juice'~*gese:aw* 'succulent'

The pure alternation of *ge-* also shows up in adverbial pairs such as:

(19)

- a. *fæstli:ce* 'certainly'~*gefæstli:ce* 'fixedly'
- b. *hwanon* 'whence'~*gehwanon* 'from every quarter'
- c. *hwæðere* 'however'~*gehwæðere* 'nevertheless'
- d. *hwæ:r* 'where'~*gehwæ:r* 'everywhere'
- e. *hwider* 'whither'~*gehwider* 'in every direction'

When the pure alternation of *ge-* relates to members of two different categories, the most frequent pattern is noun~*ge-* adjective, as in the following pairs:

(20)

- a. *byrd* 'burden'~*gebyrd* 'burdened'
- b. *byrst* 'bristle'~*gebyrst* 'furnished with bristles'
- c. *de:aw* 'dew'~*gede:aw* 'dewy'
- d. *hæ:re* 'hair'~*gebæ:re* 'hairy'
- e. *hy:d* 'skin'~*gehy:d* 'furnished with a skin'
- f. *le:af* 'leaf'~*gele:af* 'leafy'
- g. *mæ:l* 'mark'~*gemæ:l* 'stained'
- h. *met* 'measure'~*gemet* 'fit'
- i. *mo:d* 'courage'~*gemo:d* 'of one mind'
- j. *molcen* 'curlded milk'~*gemolcen* 'milked'
- k. *myne* 'memory'~*gemyne* 'mindful'
- l. *spræ:ce* 'talk'~*gespræ:ce* 'eloquent'
- m. *so:m* 'arbitration'~*geso:m* 'unanimous'

- n. *sufel* 'relish eaten with bread'~*gesufel* 'with a relish added to it'
- o. *swa:t* 'sweat'~*geswa:t* 'sweaty'
- p. *wæ:r* 'faith'~*gewæ:r* 'aware'
- q. *wana* 'lack'~*gewana* 'lacking'

Less frequently, the patterns involved in inter-categorical pure *ge*- alternation are adjective~*ge*-noun, as is illustrated by (21a)-(21e), and adjective~*ge*-adverb, as is illustrated by (21f)-(21g):

- (21)
- a. *fē:re* 'able to go'~*gefē:re* 'company'
 - b. *filde* 'of the nature of a plain'~*gefilde* 'plain'
 - c. *ne:ab* 'near'~*gene:ab* 'abundance'
 - d. *sme:ab* 'sagacious'~*gesme:ab* 'intrigue'
 - e. *weald* 'powerful'~*geweald* 'power'
 - f. *braðe* 'quick'~*gebraðe* 'hastily'
 - g. *hwæðer* 'whether'~*gehwæðer* 'which of two'

5. THE MIXED ALTERNATION

I have devoted section 4 to the pure alternation of *ge*-. This section gathers evidence of *ge*- in combination with other formative principles, including *Ablaut*, zero derivation and affixation. Beginning with *Ablaut*, the literature has paid attention to gradation mainly in deverbal nouns (Palmgren 1904; Kastovsky 1968).¹⁰ In (22), the *ge*-alternation and *Ablaut* overlap in denominal, deadjectival and deverbal nouns, respectively:

- (22)
- a. *freond* 'friend'~*gefri:end* 'friends'
 - mann* 'man'~*gema:na* 'community'
 - mann* 'man'~*gemæ:nes* 'fellowship'
 - muð* 'mouth'~*gemy:ðe* 'junction of two streams'

10. But see Schuldt (1905) and Jensen (1913).

- sco:b* 'shoe'~*gescy* 'pair of shoes'
sibð 'vision'~*gesiht* 'faculty of sight'
 b. *full* 'full'~*gefyllednes* 'fulfilment'
wa:c 'weak'~*gewæ:cednes* 'weakness'
 c. *gangan* 'to go'~*gegenga* 'companion'
higgan 'to think'~*gehygd* 'mind'
bliebban 'to laugh'~*geblæ:g* 'derision'
hweorfan 'to turn'~*gebwyrfnes* 'return'

In (23), the *ge*-alternation and *Ablaut* overlap in denominal, deadjectival and deverbal adjectives:

(23)

- a. *andwlita* 'face'~*geandwlatod* 'shameless'
beorma 'leaven'~*gebeormad* 'leavened'
bill 'bill'~*gebilod* 'having a bill'
helm 'protection'~*gebilmed* 'helmeted'
land 'land'~*gelend* 'furnished with land'
mann 'man'~*gemæ:ne* 'overpowered'
ræ:d 'advice'~*gery:de* 'prepared, ready'
to:ð 'tooth'~*gete:ðed* 'toothed'
tre:ow 'tree'~*getri:owed* 'shafted'
 b. *lang* 'long'~*gelenge* 'belonging to'
 c. *cle:ofan* 'to cleave'~*geclyft* 'cleft'
dre:gan 'to dry'~*gedrycned* 'dried up'
higgan 'to think'~*gebugod* 'minded'
lustian 'to delight in'~*gelysted* 'desirous of'
sprecan 'to speak'~*gespræ:ce* 'eloquent'
sprecan 'to speak'~*gespræ:celic* 'incapable of being used alone'
stincan 'to emit a smell'~*gestence* 'odoriferous'

In (24), the *ge*-alternation and *Ablaut* overlap in denominal, deadjectival and deverbal weak verbs. Notice that the Adverb is input category in pairs like the ones in (24d):

(24)

- a. *beorma* 'leaven'~*gebirman* 'to leaven'
cruma 'crumb, fragment'~*gecrymian* 'to crumble'
land 'land'~*gelendan* 'to endow with land'
sco:b 'shoe'~*gescy:gean* 'to furnish with shoes'
stenc 'stench'~*gestincan* 'to smell'
strod 'robbery'~*gestry:dan* 'to rob'
- b. *a:rweorð* 'honourable'~*gea:rwierðan* 'to honour'
basu 'purple'~*gebaswian* 'to stain red'
bla:c 'bright'~*geblæcan* 'to whiten'
clæ:ne 'clean'~*gecla:snian* 'to cleanse'
crumb 'crooked'~*gecrympan* 'to curl'
be:ab 'high'~*gebe:han* 'to raise'
- c. *erfian* 'to inherit'~*geierfian* 'to stock with cattle'
falsian 'to cleanse'~*gefæ:lsian* 'to pass through'
hweorfan 'to turn'~*gebwierfan* 'to overturn'
sadian 'to be sated'~*gese:dan* 'to satisfy'
- d. *ofer* 'over'~*geyferian* 'to exalt'
uppe 'up'~*geyppan* 'to bring out'

Before producing the evidence of *ge-* and zero derivation, it is necessary to make a terminological remark. For some authors (including Kastovsky 1968), what I have termed *the pure alternation* would constitute incontestable evidence of zero derivation. In order to maximize the difference between the pure and the mixed alternation, though, I have preferred a more restricted view of zero derivation, in terms of which this morphological process implies the presence of an explicit inflectional ending, as in *co:c* 'cook'~*geco:cnian* 'to season food'. Under less strict approaches to zero derivation, instances of the pure alternation *byrd* 'burde'~*gebyrd* 'burdened', would be included under this heading. In (25) there follow some instances of zero derived nouns, adjectives and verbs, respectively (note that *clibbor* and *clibs* are graded forms):

(25)

- a. *bæc* 'back'~*gebæcu* 'back part'
bregdan 'to move quickly'~*gebregdnes* 'quick movement'
clibbor 'clinging'~*geclibs* 'clamour'

- b. *wind* 'wind'~*gewinde* 'blowing'
wi:r 'wire'~*gewi:red* 'made of wire'
wyrms 'virus'~*gewyrmsed* 'purulent'
- c. *ambibt* 'officer'~*geambibtan* 'to minister'
co:c 'cook'~*geco:cnian* 'to season food'
coro:na 'crown'~*gecoro:nian* 'to crown'
fyxe 'vixen'~ *gefyxan* 'to trick'
gle:d 'glowing coal'~*gegle:dan* 'to make hot'
gleng 'ornament'~*geglengan* 'to set in order'
hi:w 'appearance'~*gebi:wian* 'to transform'
midlen 'middle'~*gemidlian* 'to divide'
wæ:d 'dress'~*gewæ:dian* 'to clothe'
wand 'fear'~*gewandian* 'to hesitate'
wanba:l 'unsound'~*gewanba:lian* 'to make weak'
wedd 'wed'~*geweddian* 'to engage'
weg 'way'~*gewegan* 'to fight'
wigle 'divination'~*wiglian* 'to take auspices'
wlenc 'wealth'~*gewlencan* 'to enrich'
wynsum 'winsome'~*gewynsummian* 'to rejoice'

Whereas zero derivation and the *ge*-alternation co-occur in a significant number of verbs (certainly more than nouns and verbs), it is interesting that affixation and the *ge*- alternation in verbs is restricted to these three instances only:

(26)

- a. *eftgian* 'to repeat'~*geeftgian* 'to restore'
b. *elðe:odgian* 'to live abroad'~*geelðe:odgian* 'to make strange'
c. *o:nettan* 'to hurry'~*geo:nettan* 'to get quickly'

The *ge*-alternation does not co-occur with affixation in nouns very often. The nominal affixes found in the mixed alternation, by order of frequency, are *-nes*, *-ung*, *-end*, *-en* and *-scipe*, as is shown, respectively, by (27a)-(27e). Note the graded forms *bre:san*~*gebry:sednes*:

(27)

- a. *bi:geng* 'practice'~*gebi:gednes* 'declension'
bre:san 'to bruise'~*gebry:sednes* 'bruising'
bund 'bundle'~*gebundennes* 'obligation'
cne:orism 'generation'~*gecne:orenes* 'generation'
gripe 'grip'~*gegripennes* 'seizing'
hielde 'slope'~*gehieldnes* 'observance'
styrenes 'power of motion'~*gestyrenes* 'tribulation'
- b. *tru:wa* 'fidelity'~*tru:wung* 'confidence'
- c. *edle:an* 'reward'~*geedle:anend* 'rewarder'
fre:o 'freedom'~*gefne:ogend* 'liberator'
ba:lig 'holy'~*geba:lgigend* 'sanctifier'
staðolian 'to fix'~*gestaðoliend* 'founder'
- d. *byrgan* 'to bury'~*gebyrgen* 'grave'
byrðen 'burden'~*gebyrðen* 'child'
- e. *broðorscipe* 'brotherliness'~*gebroðorscipe* 'brotherhood'

The adjective is the category in which the *ge*-alternation co-occurs with affixation most often. The suffix *-ed* clearly outnumbers the other four affixes (*-lic*, *-en*, *-ende*, and *-sum*). The only graded forms are *ni:edan*~*geny:denlic*:

(28)

- a. *beard* 'beard'~*gebearded* 'bearded'
cosp 'fetter'~*gecosped* 'fettered'
crog 'saffron'~*gecroged* 'saffron-hued'
dærst 'leaven'~*gedærsted* 'leavened'
enge 'narrow'~*geenged* 'troubled'
fe:re 'company'~*gefe:red* 'associated'
glo:f 'glove'~*geglo:fed* 'gloved'
hæ:re 'lock of hair'~*gehæ:redede* 'hairy'
befe 'weight'~*gebefed* 'weighed down'
hofer 'hump'~*gehoferod* 'humpbacked'
hu:s 'house'~*gehu:sed* 'furnished with a house'

- hylc* 'bend'~*gehylced* 'bent'
le:f 'feeble'~*gele:fed* 'weak'
leger 'bed'~*gelegered* 'confined to bed'
pi:l 'pointed object'~*gepi:led* 'spiked'
sle:fan 'to slip clothes on'~*gesle:fed* 'furnished with sleeves'
streng 'severe'~*gestrenged* 'formed'
targa 'shield'~*getarged* 'furnished with a shield'
weall 'wall'~*geweallod* 'walled'
winter 'year'~*gewintred* 'aged'
wi:r 'wire'~*gewi:red* 'made of wire'
wyrms 'virus'~*gewyrmsed* 'purulent'
- b. *bi:geng* 'practice'~*gebi:gendlic* 'inflectional'
hiede 'slope'~*gebi:edelic* 'safe'
ni:edan 'to compel'~*geni:ededlic* 'compulsory'
ni:edan 'to compel'~*geny:denlic* 'compulsory'
wrixl 'change'~*geurixlic* 'alternating'
- c. *fæder* 'father'~*gefæderen* 'born of the same father'
hamm 'enclosure'~*gehammen* 'patched'
lið 'fleet'~*geliðen* 'having travelled much'
- d. *cosp* 'fetter'~*gecospende* 'fettered'
- e. *beald* 'custody'~*gebealdsum* 'provident'

Along with the higher co-occurrence of adjectives and nouns derived by affixation with the *ge*-alternation, examples (26), (27) and (28) are also telling us that whereas the three instances of verbs in (26) are prefixal derivatives, the nouns and adjectives rendered, respectively, by examples (27) and (28) are suffixal derivatives. Another lesson that can be learned from examples (26)-(28) has to do with the affixes that do not co-occur with the *ge*-alternation. Considering verbal derivatives, the *ge*-alternation never co-occurs with the verbal prefixal quantifiers *ofer-* (as in *oferspercan* 'speak too much'); neither does it co-occur with the telic prefixes *for-*, *of-* and *to-* (as in *forcuman* 'destroy', *ofni:htan* 'to gore to death' and *tobla:wan* 'to blow to pieces'). The number of co-occurrences with other telic verbal affixes like *be-*, and *on-* (illustrated, respectively by *gebe:agian* 'to crown' and *geonli:cian* 'to make like') is extremely low. In this line, two-thirds of *ed*-prefixed verbs can take *ge-*, but the affix is associated with the telic meaning (as

in *geedbyrdan* 'to regenerate') rather than with the iterative one (as in *edreccan* 'to chew'). Tentatively, the meaning of verbal *ge-* will have to be found in areas near repeatedness and away from quantification. Regarding telicity, the evidence turned up by affix combination seems inconclusive. Although the aim of this paper is not to draw conclusions regarding the meaning of *ge-*, I concur with Lindemann's (1970: 63) statement that *ge-* conveys iterative *Aktionsart*. On the other hand, I diverge from Lindemann's (1970: 64) conclusions on the question of monosemy: even though the functions of verbal *ge-* could be reduced to a single descriptive label, I have noted the expression of nominal aspect in pairs like *ba:n* 'bone'~*geba:n* 'bones'.

6. CONCLUSION

I have established two aims for this research: to offer a descriptive account of the *ge-* alternation that goes beyond the bounds of an only category and to test the descriptive adequacy of the lexical database of Old English derivational morphology *Nerthus* on qualitative and quantitative grounds. To conclude, I report the contributions of my analysis in these respects.

Both quantitatively and qualitatively, *ge-* is the most widespread affix in Old English. On quantitative grounds, it can be affixed to nearly nine per cent of the predicates of the language. On qualitative grounds, it distributes over all lexical categories, except the Adposition. Considering the morphological processes in which it takes place, *ge-* partakes in recursive and non-recursive derivation, as well as in intra-categorical and inter-categorical derivation. Moreover, the *ge-* alternation co-occurs with *Ablaut*, zero derivation and affixation.

As regards the descriptive adequacy of *Nerthus*, several remarks are in point. By launching simple searches on *Nerthus*, I have been able to draw exhaustive evidence of *ge-* affixation and the mixed alternation, both with *Ablaut* and zero derivation. By launching combined searches on *Nerthus*, I have got exhaustive evidence of the mixed alternation with affixation, too. I have also gathered exhaustive evidence of the pure alternation by means of a simple search, although I have offered a sample only for reasons of space. The amount of qualitative and quantitative evidence of *ge-* drawn from *Nerthus* has much to do with the organisation of its fields: being a database of derivation, *Nerthus* has paid special attention to the affix *ge-*, given its frequency and distribution. All predicates are marked +*ge*, -*ge* or ±*ge*, which contributes to maximize the results of combined searches. At the same time, *Nerthus* requires more formalised meaning definitions of Old English lexical items so that ±*ge* predicates can be properly broken down.

Martín Arista and Martín de la Rosa (2006) and de la Cruz Cabanillas (fc) are contributions in this direction, but more research is needed in this area.

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SYNTACTIC VALENCE IN ROLE AND REFERENCE GRAMMAR¹

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ABSTRACT. *Transitivity has traditionally been equated with the number of syntactic arguments that a verb takes. However, Role and Reference Grammar (RRG) puts forward a new approach that defines transitivity in terms of macro-roles, leaving the notion of syntactic valence aside. It is perhaps for this reason that the notion of syntactic valence has not received sufficient attention in this framework, and, consequently, some inconsistencies have been identified in its definition. To mention only a few, there is no proper definition of the criteria that determine the notion of syntactic valence, and many of the grammatical processes that have some impact on it – the use of the passive voice and imperatives, the presence of argument-adjuncts, or the position of the arguments in the clause – are overlooked. Hence, in this paper I carry out a critical revision of the definition of syntactic valence and aim to set out some guidelines for a more accurate treatment of this notion within the RRG framework.*

1. INTRODUCTION

Transitivity has traditionally been equated with the number of syntactic arguments a verb takes. However, Role and Reference Grammar (henceforth RRG) puts forward a new approach that defines transitivity in terms of macro-roles, leaving the notion of syntactic valence aside. It is perhaps for this reason that the notion of syntactic valence has not received enough attention and some inconsistencies have been identified in its definition. To mention only a few, there is no proper definition

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of the criteria that define the notion of syntactic valence, and many of the grammatical processes that have some impact on it are overlooked by this theory. Hence, in this work I carry out a critical revision of the definition of syntactic valence and aim to set out some guidelines for a more accurate treatment of this notion.

This paper is part of a broader project that analyses *break* verbs and from which I have taken the corpus. The corpus analysed comprises approximately 1,100 examples of *break* verbs taken from the British National Corpus (BNC), in both their causative and inchoative versions. To be more precise, I have gathered a total of one hundred examples for each of the twelve verbs selected, picking out twenty random matches for each of the following POS (Part-of-speech) query patterns: *finite base forms*, *past tense forms*, *-ing forms*, *past participle forms*, and *-s forms*. The POS is just one of the seven query modalities offered by the BNC, and it searches the BNC for a word with a specific part of speech (POS) code or codes, thus allowing to narrow down my search to the desired patterns. Whether *break verbs* appear in a mono-clausal sentence or in a subordinate clause of a larger sentence, the only clause under analysis is the one that contains the *break* verb. This verbal class comprises the following verbs: *break*, *chip*, *crack*, *crash*, *crush*, *fracture*, *rip*, *shatter*, *smash*, *snap*, *splinter*, *split* and *tear* (Levin 1993: 241).

2. TRANSITIVITY AND SYNTACTIC VALENCE

RRG puts forward a new approach to the idea of transitivity that departs from the more traditional purely syntactic views. Van Valin and LaPolla (1997: 149) state that “the number of syntactic arguments alone does not correlate with transitivity” because if transitivity were to be defined according to the number of syntactic arguments of a verb, these should manifest consistent syntactic behaviour, which is not always the case. Example (1) illustrates this idea:

(1) Examples taken from Van Valin and LaPolla (1997: 148)

- a. Anna *ha mangiato* spaghetti per/*in cinque minuti (“Anna *ate* spaghetti for five minutes.”)
- b. Anna *ha mangiato* gli spaghetti *per/in cinque minuti (“Anna *ate* the spaghetti in five minutes.”)

As Van Valin and LaPolla (1997: 148-149) explain, these two examples seem to be transitive. However, only the second example can occur in a passive:

(2) Examples taken from Van Valin and LaPolla (1997: 149, my emphasis)

- a. Gli spaghetti *sono stati mangiati* da Anna in cinque minuti. (“The spaghetti *was eaten* by Anna in five minutes.”)

- b. *Spaghetti *sono stati mangiati* da Anna per cinque minuti. (“Spaghetti *was eaten* by Anna for five minutes.”)
- b’. **Sono stati mangiati* spaghetti da Anna per cinque minuti.

If transitivity were simply a matter of how many syntactic arguments a verb can take, the two-argument form of *mangiare* should manifest consistent behaviour. The same inconsistency is revealed by participial absolutes:

- (3) Examples taken from Van Valin and LaPolla (1997: 149, my emphasis)
- a. *Mangiati* gli spaghetti, uscirono. (“Having eaten the spaghetti, they went out.”)
- b. **Mangiati* spaghetti, uscirono. (“Having eaten spaghetti, they went out.”)

Despite having the same number of syntactic arguments, the constructions do not behave alike syntactically. Consequently, the number of syntactic arguments does not correlate with transitivity. Instead, the notion of transitivity must be built around that of semantic valence (i.e., those arguments which appear in the logical structure of the verb). To be more precise, transitivity will be defined according to the number of *macroroles* that the verb has, as this is a consistent criterion. In the example above the activity version of *mangiare* has only one macrorole, as *spaghetti* is non-referential. This means that *mangiare* is intransitive in that case, which is in keeping with the fact that it cannot passivize.²

3. SYNTACTIC AND SEMANTIC VALENCE

The term *valency* comes from chemistry, where it denotes the capacity of a chemical element to combine with a specific number of atoms of another element, and it was used for the first time within the linguistics field by Tesnière (1959) to denote the ability of words to attach to other words (Benešová 2005: 67). RRG distinguishes between syntactic and semantic valence.

The syntactic valence of a verb is the number of overt morpho-syntactically coded arguments it takes. One can talk about the semantic valence of the verb as well, where valence here refers to the number of semantic arguments that a particular verb can take. (Van Valin and LaPolla 1997: 147)

2. See Van Valin and LaPolla (1997: 149-150), and Butler (2003) for further detail.

In dealing with these two notions, Van Valin and LaPolla (1997) use the term *argument* to designate semantic arguments, as is common in many European linguistic theories, while they reserve the label *core argument* to designate syntactic arguments. As the authors explain, “these two notions need not coincide” (1997: 147). Thus, in a sentence like “It is raining,” the semantic valence is 0, as the verb *to rain* has no semantic arguments; nonetheless, all English clauses must have a subject; hence, its syntactic valence is 1 (Van Valin and LaPolla 1997: 147).

4. SYNTACTIC VALENCE

So far, the notion of syntactic valence may seem to be well defined. However, the corpus has brought to my attention a number of special cases in which the syntactic valence of the verb changes due to certain grammatical processes. The passive is one of them, but it differs from the others – imperatives and clauses with implicit subject (or gapping) – in a significant way: whereas the passive may have an overt argument which does not count for the syntactic valence of the verb because of its adjunct condition, the imperatives and clauses with implicit subject (see (4) below for illustration) have an argument which is not overtly expressed in the syntax.³

(4) Imperatives and clauses with implicit subject.

- a. <hit text="A73" n="102"> ‘*Break* it up,’ said the club wit. (Imperative clause)
- b. <hit text="KGL" n="68"> So then *break* that down, you are talking at least ten pounds a call aren’t we? (Imperative clause)
- c. <hit text="BM6" n="522">The plane touched down, bounced up again, slewed sideways and skidded along the runway, *breaking* up as it did so; the port wing broke off and the rest of the plane turned over on top of it. (Clause with omitted or implicit subject)
- d. <hit text="ATE" n="3264"> Except perhaps, another New Zealander, Professor Ernest Rutherford, who, at Manchester University, succeeded in *splitting* the atom and in the process started off a chain of events that would be even more shattering than that set off by two shots. (Clause with omitted or implicit subject)

3. Van Valin and LaPolla (1997: 291) treat the *by-phrase* of passive sentences and adjuncts as peripheral. Thus, for a sentence like ‘Sally was surprised by Mary’ they put forward the following clause structure: [CL [C Sally [N was surprised]] [Pby Mary]].

- e. <hit text=AEA n=360> She took two pills from a bottle by the bed on which she had thrown herself and *crushed* them between the pages of Mansfield Park. (Clause with coordinated or implicit subject)
- f. <hit text=AHU n=1572> Over the past two years, Adams has suffered compressed vertebrae, a broken right leg, *fractured* two ribs and punctured a lung, received two black eyes, a dislocated shoulder, and more recently he smashed his left knee. (Clause with coordinated or implicit subject)

In all cases, the subject can be derived from the context. Thus, in the imperatives (4.a.) and (4.b.), the subject is *you*, whereas in the clauses with omitted or implicit subject (4.c.) and (4.d.) the subjects are *the plane* and *another New Zealander*, *Professor Ernest Rutherford*, respectively, and in the clauses with coordinated or implicit subject (4.e.) and (4.f.) the subjects are *she* and *Adams*, respectively.⁴

This phenomenon of omission can only be explicated around the notion of *pivot*: Van Valin and LaPolla (1997) reject the universality of the grammatical notions *subject* and *object* and suggest that grammatical (syntactic) relations must be defined in terms of restricted neutralizations of semantic roles for syntactic purposes.⁵ The argument that bears the privileged grammatical function is referred to as *pivot*, and it is construction-specific. In English, the omitted argument in imperatives and participial clauses is the pivot of those constructions, since there is a restricted neutralization with respect to the omitted NP. In other words, both the actor and undergoer arguments can be omitted or matrix-coded.⁶ This is illustrated in (5):

(5) Examples taken from Van Valin and LaPolla (1997: 264)

- a. The student watched TV while *eating* pizza.
- b. The student looked out the window while *being questioned* by the police.

As can be seen in the examples, the missing NP in participial clauses is always interpreted as subject, no matter whether it is actor or undergoer, although in

4. It could be argued that imperatives have no subject but simply an implicit agent. However, the fact that a tag with *you* can be added supports my view. I thank one of the anonymous reviewers for this idea.

5. See Chapter 6 in Van Valin and LaPolla (1997) for a full account of grammatical relations in the RRG theory.

6. Van Valin and LaPolla (1997: 561) describe two types of matrix-coding constructions: raising to subject (as illustrated in (11.f) below), and raising to object, as in *John believes me to have written that letter*.

English it is necessary to use a passive construction for the latter to be the pivot of the construction.

Going back to the question of the syntactic valence, and in line with the imperatives, the two subordinate clauses in (5.a) and (5.b) will have a syntactic valence of 0, for although the missing element is the pivot and can therefore be easily identified, it is not overtly expressed in the syntax. Thus, the syntactic valence of the examples in (4) is as follows:

(6)

- a. <hit text="A73" n="102"> 'Break it up,' ... (syntactic valence: 1)
- b. <hit text="KGL" n="68"> So then *break* that down, (syntactic valence: 1)
- c. <hit text="BM6" n="522"> ..., *breaking up* as it did so; ... (syntactic valence: 0)
- d. <hit text="FB3" n="1132"> ... succeeded in *splitting* the atom, ... (syntactic valence: 1)
- e. <hit text="AEA" n="360"> ... and *crushed* them between ... (syntactic valence: 1)
- f. <hit text="AHU" n="1572"> ... a broken right leg, *fractured* two ribs and (syntactic valence: 1)

Summing up, the syntactic valence of imperative clauses and clauses with implicit subject is 1 for causative constructions and 0 for the inchoative version of the alternation.

As regards passive constructions, no matter whether the agent is overtly expressed in the syntax or not, the syntactic valence is reduced by 1 with regard to their active counterpart. Thus, in both (7.a) and (7.b) the syntactic valence is 1, even if the effector is present in (7.a) –*erosion*– and omitted in (7.b):

(7)

- a. <hit text="A6T" n="272"> The whole place is a shambles of falling rock, soft shaly rock, slaty rock; everything *has been split* apart by erosion.
- b. <hit text="AMB" n="2604"> The cage was now a few feet off the ground and the noise, which sounded like metal *being torn* apart, was almost deafening.

Besides the three phenomena that I have just discussed, there are other factors that play a part in the definition of syntactic valence. One of them is the use of a preposition to introduce the argument(s) of the predicate. Van Valin and LaPolla (1997) and Van Valin (2005) distinguish three types of arguments: direct, oblique, and argument-adjunct. They are illustrated in (8).

(8) Argument types

- a. Direct arguments: *Javier* has already read *that book*.
- b. Oblique core arguments: Ana sent the package *to Eli* by snail mail.
- c. Argument-adjunct: Laura ran *to the bus stop*.

Direct arguments are those which are morphologically unmarked or not introduced by a preposition (see (8.a) for illustration); in principle, they count for both the semantic and the syntactic valence. Oblique core arguments, by contrast, are marked by a non-predicative preposition in English (see (8.b) above), and they can occur in the core without a preposition (Ana sent the package *to Eli* by snail mail / Ana sent *Eli* the package by snail mail). Hence they also count for both the semantic and syntactic valence. Argument-adjuncts are marked by a predicative preposition and cannot occur without it in the core. In this respect, they differ from oblique core arguments, which have the possibility of appearing in the core as direct arguments. Although at first sight they might resemble prepositional adjuncts, they differ from the latter in that they introduce an argument into the core and they either share an argument with the main predicate or they play a part in the logical structure of the verb, as shown in (9). Argument-adjuncts also differ from oblique core arguments in that their preposition is predicative by contrast to that of oblique arguments such as *to Mary*. This implies that in the case of argument-adjunct prepositions the meaning of the argument is not derived from the logical structure (LS) of the verb.

(9) LS with argument-adjunct:

Ana put the book on the shelf: [**do'** (Ana, Ø)] CAUSE [BECOME be-on'(shelf, book)]

As a result, the presence of an argument-adjunct will change both the semantic and syntactic valence in [+1], although I suggest that the latter be counted separately because, as Van Valin and LaPolla themselves acknowledge, the status of argument-adjuncts as arguments is not 100% clear. In fact, one of the main problems with argument-adjuncts is that they are difficult to identify.

Another interesting question brought up by some examples of the corpus which influences syntactic valence is the position in which certain arguments appear. RRG analyses the clause structure as consisting of three layers: clause, core and periphery. Additionally, syntactic positions like the *precore slot* and the *postcore slot* are distinguished. The precore slot [PrCS] occurs clause-internally but core-externally, and it is the position in which question words appear in English. This has certain implications for syntactic valence. Van Valin and LaPolla (1997: 146) define the syntactic valence of a verb as “the number of overt morphosyntactically coded arguments it takes;” however, they do not specify where. What is unclear here is whether they mean the number of overt arguments in the core or also in the pre- and postcore positions, that is, whether question words are syntactic arguments of the verb. That leads us to the fundamental question: what criteria define the syntactic valence of a verb? Van Valin and LaPolla (1997) and Van Valin (2005) do not provide a fixed set of criteria for that. Nonetheless, putting together the information spread throughout their work, the following can be concluded:

1. Syntactic arguments can be either direct or oblique.
2. Syntactic arguments other than the subject must be liable to be passivized.
3. Syntactic arguments must be overtly expressed in the syntax. This leaves out of the analysis the pivots of imperative clauses and of those with omitted subjects or objects even if they are recoverable from the context.
4. Syntactic arguments do not occur in the periphery.

The question now boils down to whether those arguments which are expressed in the precore (or postcore) position count for the syntactic valence of the verb or not. RRG only leaves out explicitly those arguments which appear in the periphery like the by-phrase effector of passive clauses. Given that question words can be semantic arguments of the verb and that they are non-peripheral, it follows that they should be regarded as part of the syntactic valence of the verb. Thus, the syntactic valence of example (10) is 1 [+ 1 argument-adjunct]:

(10) <hit text=EA6 n=1045> “What withstands the blow is good; what *smashes* to smithereens is rubbish.”

These questions sorted out, the analysis has provided some interesting data which deserve some comment. In the first place, Van Valin and LaPolla (1997) and Van Valin (2005) agree that all *simple* English clauses must have subjects. Thus, a verb like *rain* with no semantic arguments has nonetheless a syntactic valence of 1 (Van Valin and LaPolla 1997: 147). I emphasize the word *simple* because the

analysis has brought forward many cases in which the syntactic valence was 0 (see (11) below). What might at first seem ungrammatical finds an explanation in the fact that most of them are clauses which are part of complex sentences whose subject overtly appears in another clause, as shown in (11.a) and (11.b). In these examples, the subjects of *cracking* and *crash* are not overtly expressed in the corresponding clause; however, they can be easily identified in one of the previous clauses in the same sentences. In the case of (11.a), the subject is *bars*, and in (11.b), *him*. The only exception to Van Valin and LaPolla's statement would be intransitive imperative clauses such as "Run!", but no similar case has been found in the corpus under analysis.

(11) Examples taken from the corpus with syntactic valence 0.

- a. <hit text=A0L n=3271> And Jay was pacing her attic, bars tightening and *cracking* around a heart that would not stop hurting; she could not lay her body down though it screamed for rest and knots of fury made her neck and shoulders a steely hunch like a vulture.
- b. <hit text=C85 n=274> In alarm she glanced back at Samson and saw him hit out wildly, lose his balance and *crash* back, knocking down the men behind like a row of ninepins.
- c. <hit text=A16 n=786> They are generally thicker and harder-fired than wall tiles, to enable them to stand up to heavy wear without *cracking*.
- d. <hit text=CU0 n=1185> As he delivered the first ball of his third over on that fateful sunny afternoon, his left knee split apart, *fracturing* in two.
- e. <hit text=EDN n=1506> This was more interesting than *being snapped* and given a card.
- f. <hit text=AJ3 n=608> BROKEN mast, broken rudder and broken boom — everything *seems to have snapped* in Japans maiden Americas Cup challenge during the past 11 months except the team's spirit.

Notice that, apart from the clauses with implicit subjects discussed at the beginning of this section, there are also examples of clauses with raised subject, as in (11.f), and passive constructions with omitted subject, as in (11.e).

Given that in this work I am only analysing the clauses – not sentences – whose predicates contain a *break* verb, and taking into account that only those arguments which are overtly expressed in the syntax are regarded as part of the syntactic valence of the verb, it is not illogical to define the syntactic valence of verbs such as those in (11) as 0.

Another interesting issue relates to the lack of correlation between the semantic and the syntactic valence of the verb. As Van Valin (2005: 8) explains, core arguments are related to the arguments in the semantic representation of the verb. However, there are many cases, not only in English but also in other languages, in which such correlation does not hold. That is the case of the dummy *it* in *it is snowing*, which occurs in the core but is not a semantic argument of *snow* (Van Valin 2005: 8). Thus, although the syntactic valence of a verb is semantically motivated, there is no absolute correlation between them. Van Valin and LaPolla (1997: 147) illustrate the non-identity of semantic and syntactic valence in the following table:

	Semantic valence	Syntactic valence
rain	0	1
die	1	1
eat	2	1 or 2
put	3	3 or 2

Table 1. *Non-identity of semantic and syntactic valence (taken from Van Valin and LaPolla 1997: 147).*

Except for *rain*, all the verbs in the table have a syntactic valence of equal or lower value than the semantic valence. However, in the analysis I have found one example which points to the opposite:

(12) <hit text="CEK" n="339">It *broke* my heart to see that little face and big eyes.⁷

While the semantic valence of *break* in this example is 2, the syntactic valence is 3: *it*, *my heart*, and *to see that little face and big eyes*.⁷ Hence here we have one more example of the non-identity of semantic and syntactic valence which had not been pointed out before.

7. It must be noted that not all analysts would agree that the subject in (12) is both *It* and *to see that little face and big eyes*, though. Quirk et al (1985: 1391) say that *It* and *to see that little face and big eyes* are two constituents which form part of the same subject; more precisely, anticipatory subject + postponed subject. On the other hand, Huddleston (1984: 66-68) shows that there is good evidence for taking *it* as the subject. Thus, this point might need further discussion. I thank one of the anonymous reviewers for this idea.

I would like to finish this paper by remarking that the majority of prototypical examples of *break* verbs – that is to say, those whose meaning implies a pure change of state (Levin 1993) – have a syntactic value of 1 in the case of inchoative constructions and 2 in their causative versions. These results only undergo variation when the example is a passive construction, in which case the syntactic valence is reduced by 1, and when there is some argument-adjunct although, as I have said above, the latter are counted separately because their status as arguments is not completely clear.

5. SUMMARY AND CONCLUSIONS

In this paper I have tried to offer an accurate account of syntactic valence within the RRG theory. First, I have carried out a critical revision of this notion, pointing out how certain grammatical processes such as the use of passives, imperatives, and clauses with implicit subjects (or gapping) affect the definition of syntactic valence. Very briefly, the syntactic valence of imperative clauses and clauses with implicit subject is 1 for causative constructions and 0 for the inchoative version of the alternation. As regards passive constructions, no matter whether the agent is overtly expressed in the syntax or not, the syntactic valence is reduced by 1 with regard to their active counterpart. The occurrence of an argument-adjunct will change both the semantic and syntactic valence in [+1]. This is summarised in the table below:

	<i>Basic syntactic valence</i>	<i>+Argument-adjunct</i>	<i>Passive</i>	<i>Imperatives and clauses with implicit subject</i>
<i>Inchoative clause</i>	1	(+1) ⁸	1	-1
<i>Causative clause</i>	2	(+1)	-1	-1

Table 2. *Syntactic valence of prototypical examples.*

With this information in mind, I have proposed the following criteria for a precise definition of syntactic valence:

8. I use brackets because this argument is added to the already existing syntactic valence of the verb, but separately. For example, when an argument-adjunct is added to a predicate of basic syntactic valence 1, the resulting syntactic valence is 1 (+ 1).

1. Syntactic arguments can be either direct or oblique.
2. Syntactic arguments other than the subject must be liable to be passivized.
3. Syntactic arguments must be overtly expressed in the syntax. This leaves out of the analysis the pivots of imperative clauses and of those with omitted subjects or objects even if they are recoverable from the context.
4. Syntactic arguments do not occur in the periphery.

To these, two more criteria can be added now:

5. Question words, which appear in the pre-core slot position, are also to be regarded as part of the syntactic valence of the verb.
6. The valence of clauses with raised subject and passive constructions with omitted subject is reduced by 1 with regard to their non-raised and active counterparts, respectively.

To round off, in this paper I have carried out a critical revision of the definition of syntactic valence within the RRG theory and I have set out some guidelines for a more accurate treatment of this notion, focusing on the main grammatical processes that have determined it.

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WYNDHAM LEWIS AND THE MEANINGS OF SPAIN

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ABSTRACT. *Wyndham Lewis (1882-1957) visited Spain at least five times. The impact of these visits on his work was very significant. His novel *The Revenge for Love* (1937) is partly set in Spain, and is an important political novel of the 1930s; his painting *The Siege of Barcelona* (1936-37) is a significant statement about Spanish history and the Civil War. Less happy is the polemical essay *Count Your Dead: They are Alive!* (1937), which takes sides against the legitimate government. (He changed his mind the following year.) This discussion is based on themes apparent in Lewis's understanding of Spain: his experience at the centre and on the margins; his overcoming of well-known clichés about Spain; his grasp of the importance of Spanish Anarchism; his recognition of the gaze or mirada as an element in life; and a final discussion of *The Siege of Barcelona* – which after 1939 was renamed *The Surrender of Barcelona*. That significant change indicates the seriousness of Lewis's understanding of Spain.*

1. MADRID, VIGO: CENTRE AND PERIPHERY

It is a characteristic of Wyndham Lewis's representation of himself in his autobiographies that certain matters of importance receive less attention than they deserve. About his visits to Spain in 1903 and 1908 he has exactly nothing to say in *Rude Assignment*, the narrative of his career published in 1950, but it is not unreasonable to infer from this silence that his experience there was far more significant to his intellectual development than he was ready to admit. Lewis was capable of generating a great deal of meaning from very limited experience, and this is what he does with Spain. Spain affects both his art and his writing from the beginning to the very end of his career. There is the early period, with Spanish themes appearing in both the fiction and the art between 1910 and 1914; there

are revisions in the early- and mid-1920s, there are new developments in the 1930s, centring upon the Spanish Civil War, the pre-Civil War novel *The Revenge for Love* (1937), and the painting *The Surrender of Barcelona* (1936-7?); and Spain makes a last, ghostly, appearance in Lewis's final work of fiction, "Twentieth Century Palette", the strange, incoherent and semi-realized work, probably from 1955, and written less than two years before his death in 1957.

Lewis visited Spain at least five times. The first visits were in 1903 and 1908. His next was in September 1926, when – according to Jeffrey Meyers, who offers no sources – he was “detained by martial law for three days while travelling in Spain at the time of the unsuccessful artillery revolt against Primo de Rivera in September 1926” (Meyers 1980: 131). Nothing more is known about this incident. In 1931 he arrived in Alicante by sea from Marseille on his way to Morocco, where to his regret he failed to reach the Spanish-run Rio de Oro (Lewis 1932: ix). In July 1934 he visited the French Pyrénées for a holiday after illness, and may have made his way to Puigcerda, which is mentioned in his novel of Spain, *The Revenge for Love* of 1937 (Meyers 1980: 221). He visited Barcelona, but it is not known exactly when.

Of these visits, the two earliest were the more important, because they were formative. The first was to the centre, Madrid, and his second to Vigo, at the decentred margins. In late August 1903 he travelled with the painter Spencer Gore to Madrid, where they stayed until mid- or late October. He was aged twenty, it was his first time abroad without his mother, and the two young artists stayed at a *pensión* run by an Englishwoman. They sketched from the model (paying three *pesetas* for three hours), and explored the Prado, where Lewis admired and copied the work of Goya. Apart from hiring artists' materials, Lewis and Gore seem to have engaged very little with the daily life of the city; and Lewis wrote to his mother: “We go to bed at 10 and get up at 8 without the least variety, and spend no money outside, as there's nothing worth spending it on” (O'Keeffe 2000: 46). On his second visit, alone, in May and June 1908, Lewis entered Spain from southwest France, along the line from Bayonne, Biarritz and Hendaye, travelling by train through the Basque country to San Sebastián and then down to León and across to Vigo, just north of the Portuguese border. This visit was more sociable than the earlier one to Madrid, for it was in Vigo (probably) that Lewis contracted the gonorrhoea that was to plague him for many years. His biographer Paul O'Keeffe points out that after his return to Brittany in June, all Lewis's sexual relations were with Spanish women, and relates his discovery that on the back of a letter from the painter Augustus John he has written out all the conjugations of

the Spanish verb to love, *amar* (86-87). Altogether, Lewis probably spent some fifteen to twenty weeks in Spain.

These are the years of what Lewis called his “cryptic immaturity” (Lewis 1982: 126), years of reflection without issue in writing or painting that took him to the age of twenty-seven before his first story, set in France, was published in 1909. In 1910 his fifth publication, “A Spanish Household”, appeared in the June-July number of *The Tramp: An Open Air Magazine*, marking the entry of Spain into Lewis’s work. Immature as he probably was, Lewis did notice that Galicia was distinctive, and also that the centre had contempt for the margins. This Galician guesthouse is curiously full of contemptuous *Madrileños*:

The natives of this country are treated by the Spaniards as the Bretons are by the French. Because of their strange dialect, a mixture of Portuguese and Spanish, their shrewdness and boorishness, they are the laughing-stock of their Castilian neighbours. (Lewis 1982: 264)

This may be a Spanish household in Vigo, but the inhabitants of Madrid are, it appears to Lewis, the true Spaniards. This is observational travel-writing, but the sentence preceding these has the psychological acuity of fiction. The servant La Flora enacts the classic defence of the marginalised: “when the Castilian boarders made fun of her speech she would let her mouth hang still more, and her eyes would become leaden with pretended stupidity to please them and as a form of coquetry” (264). The political structure of Spain was then, and remains, an issue between the regions and the centre. When Lewis writes of the Gallegos’ relation to the centre (and the Bretons’ to their “French” centre), he sets up a simplified version of what will become an enduring theme of his work, a recognition of the conflict between the centre and the periphery. In the 1920s this will become politicised as a recognition that the most important legacy of late nineteenth century political theory was the contest between decentralist anarchism and centralising Marxism. In the 1930s this structure becomes vulgarised when he mistakes fascism for a decentralism that will permit the artist to work in peace. Later his political thinking takes the form of an internationalism which will enclose the decentralised entity, best summarised in a formulation of the 1940s which Marshall McLuhan took from him, and which is still used today – the global village.

2. SPAIN AS CLICHÉ

Lewis’s interpretation of Spain characteristically begins in cliché and ends in enigma. The clichés appear in three early stories, written between 1909 and 1911, and develop into something else; the greatest enigma of all occurs in the painting

the *Siege of Barcelona*, completed in 1937. In the 1920s Spain is made the location of a key moment in Lewis's development of the theory of the eye. In the 1930s, Spain is the site of his most complex and subtle political novel, *The Revenge for Love* (1937), whilst the Spanish Civil War is the occasion for some of his more dismaying political interventions, particularly in the 1937 polemic *Count Your Dead – They are Alive!* Yet in 1950 Lewis traces his origins as painter and writer back only to Brittany and Paris, leaving Spain to be listed with Holland and Germany as a less important “elsewhere” (Lewis 1984: 121).

The three early stories are “Crossing the Frontier”, probably written in 1909 but not published until twenty years after Lewis's death, “A Spanish Household”, published in 1910, and “A Soldier of Humour”, in existence by 1911, though not published until 1917. All three show that Lewis's interpretation of Spain was as important to his early formation – if not more important – as his experiences in France.

The story “Crossing the Frontier” sets up what later becomes a familiar trope, the frontier encountered and sometimes, but not always, crossed. In that story, the speaker, arriving from France, gets as far as San Sebastián. In *The Revenge for Love* Margot and Victor do not make it far across the Pyrenees into Spain before falling off a cliff. In “Twentieth Century Palette” there is a chapter in which San Sebastián is the objective of travel, but is not reached. In this story of the life of the twentieth-century artist Evelyn Parke, Parke and his family are holidaying in Biarritz during the early 1950s, and it is on the road into Spain that a terrible accident occurs, taking from Parke his wife Madeleine and three of his children. The chapter is extravagantly entitled “Holocaust”. As the British Consul from the imaginary Porthez puts it: “Well, it was a station wagon loaded with luggage, and conducted by several big fat [S]paniards. [...] For the heavy station wagon your car was the merest matchwood” (Lewis [1955]: 246). If Madeleine and the children did not quite make it into Spain in around 1950, in the much earlier story Lewis's alter ego in “Crossing the Frontier” certainly does so, and once there showed a notable affection for several “big fat Spaniards.” His San Sebastián landlord “was a fat, energetic little man from Valladolid”. As for the pronunciation of Valladolid – always a problem for English speakers – that joke turns up again in *The Revenge for Love* some twenty-five years later. On this earlier occasion the name of the city of the landlord's birth “came out of his mouth like the rapid twanging of the deepest chords of a cello. All his fat seemed to vibrate dully with the sound” (Lewis 1982: 205).

Lewis's fondness for clichés about the Spanish is all too apparent. In “Crossing the Frontier” we are told that “The Spaniard is very proud” (205). In “A Spanish Household” we read that “Don Ramiro was a typical Spaniard; with a fat white

skin and disordered black hair" (260). In the first version of "Bestre" (1909) we learn that Bestre himself "is an enormously degenerate Spaniard" because "all the virilities of the Spanish character" (232) have decayed in the atmosphere of France, where he now lives. There is in Bestre an overview of what "Spanish" means: "A survival of certain characteristics of race, that I recognised as Spanish, is particularly curious in Bestre" (232). Another racial characteristic is that "Spaniards are always trying to master each other by the magnetism of their glance" (232). But perhaps the most serious outbreak of clichés concerning Spain occurs at the beginning of the short story "A Soldier of Humour". We read:

Spain is an overflow of sombreness. "Africa commences at the Pyrenees". Spain is a checkboard of Black and Goth, on which primitive gallic chivalry played its most brilliant games. At the gates of Spain the landscape gradually becomes historic with Roland. His fame dies as difficultly as the flourish of the cor de chasse [hunting horn]. It lives like a superfine antelope in the gorges of the Pyrenees, becoming more and more ethereal and gentle. Charlemagne moves Knights and Queens beneath that tree; there is something eternal and rembrandtesque about his proceedings. A stormy and threatening tide of history meets you at the frontier. (Lewis 1982: 17)

"Spain is..." suggests that Spain is already known and can be epitomised. The phrase "Africa commences at the Pyrenees" is placed between quotation marks; so that cliché can be recognised as cliché, and Lewis uses the worn language of others to legitimise his own emerging narrative of Spain.

Spain here is an invaded place, for it is *Gallic* chivalry that worked itself out, in a kind of game of chess, upon this troubled landscape. Behind this lies the high-cultural cliché of regard for Charlemagne and the *Chanson de Roland*. Yet, in a phrase that is not cliché, "the landscape gradually becomes historic with Roland". This begins to explain what Roland is doing here; for the reference, we realize, is divided between the mythical and the historical. This passage is about the eleventh century epic in which Roland, commander of the rearguard during Charlemagne's invasion of Spain in order to fight Islam in 778, was killed by the Saracens at Ronscevalles in the Pyrenees. We are told more than once in the *Chanson* that Rollanz (as he is here) turns towards Spain when he dies:

The count Rollanz, beneath a pine he sits,
Turning his eyes towards Spain (*Song of Roland* 1919, 2375-6)

– this because he has helped to conquer Spain. He looks because he owns what he looks at.

What Lewis seems to mean by saying that the landscape becomes historic with Roland is that to enter Spain is to enter a state of mind, to have an idea of Spain whose constituents are at first predominantly mythical, so that the myth of the *Chanson* descends to “the ethereal and the gentle” until it disappears and is replaced by a “tide of history” conceived as a vast game of chess played out upon the peninsula. Charlemagne’s supposed seven-year campaign is predictive of all those other Peninsular campaigns that a bellicose Europe was to inflict upon Spain in a history of invasion that for Lewis has acquired the dark lighting and human dignity of a Rembrandt portrait, until at the beginning of the twentieth century he himself – unarguably real – crosses the frontier into a country that is itself at last historical and real. But its reality does not lie in its past, for that was tragic; this is an invasion by a one-man army, the Soldier of Humour named Ker-Orr, the Lewis-surrogate who is not a man of violence, but a laughing pseudo-barbarian, and a pastiche of the medieval adventurer because he brings with him a specifically modern ability, the knowledge of how to conduct a psychological battle (here, against an invasive Frenchman who pretends to be an American). In this brief opening paragraph we have moved rapidly from cliché to enigma. Lewis is *using* cliché; he is not subject to it.

But cliché is not abandoned. The story into which Ker-Orr enters is a cliché of typicality, for he says that “The comedy I took part in was a spanish [*sic*] one, then, at once piquant and elemental” (19): these are Spanish characteristics, evidently. Yet the hero of it is a Frenchman, the Frenchman who wanted people to believe he was an American, and who – confronted in a prepared encounter with Ker-Orr’s American friends – undergoes a psychological defeat at the hands of this untypically ungentlemanly Englishman. The psychological defeat has physical consequences: “My enemy pulled himself together as though the different parts of his body all wanted to leap away in different directions, and he found it all he could do to prevent such disintegration”. The content of that defeat is M. de Valmore’s discovery that he is no more than what he always was, a Frenchman from the Midi: “His racial instinct was undergoing the severest revolution it had yet known” (45). Yet since this is a comedy, and not the tragedy that M. de Valmore wishes it to be, this is not about anything we would now call “race”. It is a comedy enacted in Spain by an Englishman who recruits three Americans to help him break up the pretensions of a Frenchman to United States citizenship. Here “racial instinct” means the attributes (mostly clichéd) of a particular country, and Lewis, as author, participates gleefully in all of them. As Pound remarked, in these pre-war years Lewis was not simply an Englishman but “is a collection of races”. Quoting this remark, Paul Edwards (2000:194) comments that Pound presumably got the idea from Lewis himself.

That Lewis might have been, amongst other things, Spanish, brings the discussion to Augustus John's 1905 portrait of Lewis, where he is represented as an inhabitant of the peninsula (Jenkins and Stephens 2004: 91). The clichés that this portrait provoked are quoted in the catalogue of the recent *Gwen John and Augustus John* show at Tate Britain, where Osbert Sitwell is reported as speaking of Lewis's "lean Spanish elegance", and of the "Castilian dignity" (81) of the portrait. Presumably Castilians are dignified, just as all Spaniards are proud. The placing of the eyes here is intended to represent Lewis as a visionary, his bohemian identity allowing John to work outside the decorum of fashionable portraiture, according to the Tate catalogue, so that "far-sightedness, originality and imagination" (81) are suggested. This begs the question of why a Spanish identity should have been chosen at all. "Being Spanish" is presumably included among the "collection of races" that Lewis may have thought himself to be. But it is nevertheless a chosen identity, participating in the same loose romanticism that is to be found in Augustus John's interest in Romany life. It looks backwards in that respect, and Lewis was to condemn both Romany and the inevitable linking of Spain to bullfighting – which is another cliché – when in 1914 he blasted 'GYPSY KINGS and ESPADAS' in the first *Blast* (Lewis 1981: 19). To feel the need to appropriate an identity from those available within the culture suggests an essential psychic instability; but it also shows that it is possible to take a playful "let's try this" attitude towards what the culture makes available. John's painting is an effort to overcome the "cryptic immaturity" of his subject by making him appear "typically Spanish", to rescue him from emptiness by turning him into a cliché.

3. SPAIN AND ANARCHISM

I shall return now to the story "Crossing the Frontier" as an introduction to politics in Lewis's writing. It is usual to say, with Lewis himself, that he became political as a result of the First World War, and this is true in a very substantial sense, for his reading of Marx and Proudhon during and after that war was a transformative moment. However, there are traces of an earlier politics, in which Lewis shows a consistent interest in anarchism. Anarchist theory had reached Spain by the end of the nineteenth century, as the thinking of Pierre-Joseph Proudhon was mediated in the work of Pi y Margall and many others. By the early years of the twentieth century, this theory of decentralism and syndicalism had inspired a substantial political movement amongst working people, particularly in Catalonia, but also in those other parts of Spain that did not wish to be subject to central control from Madrid. Anarchism also provided a critique of hierarchical

structures in politics and employment, as well as the arguments that encouraged activists to act locally, for example in the drive against illiteracy.

In “Crossing the Frontier” the young Spanish man whom the narrator meets on the train appears to be an anarchist, and not only because he does not have a train ticket. It is the record of their conversation that suggests so. Lewis writes: “This young man spoke with the deliberate and argumentative intonation of his race”. There is the cliché. The enigma follows: “But besides mannerisms that were essentially national, he had an air of dazed resignation and a sort of self-restraint that seemed weighing on him –a lump in his throat that made speech difficult and his gestures rather languid”. In these respects he is untypical of the stereotype from which Lewis so characteristically begins. The movement away from cliché is swift; after gesture, speech:

We discussed the details of the country we were passing through and the “Ley del [de] Terrorismo” that Señor Maura had just sprung on his countrymen. He told me that if this law were passed the whole country would be in revolt the following day. (Lewis 1982: 203)

This sounds like an anarchist speaking, and not just because of the prediction of revolt, though that is part of my diagnosis. The “Ley de Terrorismo” was proposed by the conservative government of Antonio Maura in January 1908, and it was directed specifically against Anarchists (cf. Lewis 1978: [iii]). It proposed that the authorities should be able to close anarchist centres and newspapers, and deport anarchists. This was put forward because the courts were finding it difficult to prosecute offenders in the increasingly frequent anarchist disorders, but the law itself was not actually passed. Liberal opponents of the government ensured that it failed to get through the *Cortes*. We know that Lewis left Paris for Spain at the end of April or the very beginning of May 1908, and it is entirely plausible that he could have had such a conversation about the Terrorism Law a few months after Maura’s government had proposed it, on 24 January that year.

I do not want to press too hard on this conversation, given the likelihood that Lewis’s “immaturity” at this time would have meant that he had a limited understanding of politics, but this proposed law was not about actual crimes, rather about breaking up organizations, preventing free speech, and exiling politically active people. It was to be tied to an earlier law directed against violent crimes in which explosives were used; in this way political ideas and violence were to be linked, and mutually criminalised. No doubt this is what lay behind the young man’s belief that the country would revolt if the law were passed. Whether the young Lewis recognised that the “Ley de Terrorismo” attempted to erase the distinction

between action and ideas, we do not know. He certainly reached significant conclusions about their necessary separation when after the First World War he wrote that “Truth has no place in action” (Lewis 1969 [1971]:105). Although Lewis suppressed his Spanish experience in his late autobiography, he does not suppress the term “anarchist” when he speaks in *Rude Assignment* of “The bums, alcoholic fishermen, penniless students (generally Russians) who might have come out of the pages of [Dostoevsky’s] ‘The Possessed’, for long my favourite company”, for these were “an anarchist material” (Lewis 1984: 125). Significantly, Lewis immediately chooses to say that “the ringmaster of this circus” of anarchist materials is Ker-Orr, that protagonist of “A Soldier of Humour” who believed he was taking part in a specifically Spanish comedy. When Lewis is off his guard, Spain and anarchism converge in significant ways.

4. THE SPANISH GAZE

In this alternation between images and words, let me now return to the question of the gaze. I have already quoted Lewis as saying, in cliché mode, that “Spaniards are always trying to master each other by the magnetism of their glance”. The great exemplar of this is Bestre, and the story bearing his name was so important to Lewis that he published it three times. The most substantial revision takes place between printings one and two: between the 1909 version and the revision published in *The Tyro* in 1922, and repeated, with minor revisions in the 1927 version. In 1909 the narrator says that

A Spanish *caballero* had an extravagant belief in the compelling quality of his eye, of his glance: he would choose to shrivel up a subordinate, daunt a rival, coerce a wavering adherent, rather by this dumb show than by words. (Lewis 1982: 232)

By 1927 this is compellingly revised:

The Grandee’s eye is terrible, and at his best is he not speechless with pride? Eyes, eyes: for defiance, for shrivelling subordinates, for courtesy, for love. A “spanish eye” might be used as we say, “Toledo blade”. There, anyway, is my argument; I place on the one side Bestre’s eye: on the other I isolate the Iberian eye. Bestre’s grandfather, we know, was a Castilian. (Lewis 1927: 83)

There is both cliché and ingenuity here, for force is implied by aligning the Spanish eye with Toledo steel (another cliché). The eye, then, is Bestre’s chosen weapon in his battles and campaigns against his enemies in Kermanac. His eye has great power: “The Eye was really Bestre’s weapon [...] Excrement as well as

sputum would be shot from this luminous hole [...] Every resource of metonymy, bloody mind transfusion or irony were also his" (83). He is the complete satirist, and he owes it to his Spanish origins. In Spain, our narrator explains, the eye is particularly developed, for otherwise the Spanish could scarcely get through life at all. For example, "The spanish beauty imprisoned behind her casement can only roll her eyes at her lover in the street below" (83). So it is that "Bestre in his kitchen, behind his casement, was unconsciously employing this gift from his semi-arabian past" (83). Notice too the non-clichéd development, that it is the *female* attributes of the *mirada*, or glance, that Bestre has inherited. A crucial concept in Lewis – the critical eye – originates in his persistent re-imagining of a cliché about Spain.

5. "AN ANARCHIST AT BOTTOM" – AND A CHANGE OF MIND

I have already indicated that the postwar Lewis of the 1920s set up an opposition between centralising Marxism and decentralising anarchist theory. In *The Revenge for Love*, Lewis's novel of the pre-Civil War years which so many readers think is about the Civil War itself, we find a version of this conflict. The novel's political protagonist, the Communist Percy Hardcaster, is in hospital with the argumentative Virgilio, a Basque from Bilbao – again northern Spain, again a national grouping – whose politics are such that Percy eventually tells him that he is "at bottom" an anarchist:

"You are an Anarchist at bottom, Virgilio", said Percy at last in a palpably lame counter-attack. "That is what you are. It is the old, old Spanish difficulty – you can never get away from it. The Spaniard spoils his socialism with his anarchism". (Lewis 1991: 58)

It is a magnificent generalisation, and one by which Lewis makes comedy out of the differences between Communists and Anarchists that so significantly destabilised the Republican side during the subsequent Civil War. There is less of the eye in this novel than one would expect, but there is a reason for that. *The Revenge for Love* is about what is false, what is not quite right, what is faked or forged, whether paintings or politics. The eye, in Lewis's version of it, has the power to find out the truth, and there are no truths in this novel to be discovered. When the wounded Percy looks up from the ground, "right eye uppermost", at Don Alvaro, who has just shot him in the leg as he tries to escape, "he saw what he had never seen before. He saw that this man was *false*. His moustache was stuck on...!" (50). Falsity is the only truth to be discovered here.

In *Count Your Dead*, Lewis engages ironically with the Spanish Civil War in a commentary so painful to read that I have difficulty in discussing it. The book is the supposed “thoughts” of a London clubman called Launcelot Nidwit, who is presented as the Fool who speaks Truth. In fact he speaks in the clichés appropriate to his character, and never transcends or sufficiently alters them, as Lewis was able (at his best) to alter so many others. It is only at the very end of the book that he utters a plea against the world war which, from the vantage-point of 1937, he sees is coming:

I can see all the dead, each body with its group of mourners. I would like to say to these bereaved and helpless masses now...*Count your dead!* I would take each one aside and shout: *They are alive!* Can't you see that they are not dead *yet* – though people are preparing to butcher them in millions. (Lewis 1937: 358)

But this moving conclusion does not justify what goes before. It is as if Lewis knows what is going on, but cannot permit himself believe it. At one point he asks: “Do the British Government secretly desire a Franco victory?” (56), which of course the government did, and not so secretly either: but Lewis writes that Stanley Baldwin and Anthony Eden “have in fact gone in with Communism, in order that Communism should protect them against Fascism” (58). Lewis – or Nidwit, it hardly matters – cannot even accept the legitimacy of the elected Republican government in Spain (113). These contortions are made necessary by Lewis’s need to show that every kind of politics – democratic, fascist, communist is finally a racket “having for guiding principle the philosophy of Force” (354). The only bearable thing about this book is that within a year of publishing it, Lewis had comprehensively changed his mind about the equal status that he here attributes to democracy and fascism.

6. THE SIEGE OF BARCELONA

I come finally to the visual representation of Spain in the late 1930s in a remarkable painting, first entitled *The Siege of Barcelona*, and later – after the fall of Barcelona in January 1939 – *The Surrender of Barcelona* (Michel pl. IV, [37]; MP61). This painting was not initially about contemporary Spain. Lewis said of it: “I set out to paint a Fourteenth Century [i.e., fifteenth-century] scene as I should do it could I be transported there, without too great a change in the time adjustment involved” (Lewis 1984: 140). Following upon Richard Humphrey’s identification of Lewis’s source as being William H. Prescott’s *History of the Reign of Ferdinand and Isabella the Catholic*, first published in 1837, there has been agreement that the painting should be read with a double focus, in that it is about

both the Spanish Civil War of 1936-39 and the siege of Barcelona in 1472, when the city was starved into submission and entered by the troops of John II of Aragón. Barcelona surrendered again in January 1939; whereupon Lewis changed the title of his painting from *Siege* to *Surrender*. As Paul Edwards (1998: 150) writes, Lewis's understanding was that "what is happening now in Europe and in Spain has happened before". Andrew Causey (1998: 157) concurs, arguing that consequently "the canvas should be seen as allegorical".

The work is by no means easy to interpret. It is certainly enigmatic, but it is also indeterminate, perhaps purposively so, and Causey's remark that the painting "creates mosaics of form that give different areas of the picture their own distinctness, denying naturalism" (158) is a valuable guide. One such mosaic area is at the mid-lower right, where the rear part of a horse, with its armoured rider, can be seen about to disappear behind a banner. Prescott (n.d.[1837]: 77) quotes a contemporary source as saying that the king "made his entrance into the city by the gate of St. Antony, mounted on a white charger". One does not have to insist too much upon direct parallels to see this as a representation of power, or its effects, as are other parts of the mosaic: the hanged man in the centre, the frieze of soldiers in the foreground, the soldiers infiltrating the streets. By the time the work is retitled in 1939 Lewis has changed his political position with regard to the Republican side in the Civil War. He writes in *Wyndham Lewis the Artist: From 'Blast' to Burlington House* that now "the Catalan sun sets – in human blood, alas! As Barcelona falls, and the phalangist standard is unfurled there, we can all see that it is the end of a chapter – of painting, among other things". By that last remark Lewis means that no more Spanish painters, such as Picasso, Dalí or Miró would travel to Paris to radicalise European art: "There will be no more Catalan painters, to act as hormones to the old Paris *cocotte*" (Michel and Fox 1969 [1971]: 307).

Andrew Causey (1998: 169) has argued that the painting is an allegory of power, "an orderly picture expressing the calm imposition of order", and emblematic in complex ways. He shows too that Lewis may have represented himself seated at an easel at the centre of the central tower, and stresses the symbolic significance of the many banners and circular devices. Indeed, the work is so visually complex that "orderly" does not seem quite right. There is so much going on, and so much that is enigmatic, or resistant to interpretation, that the picture can create in the mind of the observer a sense of interpretative anxiety. I can perhaps add to this anxiety by proposing that the scene is calm because it shows the peculiar atmosphere that arises the day after the fall of a city. It shows neither a siege, nor a surrender.

The *Surrender of Barcelona* is Lewis's first substantial reference to eastern Spain, and to Catalunya in particular (though there are passing remarks in the

political books of the period). During the Civil War, if you wanted to go to the occupied rebel areas, you took the route thorough Biarritz and Hendaye to San Sebastián and then south to Burgos and Salamanca; but if you wanted to volunteer, for example, to join the Republican forces, then you entered at the western end of the Pyrénées, passing through Perpignan and Port Bou, and then south to Barcelona. Lewis has arrived, at last, on the politically and artistically significant *other side* of Spain. He has in fact arrived in *radical* Spain, in the Catalunya that is radical in culture, politics and art: the Spain of Picasso, Dalí and Miró, indeed of Spanish anarchism. It is a question of neither Madrid nor Vigo, but of a decentred radicalism. This brings me back to the structural device shaping the present discussion. *The Surrender of Barcelona* has none of the attributes of cliché, that is very obvious; nor can it be attached unequivocally to Lewis's bad politics of the 1930s. This painting resists interpretation, and gains its interest and its force from being thoroughly enigmatic.

7. CONCLUSION

Out of five brief visits to Spain as a young man, Lewis generated some of the most important of his strategies of painting and writing. It was the first place in which he was an outsider, forced to be objective, whether isolated with Spencer Gore in Madrid, or alone and learning to socialize in Vigo. Lewis's detachment originated here, in the kitchen at Doña Elvira's in the Calle Real, watching La Flora striking her mouth in dismay at the arrest of a young man who may or may not have been an anarchist. This was a kind of political initiation, to which reading the work of Pierre-Joseph Proudhon would later add substance. France and its culture was finally more important than Spain, but Spain came first: Lewis never forgot the Goya he encountered in Madrid in 1903, and later *Los Desastres de la Guerra* played a part in legitimating the post-war pacifism which caused him to try to take a "detached" or impartial view of German right-wing politics in the 1930s, thereby provoking a typically convoluted disaster of his own. In his writing, Lewis begins with cliché, but somehow transmutes the cheap assumptions of thoughtless nationalism into something complex and challenging, as he does in "A Soldier of Humour". I have characterized the outcome of some of Lewis's strategies, in writing and in painting, as *enigmatic*, thereby seeming to risk a cliché of my own. It is perhaps necessary to insist that I do not myself find Spain in the twentieth century (or indeed in the twenty-first) to be in any way enigmatic. I am saying that Lewis found it so, and that the more indeterminate and puzzling he represented it as being, the better truth he was telling.

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ENGLISH STUDIES: A NOTE ON THE BIRTH AND USES OF THE TERM

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ABSTRACT. *The need to adapt the current Spanish degree in English Philology to meet the requirements of the European Union has recently materialised in a growing conviction among scholars that the change of contents and format of the degree itself should be accompanied by a change of title, from “English Philology” to “English Studies”. This move justifies the present attempt to briefly recall some of the main lines of discussion involved in the birth and uses of the term in Britain and abroad.*

In the last forty years or so, the number of academic books and essays devoted to the analysis of the birth of English Studies has been not only too numerous to be mentioned but also widely divergent in their accounts of the phenomenon. Characteristically, early books written by British scholars, like D. J. Palmer’s path-breaking study, *The Rise of English Studies: An Account of the Study of English Language and Literature from its Origins to the Making of the Oxford English School*, published in 1965, present English Studies as a British phenomenon closely associated with the Universities of Oxford and Cambridge. According to Palmer (1965: vii-viii), the foundation of the Oxford School in 1893 was a decisive challenge to the long supremacy of classical studies, whose methods and principles they adopted “to secure the advent of English studies as a fully-developed branch of humane learning”. The School of English at Cambridge was subsequently founded in 1917.

In an essay entitled “Englishness and English Studies”, Balz Engler (2000a: 341) comments on the foundation of these schools and suggests that the difference in dates had important consequences, since “the type of English

introduced at Oxford and Cambridge were strikingly different from each other, one characterised by its traditionally heavier emphasis on medieval literature, the other by its emphasis on literature as a both [sic] moral and life-giving force". At Oxford the teaching of English heavily relied on "the philological method for which nineteenth-century German scholarship was rightly famous, [while at] Cambridge nationalist rhetoric played an important role in the foundation of the School of English" (342). According to Engler, this difference in aim and approach to English Studies at Oxford and Cambridge evinces the increasing importance of the notion of nationality during and after the First World War, a difference that is documented in the influential *Newbolt Report on The Teaching of English in England* of 1921 and continued in F. R. Leavis's attempt to establish the canon of English literature in *The Great Tradition* (1948).

Engler's paper forms part of a collection of essays edited by Balz Engler and Renate Haas, entitled *European English Studies: Contributions towards the History of a Discipline* (2000).¹ All essays in this book may be said to be aimed at challenging Palmer's narrow account, providing evidence for the importance of the European contribution to the rise and spread of English Studies in the world.

In the dustjacket of *The Rise of English Studies* (1965), Palmer's publisher summarises the subject of the book in the following terms:

The study of English literature began humbly as a kind of poor man's Classics, made popular by Victorian missionaries of culture, and its status as a university subject has always been controversial.

The publisher's remarks are significant in the assumptions he makes. He cuts down the book's subtitle, substituting "the study of literature" for "the study of language and literature", presents the rise of English Studies as a university phenomenon, and endorses the author's view that English Studies originated in England.

Even if we provisionally accept the equation of "English Studies" and "English Literature", the definition of "English" remains problematic. Thus, for example, in his contribution to the debate on the definition of English literature launched by *Literature Matters* (the newsletter of the British Council's Literature Department) in 1991, Antony Easthope (1991: 6) points to the existence of a well-established tradition of English national culture characterised by empiricism and objectivity, and represented by "the line from Hobbes to Locke and Hume". However, he immediately admits that, although,

1. See Onega (2002: 260-262).

at the Renaissance, England did emerge as a particular nation state with a specific national culture, [...] in general, Englishness has been hidden by Empire. While the English felt they were called on to rule a third of the world, their sense of their own identity got lost in the claims that God was an Englishman.

Easthope's contention that the definition of Englishness has always been hidden by the Empire is ironised on and contested by Alan Riach in a subsequent issue of the same newsletter, where he contends that Easthope's assertions are vague and betray unexamined assumptions, one of which is contradicted by the fact that "Hume, of course, was not English at all, but [...] irredeemably Scottish". As Riach (1993: 6) further notes:

Following the Treaty of Union of 1707, many Scottish writers set about inventing a British idiom, preserving the national characteristics in aspic, subjecting them to nostalgia, or pruning them remorselessly. This process can only be understood adequately in the wider context of the project of "empire", and not in any purely "literary" way. Such an understanding acknowledges the cultural distinctions between nations and how these can be submerged or oppressed.

Alan Riach's contention that English literature is in fact a Scottish invention echoes Robert Crawford's full-length studies *Devolving English Literature* (1992) and *The Scottish Invention of English Literature* (1998), while his insistence that the definition of English Studies is politically and ideologically charged and has to be analysed in the wider context of the project of "Empire", undermines the assumption that the rise of English Studies is exclusively a university phenomenon, implicitly suggesting that its origins are more varied and should be analysed within the frame of multicultural studies. From a multicultural perspective, the traditional outlook on the rise of English Studies of which D. J. Palmer's book is emblematic becomes totally inadequate, as can be seen from the wealth of new terms coined in the last decades as an alternative to "English literature". Charles Sarvan (1991: 6) points to the most commonly used when he reflects: "Commonwealth literature? Literatures in English? Post-colonial literature? Anglophone literature? New Literatures in English? These labels are unsatisfactory [...] and the search for a suitable signifier continues".

This type of terminological instability constantly crops up in academic discussions of English literature, sometimes even unconsciously. Thus, for example, although Anthony Easthope's already mentioned paper is entitled "What is English about English Literature?", the paper itself is not aimed at establishing the Englishness of the English literary canon, but rather "the tradition of English national *culture*" (Easthope 1991: 6), a move that transforms English Literature

into an umbrella term allowing for the inclusion within it of popular literature as well as of cultural, film and media studies.

The problem of defining English literature is further complicated by the multicultural outlook on the concept of nationality. Thus, for example, when the poet Robert Crawford is asked to answer Kate Bostock's (1992: 4) question: "What constitutes Scottish writing apart from the fact that Scottish writers live in Scotland?", he willingly admits that "there isn't a monolithic entity called 'Scottish writing.' Scottish writing as far as I'm concerned historically for the last few centuries has been very clearly multicultural and multilinguistic".

In a spirited article published in *The European English Messenger* in 1996, Keith Battarbee (1996: 60) analyses Colin McCabe's attempt to "deconstruct" the term "English Studies" and to substitute it with "British Studies". He regards it as an example of "a constantly recurrent conceptual angst" caused by the conviction of "the problematic nature of 'British Studies' [and] reflected in the terminological instability between the older 'British Life & Institutions' (BLI), 'civilisation' and 'Landeskunde,' or the contemporary battery of 'Cultural Studies,' 'British (Cultural) Studies,' etc". Battarbee's (61) explanation for this conceptual angst is that British Studies "suffers from having two distinct and not always compatible origins":

Outside the UK, British Studies has for the most part emerged in the context of modern-language departments, alongside other anglophone Area Studies programs. [...] Within the domestic British context, however, the parenthood of British Studies is quite different. It has been closely associated with "Cultural Studies" [...]. The intellectual roots here go back not to a Continental-style English Philology, but through Leavis to Arnold: a highly moral contemplation of the English navel by means of the English novel. [...] The domestic model thus leans towards critical introspection; the overseas one, towards empirical description.

Simplifying a great deal, we could say, therefore, that one basic difference between the rise of English Studies in Britain and abroad has been the ancillary nature of English language with regard to English literature and culture in English Departments in the UK. To this should be added the fluctuations of the political and social situation in each individual country, which, according to critics outside the UK, have been and continue to be decisive in the shaping of English Studies in the world. As Krystyna Kujawinska-Courtney (2000: 61) puts it in her contribution to *European English Studies: Contributions towards the History of a Discipline*: "Each educational system is a reflection of a certain political, social, economic and cultural situation, and its practices seem to reflect the endorsement of or conflict with the prevailing ideology of the time".

In the introduction to the same volume, Balz Engler (2000b: 2-3) widens the dichotomy established by Keith Batterbee when he contends that the British outlook on English Studies is also the rule in other English-speaking countries, where

“English” refers exclusively to the study of literature(s), not only English, but also American, Scottish, Welsh, Irish, Australian, New Zealand, Black British, and (as the euphemism goes) emerging ones. This may increasingly be complemented by aspects of cultural studies. Elsewhere, literature and linguistics are both integral parts of “English” and, as this tends to be the case where English is a foreign language, applied linguistics and language learning will, to different degrees, belong to it as well.

As Engler (6) further notes, “in most European countries English as a university discipline was introduced because there was a need for academic professionals, especially school teachers at the upper level, [...] English was therefore heavily dependent on the school system it served, which is organised differently in different countries”.

A simple perusal of the papers about the rise of English Studies in specific European countries included in *European English Studies* would show how decisive the historical, political and linguistic factors have been in the rise of English Studies there. Thus, for example, as Martin A. Kayman (2000: 15) points out, the centuries-long political and commercial alliances between England and Portugal would explain the keen interest the Portuguese have always had for English language and culture. Likewise, the beginning of the tradition of studying English alongside with German at university level is closely linked to the political alliance between Portugal and Britain made on the eve of the First World War. By contrast, as Tomás Monterrey (2000: 34, 37) explains, the influence of French culture on Spanish intellectual life delayed the rise of English Studies in Spain until the opening up of Franco’s regime in the 1950s and 1960s and is related to the establishment of the British Council in Madrid and the signing of the Economic and Military Agreement with the United States in 1952. To these external influences might be added an internal one, the creation of the first “Official School of Languages” in Madrid (first called “Central School of Languages”) in the nineteen sixties with the aim of training Spaniards in modern European languages for commercial and practical purposes, including the government plans to transform Spain into a paradise for foreign tourists. Still, as Balz Engler (2000b: 8) notes, it was the United States that played an increasingly relevant role in the rise of English Studies in Europe “in the wake of the two World Wars, a symbolical moment being Wilson’s insistence on the Treaty of Versailles being in English.

Especially after World War II, and in the Cold War this influence became persuasive, and also led to the establishment of new English departments (as, for example, in Spain)". Or, we may add, in France, where, according to Imelda Bonet-Elliott (2000: 75), "American Studies became more widespread as America emerged as a world power".

In the case of eastern countries behind the Iron Curtain, the ideological and political components in the rise of English Studies was even more prominent. The establishment of university degrees in English were heavily financed by institutions like the UNESCO or the British Council, originally called the "British Committee for Relations with Other Countries", formed in November 1934 with the support of the Foreign Office (Kayman 2000: 17). Needless to say, the survival of these degrees was wholly determined by the twists and turns of international affairs and of political upheavals beyond the control of the academia, whose members might at times run the risk of ostracism and imprisonment (Kujawinska-Courtney 2000: 161-181).

As the collection of essays shows, the historical, political and linguistic factors contributing to the rise of English Studies in each of the fifteen European countries under discussion were very varied and of unequal importance. A similar variety of external factors may be said to have conditioned the rise of English Studies in English-speaking countries belonging to the Commonwealth, like India, New Zealand or Australia. However, in these countries, unlike the European countries mentioned above, the basic determining factor in the rise of English Studies was, as Gauri Viswanathan (in Engler 2000a: 339-340) points out with reference to India, "the imperial mission of educating and civilising colonial subjects in the literature and thought of England. [...] the teaching of English literature was introduced to correct the negative view of the English created by the behaviour of the colonial masters".

A striking phenomenon that invariably accompanies the imperialist mission is the attempt to achieve linguistic globalization, what John E. Joseph (1999: 51-71), following C. K. Ogden, calls "Debabelization", that is, the materialization of the western dream of creating an artificial common language with which to undo the effects of God's punishment of humankind at Babel.

As John E. Joseph (1999: 54-56) notes, from the Renaissance onwards this idea has been a constant in western linguistic thought, reaching a climax in the nineteenth and early twentieth centuries, when the notion of creating a Universal Language was seriously entertained by linguists such as Johann Martin Schleyer (1831-1912), Otto Jespersen (1860-1943) and Edward Sapir (1884-1939). Another was C. K. Ogden (1888-1957), who was fascinated by the possibility of "the continuous approximation of East and West, as a result of the analytic character

of Chinese and English” (Joseph 1999: 61). In a series of articles published between 1927 and 1930, Ogden contended that the best way to achieve “linguistic internationalization” or “Debabelization” was not by the creation of an artificial language, but by “a ‘simplified universal English’ to be devised through vocabulary reduction” (Joseph 1999: 57). With the help of Ivor Armstrong Richards, he founded the Orthological Institute in 1927 and worked on the creation of “Basic English”. In 1932, he succeeded in obtaining support from the Payne Fund of New York, supplemented the following year by the Rockefeller Foundation, to sponsor research programmes for the “Debabelization” of Japan and China. He established a branch of the Orthological Institute in Beijing in order to develop the teaching of Basic English in China, which he did with the support of the Chinese government, using new technologies like the radio. The parallel programme in Japan, which would have been complete in 1942, was interrupted in 1938 by the Japanese invasion of China and, definitively cancelled in 1941, by the full-scale entry of Japan into world war (Joseph 1999: 61).

After World War II “the Basic English Foundation had to contend with lack of support and even outright hostility [... as] the British Council moved steadily toward a unified policy that ‘natural’ English was altogether preferable to Basic for teaching purposes” (63-64). By then, however, English was well on its way to becoming the second language of the East, in addition to its development in the United States, Canada, and Australasia.

As Joseph (64) further notes, of the 30 languages now at the head of the list, English has first place among the eight which are used by more than 50,000,000 people, the others being Chinese, Russian, French, Japanese, German, Spanish and Bengali. According to Joseph (65), a strong motivating force for the Chinese government to support the efforts to spread Basic English in China was their own lack of a standard spoken Chinese, so that “Basic English might serve as a shared language for Chinese from north to south as well as facilitating their contact and exchange with the rest of the world”. This perspective, which would also be applicable to countries like India, completes and nuances the imperialist explanation for the rise of English Studies in the Far East, and by extension in other non-English speaking countries which have felt the need to incorporate English Studies into their curriculum, for it should not be forgotten that, as C. K. Ogden (in Joseph 2000: 62) himself notes,

Neither those who learn English nor those who teach it as a foreign language have in general any feeling that they are submitting to or furthering a process of intellectual subjugation. On the contrary, they are more likely to feel that they are helping themselves or others to resist such influences.

Surely, for all the victimist discourse of narrow nationalism, many non-native speakers of English would be ready to endorse this view. If the traditional account of the rise of English Studies in the world has to be corrected, then, it is here, perhaps, that we should apply the correction, for, in addition to the contribution to the rise of English Studies made by English universities, on the one hand, and the effect of the British and US imperialist policy of cultural expansion and linguistic globalization, on the other, the total picture would also necessarily include the willingly active role played in the past by non-English speaking countries in the rise and spread of English Studies in the world. Needless to say, the convergence of university degrees in all Departments of English of the European Union, with its demand that we participate in the reconfiguration and updating of English Studies, will offer us an unparalleled opportunity to round off this aim.

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BRIDGE-URI, ROUTER-E ȘI SWITCH-URI. ON ROMANIAN COMPUTER LANGUAGE

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ABSTRACT. *The influence of English upon Romanian, which is not a new phenomenon, has become extensive in recent years. Words of English origin can be found, in greater or smaller numbers, in absolutely all Romanian newspapers and magazines, in advertisements, they can be heard on TV, can be seen as shop names or used in graffiti. The paper analyses terms that have been borrowed from English in the Romanian computer language. The data discussed have been collected from three issues, belonging to three different years, selected at random, of a Romanian computer magazine. One can easily notice that the rate of Anglicisms does not decrease with time, that some terms are totally unadapted and felt to be 'foreignisms', while others display various degrees of morphological adaptation.*

1. INTRODUCTION

The technological achievements in the field of computers or of the Internet have led to an extensive borrowing of English technical terms into Romanian. They are, in decreasing order of their frequency, nouns, adjectives and verbs. While the phenomenon is understandable, as the new words most often fill in lexical gaps, its results are sometimes difficult to digest; a sentence like *V-ar plăcea să drag'n'drop un print-job dintr-un spool în altul* ("would you like to drag'n'drop a print-job from one spool to another"), found in a Romanian specialized computer magazine (*Chip, Computer Magazin*, 5/1999: 98), may baffle the layman.

The data discussed in the paper were collected from three issues, belonging to three different years, selected at random, of the above mentioned computer magazine (5/1999, 6/2000, 6/2002). When reading them, one can easily notice that the number of Anglicisms used does not decrease with time. It seems that some readers find this rather annoying: in one of the issues (2000: 108), someone requires the inclusion of a glossary of IT terms in the magazine, which would facilitate its reading. The editors comply: explanations are given for some of the borrowed words, for acronyms or for translation loans, but they sometimes contain further (unknown) borrowed words: e.g. **domeniul de coliziune** - *parte a rețelei LAN mărginită de bridge-uri, router-e sau switch-uri*. (“domain of collision - a part of a LAN network bordered by bridges, routers or switches.”).

2. UNMARKED WORDS

Many of the borrowed words are unmarked, their formal structure not undergoing any orthographical or morphological change, e.g.: *Printre uneltele și opțiunile noi se numără preemptive multitasking* (“among the new tools and options one can find preemptive multitasking”) (2002: 68); *a fost folosit și fog enabled* (“fog enabled was also used”) (2000: 42).

The unmarked words are usually attributes in post-position; these are frequently governed by a preposition (most often *de*; however, other prepositions are also possible), for example:

- *arhitectura blade* (“the blade architecture”) (2002: 18); *soluții dial-up* (“dial-up solutions”) (2002: 10); *soluții hardware* (“hardware solutions”) (2002: 28); *asemănătoare sistemelor desktop* (“similar to the desktop systems”) (2002: 18); *folosirea drag & drop la authoring* (“the use of drag & drop for authoring”) (2002: 85); *tehnologia point-to-point* (“the point-to-point technology”) (2000: 14); *apelați la metoda trial-and-error* (“use the trial-and-error method”) (2002: 109);
- *posibilitățile de authoring* (“the possibilities of authoring”) (2002: 84); *procesul de back-up* (“the back-up process”) (2002: 86); *protecție contra erorilor de buffer* (“protection against buffer errors”) (2002: 52); *o listă de “to do”* (“a list of to do’s”) (1999: 66); *modalitatea de multitasking* (“the method/possibility of multitasking”) (2002: 68);
- *un târg pentru end-user* (“a fair for the end-user”) (2002: 24).

The borrowed words may have other syntactic functions as well, being preceded by various other prepositions. Thus they may be:

- adverbials of manner: e.g. *securitatea sistemului este asigurată prin firewall* (“the security of the system is ensured by firewall”) (2002: 22); *o folosiți ca webcam* (“you use it as webcam”) (2002: 48);
- adverbials of place: *Chipset-ul KT333 vine întotdeauna cu ATA133 direct în southbridge* (“the chipset KT333 always comes with ATA133 directly in the southbridge”) (2002: 50);
- adverbials of relation: *O ultimă considerație referitoare la test-bed* (“a last thought concerning the test-bed”) (2002: 39);
- prepositionals objects: *Posibilitatea specificării unui nivel de importanță pentru fiecare thread* (“the possibility of specifying a level of importance for each thread”) (2002: 86).

Sometimes the borrowed (unmodified) words are placed between inverted commas, which suggests that they are regarded as foreignisms: e.g. *versiuni de “add-in card”* (“versions of ‘add-in card’”) (2002: 36); *segmentul aparatelor “point and shoot”* (“the segment of the ‘point and shoot’ machines”) (2002: 30); *o listă de “to do”* (“a list of ‘to do’s’”) (1999: 66). The majority, however, are used without inverted commas, as if they were part of everyday vocabulary.

3. DEGREES OF ADAPTATION

Quite a great number of borrowed words display various degrees of adaptation to the Romanian language, being marked, directly or indirectly, in some way.

3.1. NOUNS

Very often, while the borrowed word remains superficially unchanged, some of its grammatical categories are revealed by the word preceding and/or following it. There are also frequent cases when the English nouns are incorporated into a specific inflectional class, undergoing changes specific to that class.

3.1.1. *Context and grammatical gender, number, and case*

The English nouns may be determined by Romanian demonstrative adjectives, ordinal numerals with an adjectival value, indefinite articles, or they may be modified by adjectives, which are all suggestive of the gender of the borrowed item, because in Romanian their form varies according to gender, and, except for the ordinal numeral, also according to number and case. Sometimes a borrowed noun takes both a determiner (usually an article) and a modifier that indicate its gender and number.

These determiners and (pre-)modifiers often seem to agree in form with the borrowed noun that they accompany by taking into account its ending. In Romanian, most masculine and neutre nouns end in a consonant (which is sometimes palatalized); most inanimate nouns belong to the neutre gender, while most animate nouns are masculine. Since, in my corpus, many of the borrowed nouns end in a consonant or consonant letter and are inanimate, they are treated as belonging to the neutre gender; only when they denote human beings are they interpreted as masculine.

Here are several examples that illustrate this statement:

- demonstrative adjectives: *acest splashscreen* (2002: 93); *acest tool* (2002:110); *acest drive* (2002: 58); *acest mainboard* (2002:50); *cu ajutorul acestui tool* (“with the help of this tool”) (2002: 78). *Acest*, “this”, is the masculine/neutre form of the singular; *acestui* is its genitive case, singular;
- ordinal numerals: *al doilea cooler* (2002: 112); *al doilea patch* (2000: 10).

Al doilea, “the second”, is the form for the masculine or neutre gender;

- indefinite articles: *un bracket cooler* (2002: 46); *să promoveze un brand* (“to promote a brand”) (2002: 4); *un chipset cu performanțe mari* (“a chipset with great performances”) (2002: 60); *există și un self-timer* (“there is also a self-timer”) (2002: 56); *rezultatul unui authoring de slabă calitate* (“the result of a poor quality authoring”) (2002: 76); *eficiența unui cooler* (“the efficiency of a cooler”) (2002: 46); *prezența unui termal pad* (“the presence of a thermal pad”) (2002: 43). *Un* is the indefinite article, singular, for the masculine/neutre, and *unui* is its form for the singular, genitive case;
- adjectives: *authoring-wizard simplu* (“a simple authoring-wizard”) (2002: 85); *singurul jumper* (“the only jumper”) (2000: 49); *copierea întregului kit* (“copying the whole kit”) (2002: 86); *un software bundle bogat* (“a rich software bundle”) (2002: 39); *un bonus secundar* (“a secondary bundle”) (2002: 64); *un mic download* (“a small download”) (2002: 102). Romanian adjectives are variable in form, having the categories of gender, number, and case; usually, in the singular number, masculine and neutre adjectives end in a consonant or in *u*, and the feminine ones in schwa or in *e*; they may take a definite article, which has the categories of gender, number and case, and is enclitic (*-l* for the masculine/neutre, singular, nominative and accusative, and *-lui* for the same gender and number, genitive and dative). In the examples above, *simplu* is the masculine/neutre, nominative/accusative form of the adjective, *singurul* has the masculine/neutre definite article, *întregului* is the masculine/neutre articulated form in the genitive case. In the

other three examples, the borrowed noun has both a determiner (an indefinite article) and a modifier (an adjective ending in a consonant). It is assumed that the form of the adjectives points to the appurtenance of the nouns they modify to the neutre gender; as already stated, this assumption is also supported by the fact that these nouns are inanimate.

In my corpus there are two instances when the gender of the borrowed noun is suggested by the gender of some other noun in the context:

Un chirurg, care arată mai mult a gamer (“a surgeon, who looks more like a gamer”) (2000: 32); *Fabricantul (să-i zic vendor...)* (“the producer, I should call him a vendor”) (2002: 4); both *chirurg* and *fabricant* are masculine, animate nouns, therefore *gamer* and *vendor* are regarded as masculine nouns as well.

3.1.2. Inflected nouns used with the zero article

3.1.2.1. A great number of borrowed nouns (with a zero inflection in the singular) are used with a Romanian plural, non-articulated ending in *-uri* or *-e* for the *neutre gender*; in most of the cases, the former is separated from the noun by a hyphen (however, there are also instances when no hyphen is employed), while the latter seems to be preferred for words ending in the letter *-r* and is usually attached directly to the noun, with no hyphen:

e.g. – *brand-uri internaționale* (“international brands”) (2002: 24); *aceste chipset-uri sunt ieftine* (“these chipsets are cheap”) (2002: 60); *lansează de multe ori update-uri, (patch-uri)* (“it often launches updates (patches)”) (2002: 110); *utilizatorii de notebook-uri* (“the notebook users”) (2002: 10); *pot fi integrate și switch-uri* (“switches may also be integrated”) (2002: 18); *utilizați tool-uri precum Spam Killer* (“use tools such as Spam Killer”) (2002: 80); *doar bărbații adevărați au fab-uri* (“only real men have fabs”) (2002: 8);

– *două sloturi pentru memorie* (“two memory slots”) (2002: 55); *modemuri DSL* (“DSL modems”) (2002: 28); *reverburi dense* (“dense reverb”) (2002: 62);

– *acest set de coolere* (“this set of coolers”) (2002: 46); *peste 12.000 de drivere* (“over 12,000 drivers”) (2002: 68); *primele playere* (“the first players”) (2002: 69); *wafer-e de 300 mm* (“300 mm wafers”) (2002: 32).

3.1.2.2. The plural non-articulated inflection for *masculine nouns* is *-i*: e.g., *o întâlnire cu partenerii săi din industrie (dealeri și vendori)* (“a meeting with his partners in the industry (dealers and vendors)”) (2002: 20); *vândute la end useri* (“sold to end-users”) (2002: 20); *mii de cracker-i* (“thousands of crackers”) (2000:

89); *mai mulți user-i* (“several users”) (2000: 57); *nu mai este nevoie de jumperi* (“there is no need for jumpers”) (2000: 62); *numărul redus de pini* (“the reduced number of pins”) (2000: 62). In the first four examples, the Anglicisms are treated as masculine, mainly because of their [+ animate] feature, but also by analogy with the rather great number of Romanian masculine nouns denoting professions that end in [r], which in the plural becomes palatalized (*șofer - șoferi*, “driver”; *bancher - bancheri*, “banker”; *frizer - frizeri*, “barber”; *muncitor - muncitori*, “worker”). In the last two examples, the inflection for the masculine gender is probably added by analogy with Romanian masculine, inanimate nouns like *amper - amperi*; *bulgăr - bulgări*, “ball, usually of snow”; *umăr - umeri*, “shoulder”; *par - pari* “pole”; *pin - pini*, “pine tree”; *an - ani*, “year”; *ban - bani*, “coin”; *sân - sâni*, “breast”, etc.

3.1.2.3. An interesting group of words is represented by some deverbal nouns, assimilated to the *feminine gender*; they are substantivized long infinitives, obtained by adding the suffix *-re* to an infinitive belonging to the first conjugation of the verbs, ending in *-a*, derived from an English verb. This is how the words *boot-are*, *scalare*, *scanare*, *mapare*, *rutare*, *setare* have been created from *to boot*, *to scale*, *to scan*, *to map*, *to root*, *to set*. In the plural, the final consonant of these nouns is palatalized and a phonetic alternation takes place: the stressed [a] becomes a stressed schwa: *bootări*, *scalări*, *scanări*, etc. (cf. Romanian *urare - urări*, *lucrare - lucrări*): e.g., *imediat după boot-are* (“right after booting”) (2002: 109); *are o scalare bună* (“it has good scaling”) (2000: 66); *posibilități de scanare* (“possibilities for scanning”) (2000: 12); *una din cele 3 mapări de tastatură* (“one of the three keyboard mappings”) (2000: 82); *câteva setări personalizate* (“some personalized settings”) (2002: 93). Zafiu (2007a: 14, 2007b: 14), who studies peculiarities of Internet language, comments at large on the family of the word *blog* in Romanian; she has found that the derived noun *blogare* (< *to blog* + *a* + *re*) is used in parallel with *bloguire*, also feminine, obtained by adding the suffix *-re* to a verb belonging to the fourth conjugation, ending in *-i* (*a blogui* < *to blog* + *u* + *i*). Similarly, she signals the appearance of the noun *hackuire* (Zafiu, 2001: 7), derived in a similar way from the verb *a hackui* (< *to hack* + *u* + *i*); in my corpus, the word used is *hacking*, with the definite article typical of inanimate, neuter nouns: e.g., *Ar fi deci trei metode de a obține card-uri: backdoor-urile, schimburile și hacking-ul*. (“I guess there are three methods of obtaining cards: backdoors, changes, and hacking”) (2000: 88).

3.1.3. Nouns used with the definite article

The borrowed nouns are often used with the singular or plural definite article, which in Romanian is enclitic, forming one unit with the noun, and which has the categories of gender, number and case. Thus, most frequently, the singular, nominative and accusative cases have the forms *-l*, *-le* for the masculine and the neutre genders (e.g., *muncitorul* - “the worker”, *fratele* - the brother, *scaunul* - “the chair”, *numele* “the name”), and *-a* for the feminine gender (*femeia* - “the woman”, *casa* - “the house”, *grădina* - “the garden”); the genitive and dative case forms are *-lui* for the masculine and the neutre (e.g., *muncitorului* - “the worker’s/to the worker”, *fratelui* - “the brother’s/to the brother”, *scaunului* - “of/to the chair”, *numelui* - “of/to the name”), and *-(e)i* for the feminine (*femeii* - “the woman’s/to the woman”, *casei* - “of/to the house”, *grădinii* - “of/to the garden”). The plural nominative and accusative forms are *-i* for the masculine, (*muncitorii* - “the workers”, *frații* - “the brothers”), and *-le* for the feminine and the neutre (*femeile* - “the women”, *casele* - “the houses”, *grădinile* - “the gardens”, *scaunele* - “the chairs”, *numele* - “the names”); the genitive and dative case form is *-lor*, for all the genders (*muncitorilor*, *fraților*, *femeilor*, *grădinilor*, *scaunelor*, *numelor*). A marker of the genitive case is also the possessive article, which is considered a type of definite article (Avram 2001: 99), and which precedes the noun to which the definite article typical of the genitive case was attached. Its forms are: *al* (masculine, neutre, singular), *a* (feminine, singular), *ai* (masculine, plural), and *ale* (feminine, neutre, plural) and they agree in gender and number with the head noun of the genitive (e.g., *un prieten/un răspuns al fratelui meu; o carte a fratelui meu*: *prieten* is masculine, and *răspuns* is neutre, therefore the possessive article used is *al*; *carte* is feminine, therefore the possessive article used is *a*).

The definite article, singular or plural, most frequently attached to the [+inanimate] borrowed words (whether directly or after a hyphen) marks them as belonging to the neutre gender:

- singular number, nominative/accusative: *notebook-ul vine fără un sistem de operare* (“the notebook comes without an operating system”) (2002: 55); *socket-ul și heatsink-ul au atins o temperatură constantă* (“the socket and the heatsink have reached a constant temperature”) (2002: 43); *slotul lipsește* (the slot is absent) (2002: 48); *encoderul MPEG nu suportă...* (“the MPEG encoder cannot stand...”) (2002: 78); *realizează airflow-ul necesar* (“it achieves the necessary airflow”) (2002: 42); *sarcina de a fixa cooler-ul pe northbridge vă aparține* (“the task of fixing the cooler on the northbridge is yours”) (2002: 110); *folosesc slotul AGP* (“they use the AGP slot”) (2002: 36);

- singular number, genitive/dative: *integrarea tool-ului de authoring* (“the integration of the authoring tool”) (2002: 78); *integrarea serverului cu address book-ul* (“the integration of the server and the address book”) (2002: 88); *unelte dedicate authoring-ului* (“tools dedicated to the authoring”) (2002: 75); *pin-ul corect al motherboard-ului* (“the correct pin of the motherboard”) (2002: 110); *creșterea de viteză a busului* (“the increase of the bus speed”) (2002: 34);
- plural number, nominative/accusative: *tool-urile Microsoft sunt cam depășite* (“the Microsoft tools are a bit dated”) (2002: 109); *puteți vizualiza track-urile prezente* (“you can visualize the existing tracks”) (2002: 70); *folosind template-urile existente* (“using the existing templates”) (2002: 70); *coolerele au fost încălzite* (“the coolers were warm”) (2002: 42); *driverele prezintă un comportament aparte* (“the drivers have special behaviour”) (2002: 110);
- plural number, genitive: *posibilitatea stabilirii breakpoint-urilor și a watch-urilor* (“the possibility of establishing breakpoints and watches”) (2002: 90); *northbridge-ul chipset-urilor* (“the northbridge of the chipsets”) (2002: 34); *care este situația display-urilor* (“what is the situation of the displays”) (2002: 12); *este specializată și în domeniul notebook-urilor și palmtop-urilor* (“it is also specialized in the field of notebooks and palmtops”) (2002: 19).

The other genders are less well represented; however, examples of nouns used with the Romanian masculine or feminine definite article, singular or plural, can still be found:

- masculine, singular, nominative: *end-user-ul a putut vedea o mulțime de produse* (“the end-user could see a lot of products”) (2002: 23);
- masculine, plural, nominative/accusative: *jumperii au fost poziționați corect* (“the jumpers were placed correctly”) (2002: 106); *providerii de Internet* (“the Internet providers”) (2000: 98); *vom acoperi toată țara cu parteneri direcți, distribuitori și reseller-ii lor* (“we shall cover the whole country with direct partners, distributors and their resellers”) (2000: 30);
- masculine, plural, genitive/dative: *tentativele de fraudare din partea hacker-ilor* (“the hackers’ attempts at cheating”) (2002: 22); *majoritatea site-urilor warez (a cracker-ilor, a falsificatorilor de software)* (“the majority of the warez sites (of crackers and software counterfeiters)”) (2000: 36); *cu ajutorul jumperilor* (“with the help of the jumpers”) (2002: 64); *poate aduce satisfacții mari și overclocker-ilor* (“it may bring great satisfaction to the overclockers as well”) (2002: 54);

- feminine, singular, nominative/accusative: *maparea caracterelor și a diacriticelor este controlată* (“the mapping of letters and diacritics is controlled”) (2000: 82); *remaparea acesteia este ...* (“its remapping is”) (1999: 79); *acest driver permite scalarea și preview-ul imaginii* (“this driver allows image scaling and preview”) (2000: 16); *pentru formatarea unui disc ZIP* (“for formatting a ZIP disk”) (1999: 120); *fără reboot-area sistemului* (“without rebooting the system”) (2000: 16);
- feminine, plural, nominative/accusative: *setările hardware* (“hardware settings”) (2002: 108); *le recomand mapările în stil Microsoft* (“I recommend the Microsoft kind of mappings”) (2000: 82).

3.2. ADJECTIVES

3.2.1. While most of the Romanian adjectives are variable, having the categories of gender, number and case, many of the English adjectives borrowed into Romanian remain invariable.

When used as modifiers, their position in the noun phrase is, however, in keeping with the Romanian non-emphatic word order, i.e. they are placed after the Romanian or the adapted English head noun: e.g., *versiune full* (“full version”) (2002: 39); *sistemul green* (“the green system”) (1999: 14); *imagini live* (“live images”) (1999: 59); *stații diskless* (“diskless stations”) (1999: 97); *hârtie normală, glossy* (“normal, glossy paper”) (1999: 104); *format slim* (“slim format”) (2002: 32); *drivele IDE rewritable externe și interne* (“external and internal rewritable IDE drivers”) (1999: 10); *hub-urile stackable* (“the stackable hubs”) (1999: 107). Many adjectives are derived from participles: e.g., *hârtie coated* (“coated paper”) (1999: 104); *o rețea shared* (“a shared network”) (1999: 104, 110); *izolarea așa-numiților pacienți locked-in* (“the isolation of the so-called locked-in patients”) (1999: 42); *fontul fixed* (“the fixed font”) (2000: 83); *filtre incoming și outgoing* (“incoming and outgoing filters”) (2000: 57). This order is sometimes applied even when the English head noun has not suffered any change: *funcționalitatea unui hub standalone* (“the functional character of a standalone hub”) (1999: 107).

In a number of cases, a whole noun phrase (adjective + noun) is borrowed and used as post-modifier of a Romanian noun: e.g., *modul de lucru half duplex* (“the half duplex working mode”) (1999: 106); *modul full duplex* (“the full duplex mode”) (1999: 106); *temperatura în full load* (“the temperature in full load”) (2002: 43).

The borrowed adjectives may function as predicatives in the sentence: e.g. *board-ul este jumperless* (“the board is jumperless”) (1999: 12); *utilizatori ... care*

sunt price-sensitive (“users ... who are price-sensitive”) (1999: 17); *faptul că este free* (“the fact that it is free”) (1999: 38). In one instance, an adjective is mistakenly used as if it were an adverb: *instalarea se face remote* (“the installation is done remote”) (2002: 86).

3.2.2. Several of the borrowed adjectives are used with endings typical of Romanian, in order to agree in gender and number with the noun they modify.

The following examples illustrate instances when the adjectives are derived from a Romanian participle. The Romanian language has one participle only, usually built with the suffix *-t*, which always has a past time value, and whose forms vary according to gender, number and case: e.g. *versiunea downclockată* (“the downclocked version”) (2002: 58); *nu au texturi mapate pe ele* (“they do not have mapped textures on them”) (2000: 66); *îl găsești acolo gata hack-uit* (“you find it there all hacked”) (2000: 57). *Downclockată* (which would presuppose the existence of the verb *a downlocka*) is singular, feminine, because *versiune* is a singular, feminine noun; *mapate* (derived from *a mapa*) is plural, neutre, because *texturi* has a plural, neutre inflection; *hack-uit* (< *a hackui*) is singular, neuter or masculine, because it refers back to the unstressed, masculine/neuter personal pronoun in the accusative, *îl*.

One also comes across adjectives borrowed from English, whose affixes are translated into Romanian. Thus the suffix *-ble* becomes *-bil* in Romanian (a suffix that is frequent in borrowings and combines with verbal roots), while the negative prefix *un-* becomes the Romanian *ne-*. For example, *Vă vin în ajutor CD-urile boot-abile* (“Bootable CDs come to your rescue”) (1999: 96); *playback scalabil* (“scalable playback”) (2000: 20); *camera devine brusc inhabitabilă* (“the camera suddenly becomes inhabitable”) (1999: 45); *celălalt tip de volum este nebootabil* (“the other type of volume is unbootable”) (1999: 96). Notice the various endings of the adjectives, dictated by the gender and number of the noun they modify (*boot-abile* - plural, neutre; *scalabil*, *nebootabil* - singular, neutre; *inhabitabilă* - singular, feminine). In one case, the adjective is a compound one, built with what might be regarded as a prefixoid, *auto-*, a word forming element that exists in Romanian as well: e.g., *aplicație DOS autoboot-abilă* (“autobootable DOS application”) (2000: 10); however, since I am not sure what the source language term is, this could equally well be a translation of the prefix *self-* (*self-bootable*).

The adjectives are sometimes quantified with the help of Romanian adverbs or of syntactic structures that are the equivalent of an absolute superlative: e.g., *o distribuție cât se poate de SOHO friendly* (“a most SOHO friendly distribution”) (1999: 38); *camera oferă un suport extrem de flash* (“the camera offers a very/an extremely flash support”) (1999: 17).

3.3. VERBS

3.3.1. The number of borrowed verbs is higher than in other fields of discourse. Most of them (*a accesa, a boot-a, a download-a, a flood-a, a log-a, a map-a, a porta, a randa, a reboot-a, a restarta, a ruta, a scala, a scana, a seta*) are integrated in the first conjugation, ending in *-a*, the most productive in Romanian, and get all the inflections that mark the tenses and moods of this conjugation; they occur not only in the active voice, but also in the passive or the reflexive or impersonal reflexive. For example:

- infinitive: *capacitatea de a ruta* (“the capacity to root”) (1999: 17); *șansa de a seta alte adaptoare* (“the chance to set other adaptors”) (2000: 76);
- present tense, indicative: *ăla îți log-ează tot* (“that one will log everything for you”) (2000: 88); *cine reboot-ează după fiecare joc* (“who reboots after each game?”) (2000: 72); *un ISP din România rutează convorbirile de pe Internet* (“A Romanian ISP roots Internet talks”) (2000: 110); *acestea scalează ca și până acum* (“they scale as before”) (2000: 68). In all these examples, *-ează* is the third person, singular and plural, inflection.
- future tense, indicative: *va log-a orice încercare eronată* (third person, singular; “it will log any mistaken attempt”) (2002: 86); *vor accesa anumite servicii* (third person, plural; “they will access certain services”) (2002: 100);
- compound perfect, indicative: *am flood-at odată în nesimțire pe cineva* (first person; “I once flooded someone shamelessly”) (2000: 100); *Apple a portat în Java versiunea 3 a lui Quick Time* (third person, singular; “Apple ported the third versions of Quick Time in Java”) (1999: 16);
- imperative: *boot-ați în Safe Mode* (“boot in Safe Mode”) (2002: 109);
- conjunctive mood: *să nu mai aștepte ca el să boot-eze* (third person, singular; “he shouldn’t wait for it to boot”) (1999: 84); *trebuie să restartați KDE* (second person, plural; “you must restart KDE”) (2000: 82); *aveți posibilitatea să setați calculatorul ...* (second person, plural; “you may set the computer...”) (2000: 76);
- passive voice: *aceste operațiuni sunt log-ate într-un fișier* (third person, plural; “these operations are logged in a file”) (2002: 86); *de obicei nu se vede că sunt log-at* (first person, singular; “usually one can’t see that I am logged”) (2000: 90); *front side bus-ul poate fi setat din BIOS* (third person, singular; “the front side bus can be set in BIOS”) (1999: 58);
- reflexive/impersonal reflexive: *vă log-ați ca root (fără parolă)* (second person, plural; “you log as root (without a password)”) (2002: 109); *se*

reboot-ează de câteva ori (third person; “it reboots several times”) (1999: 98); *dacă se scanează sau nu toate fișierele* (third person, plural; “if all files are scanned or not”) (2002: 72).

One interesting case is that of a rather frequent verb, *a hackeri*, belonging to the fourth conjugation, in *-i*, formed in Romanian from the noun *hacker*: e.g. *caut exploit-uri să-l “backer-esc”* (“I look for exploits to hack it”) (2000: 88); a variant is *a hack-ui*, formed from *to hack*, with the suffix *-ui*: e.g. *îl găsești acolo gata hack-uit* (“you find it there all hacked”) (2000: 90). In Internet messages, Zafiu has also found the verbs *a knockăi* (< knock), *a bipăi* (< bip), *a clicăi* (< click) (2001: 7) and *a gugăli* (< google) (2004: 14). Such verbs, particularly the last one, are felt to be jocular.

3.3.2. There is a tendency now towards avoiding the adaptation of English verbs to suit Romanian patterns. Instead, collocations are employed, and they seem to be gaining ground; their terms are a Romanian verb, such as *a da* (“to give”), *a face* (“to make”) and synonyms, and an English (verbal) noun, e.g., *a da dump*, *click*, *enter*; *a face backing*, *carding*, *dithering*, *download*, *overclock*, *review*, *upgrade*; *a realiza un overclock*, *a efectua debugging*, *design*, etc.: e.g., *dă un clic pe unul din icon-uri* (“click on one of the icons”) (1999: 42); *o fi dat cineva dump* (“somebody may have dumped it”) (2000: 90); *uşurinţa de a face upgrade* (“the easiness of upgrading”) (1999: 48); *se pot face download-uri de fişiere* (“one can download files”) (2000: 88); *acum fac numai backing* (“I only hack now”) (2000: 90); *poate face uşor overclocking* (“it can easily overclock”) (1999: 56).

4. SEMANTIC LOANS

A number of words in my corpus are semantic loans, i.e. an existing Romanian item, usually of Romance origin, French or Latin, takes over a meaning of the English equivalent. These will most probably stay in the language, because the words are already part of the vocabulary and require no adaptation.

Thus, *ataşament* (< Fr. *attachement*, “strong affection for somebody; friendship, love”) has acquired one of the meanings of the English *attachment*, whose origin is identical with that of the Romanian word: “a computer file that is sent with an e-mail” (e.g., *afişarea ataşamentelor* (“the display of attachments”), (2002: 94)); *banc* (< Fr. *banc*, “a large mass of sand, gravel or mud on ocean or river beds, which sometimes surfaces; a large group of shells or fish; table or platform used in manual work”) has acquired one of the meanings of the English *bank*: “a large collection, especially of information or ideas” (e.g., *patru bancuri de memorie* “four memory banks” (2000: 48); *bănci de sample-uri* “banks of samples” (2000:

100)); *convenție* (< Fr. *convention*, “agreement between two or more states, institutions or persons; contract”) has come to also mean “a meeting of an organization” (e.g., *Vineri 26 martie a avut loc Sales Convention organizată de Xerox România. Această convenție a fost organizată pentru partenerii Xerox* (“The Sales Convention organized by Xerox Romania took place on Friday, 25 March. This convention was organized for the Xerox partners”) (1999: 23)); *port* (< Fr. *port*, It. *porto*, “an area of water where ships stop”; also back-formation from *a purta*, “to carry”, “to wear”) has now added the meaning “a part of a computer a cable can be fit into so that connection to another place of equipment can be obtained” (e.g., *două porturi USB, un port serial* (“two USB ports, a serial port”) (2000: 46)); under English influence, *portal* (< Germ. *Portal*, It. *portale*, “a monumental, richly decorated main entrance to a building”) now also denotes an Internet site that has links to other places (e.g., *portalul Microsoft* (1999: 22)); Romanian *post*, of Slavic origin, if it means “fast, a period of time when one does not eat” and of French origin, if it means “job, function”, has a new etymology when it means, in computer language, “posting, a message sent over the Internet to a newsgroup”. Romanian has the noun *acces*, borrowed from French/Latin, so it could easily derive from it the verb *a accesa*, taking over the meaning of the English verb *to access*, (e.g., *vor accesa anumite servicii* (“they will access certain services”) (2002: 100)); *a licenția* (< Fr. *licencier*), meaning “to fire somebody”, is used, under English influence, with the meaning of “to authorize the use of” (e.g., *va trebui să plătești pentru a licenția acest produs* (“you will have to pay in order to have this product licensed”) (1999: 74)). Similarly, *to forward* is more and more frequently replaced by the Romanian *a redirecționa* (“to redirect”), a verb derived from the noun *direcție* (< Fr. *direction*, Lat. *directio*), and *to download* by *a descărca* (“to unload”) (< Lat. *discarricare*). One can notice, therefore, that Anglicisms increase the cases of homonymy and polysemy in the Romanian language.

5. CONCLUSION

The number of technical terms borrowed from English into Romanian in the field of computers is extremely high. Their necessity can't be contested, since their use is justified referentially; as a consequence, many of them are present not only in the jargon of computer specialists, but also in the everyday language of any person that makes use of a computer. Their number may even know further increase with the constant development of technology. However, many of these borrowings will not stay in the language, and those that will take some time before they “settle in”, i.e. before they get fully integrated into the Romanian language.

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***I DON'T WANT CARMELO READING THIS TWICE:
NONFINITE SYNTACTIC ALTERNATION GOVERNED BY WANT
IN CONTEMPORARY ENGLISH¹***

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ABSTRACT. *The verb want selects at least two types of complementation patterns when it is followed by a nominal constituent, as illustrated in want Carmelo to read this and want Carmelo reading this. In the light of data retrieved from several corpora of Present-day English, this paper explores the syntactic, dialectal, textual and semantic characteristics of both structures in the very recent history of the language. As regards the syntax of the constructions, an analysis based on the notion of extended transitivity is here suggested in an attempt to integrate the syntactic features of the patterns within a single syntactic schema.*

1. INTRODUCTION

This paper focuses on syntactic variation between two structures of complementation of the verb *want*, illustrated in (1) and (2):

- (1) I don't want Carmelo to read this paper again. [*want* NP *to-V*]
- (2) I don't want Carmelo reading this paper again. [*want* NP *V-ing*]²

1. The research reported has been funded by the Spanish Ministry of Education and Science, grant number HUM2005-02351/FILO, which is hereby gratefully acknowledged. This investigation is couched in a larger project on the degree of variation experienced by the English language in its recent history as far as the syntactic complexity of clausal constituents is concerned.

2. The [*want* NP *to-V*] and [*want* NP *V-ing*] patterns correspond to Huddleston et al.'s (2002: 1231) *want*₂ or to their class 2Biii, in which either a *to*-infinitival or a, in their terminology, gerund-participial form is complex, that is, preceded by a noun phrase.

In both patterns, *want* is followed by a nominal or pronominal constituent (*Carmelo*) and either a *to*-infinitive or an *ing* clause of which the nominal element is capable of functioning as subject, at least on semantic grounds. That there must hold an external argumentative syntactic dependency between the nonfinite clause and the noun phrase occurring after *want* implies that examples like (3) will not be included in the [*want* NP *to*-V] pattern since *chance* is the governing head of the infinitive clause *to observe him with Magda* within the noun phrase *a chance to observe him with Magda*, and not its subject.

(3) (...) because she wanted a chance to observe him with Magda (LOB K10)

As regards the [*want* NP V-*ing*] construction, the condition on the type of syntactic dependency between the nominal element and the *ing* clause leads to the rejection of the following examples from the pattern. These examples illustrate, respectively, an *ing* clause which is not syntactically linked either to *want* or to the nominal constituent following *want* (example (4)), a nominal *ing* form (examples (5) and (6)), an *ing* form premodifying a noun (example (7)) and an *ing* form postmodifying the nominal constituent acting as the object of *want* (in (8)).³

(4) and he straightway sent message to the king <,> saying that he accepted the whole <,> principle of string <,> and indeed <,> wanted some <,> giving his reasons for so doing <,> (DCPSE:DL-I02/LLC:S-11-03 #0121:2:A)

(5) Call this person if you want this booking immediately <,> (DCPSE:DI-B59/ICE-GB:S1A-074 #0339:6:A)

(6) they want long-range fighting here (DCPSE:DL-F03/LLC:S-10-03 #0292:1:A)

(7) she she wants the sleeping bag (DCPSE:DL-B25/LLC:S-02-13 #0664:1:A)

(8) whenever they wanted the sound of a body falling to the ground with a thump <,> we used to drop <,> Marie (DCPSE:DL-I02/LLC:S-11-03 #0310:5:A)

3. Only the [*want* NP V-*ing*] examples which have a [*want* NP *to*-V] counterpart are relevant to the purposes of this paper. In consequence, the instances of so-called 'passive' *ing* construction, like (i) below, will fall beyond the scope of this investigation:

(i) Yeah, they're completely empty so they might Yeah I want the carpets putting in before we get anything else in. (BNC KB7).

By contrast, middle-passives such as (ii) will be included in our survey since they have a corresponding [*want* NP *to*-V] version:

(ii) We don't want the arena closing up afore we're out of it, Lads (BNC CJJ).

In this paper I will, on the one hand, review the literature on nonfinite complementation depending on verbs such as *want* in an attempt to find evidence for the existence of factors which account for variation between the [*want* NP V-*ing*] and the [*want* NP *to*-V] constructions, and, on the other hand, on the basis of personal corpus-driven research, I will suggest an analysis of patterns which takes into account both the structural factors and the findings offered by my data. To that end, I will refer to syntactic, structural, semantic, dialectal and text-type variables, both synchronic and diachronic, which may play a role in the distribution of the two patterns. As pointed out by Mair (2003: 342),

any attempt to account for complement choice after verbs (...) *on structural and semantic grounds alone* will remain incomplete (...). What is needed (...) is a variationist account (...) integrating synchronic regional and stylistic variation, on the one hand, and ongoing diachronic change, on the other. [Mair's italics].

Section 2 deals with the syntax of the constructions and pays special attention to the syntactic status of the noun phrase occurring between *want* and the nonfinite constituent in the constructions under analysis. Section 3 investigates the semantic, dialectal, textual and historical characteristics of the two patterns and offers the results of personal corpus work. Finally, section 4 puts forward some concluding remarks.

2. THE SYNTAX OF THE [*WANT* NP NONFINITE-CLAUSE] CONSTRUCTION

The literature has paid extensive attention to the [*want* NP *to*-V] construction. By contrast, the [*want* NP V-*ing*] construction, which is statistically infrequent, has been devoted mere in-passing comments or very brief analyses. In this section I will focus, first, on the status of the intermediate noun phrases occurring in the [*want* NP *to*-V] patterns (section 2.1) and, second, on the syntax of [*want* NP V-*ing*] (section 2.2). In section 2.3 I suggest a possible analysis of the construction [*want* NP nonfinite-clause].

2.1. THE SYNTAX OF THE INFINITIVE CONSTRUCTION

The twofold status of the intermediate noun phrase in the [*want* NP *to*-V] construction as either the subject of the infinitive clause or the object of *want* has been discussed extensively in the literature. Such a fuzzy nature of the noun phrase justifies the label of (1) as a 'raising' construction, that is, as an illustration either of the subject of a subordinate clause which becomes the object of the main clause (subject-to-object raising) or of the object of a main clause which ends up

by fulfilling the function of subject of a nonfinite subordinate clause (object-to-subject raising).

The issue of the status of the nominal constituent as either subject or object has received explanation in Langacker's Cognitive Grammar but assuming that, for example, in (1), *Carmelo* is both the landmark of *want* and the trajector of *read* (Langacker 2000: 347), as shown in Figure 1, from Langacker (2000: 344, his Figure 11.6):

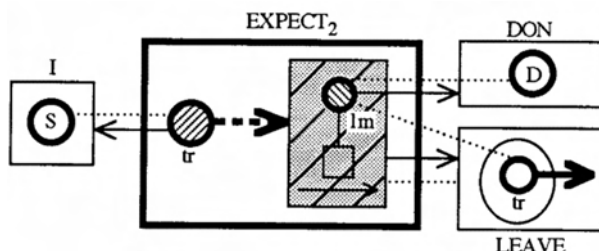
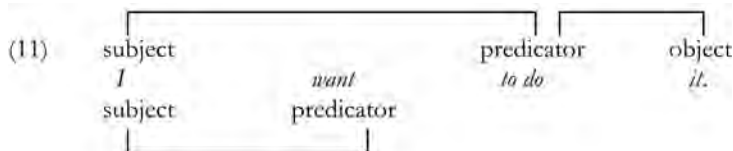


Figure 1. Langacker's analysis of the [*want* NP nonfinite-verb] construction.

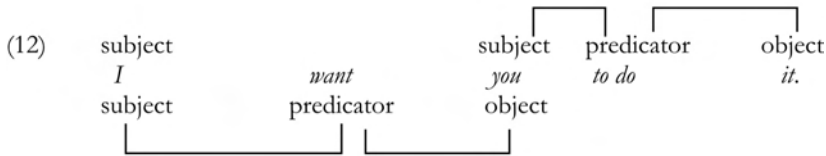
Langacker maintains that the conceptual basis of (9) and (10) below is unique, both structures being connected by his concept of 'transparency'. In his words, "any element which could occur as the subject of a complement clause can also function as the raising verb's object in the main clause" (Langacker 2000: 319).

- (9) I expect Don to leave.
- (10) I expect that Don will leave.

From a different perspective, Matthews (1981: 185-186) emphasises the twofold analysis of the nominal constituents in sentences such as those with *want* and maintains that these are examples of 'catenative fused constructions'. In his words, "a single element [author: the noun phrase] is a complement of both a controlling and a dependent predicator" (185); "'catenative' would (...) refer to the fusion of a dependent verbal construction with that of either the transitive or the intransitive" (186), as shown in (11):



The adaptation of (11) to the infinitive construction with an intervening noun phrase could be (12) below, in which the dependent verbal construction would be *you to do it* and the main transitive one would be *I want you*:



In section 2.1.1 I will offer arguments in favour of the analysis of the (fully-fledged or pronominal) noun phrase as the object of matrix *want*. Section 2.1.2 is devoted to the alternative option, namely the analysis of the noun phrase as the subject of the subordinate infinitive clause.

2.1.1. *Generation of the intermediate nominal as a matrix object*

The analysis of the intermediate nominal constituent as an object of *want* has been given support by the following facts:

- (i) The nominal constituent has oblique case:⁴

(13) I don't want him to read this paper again.

(14) I don't want him/his/he reading this paper again.

As pointed out by Quirk et al. (1985: 1186), "a subject pronoun in the objective case can often be replaced, in formal style, by a possessive pronoun" in the *ing* pattern. Non-genitive case-marking of the *ing* construction is a signal of informal style (Huddleston et al. 2002: 1190).

- (ii) That the intermediate nominal constituent can be a reflexive proform controlled by the main subject in examples similar to (1) would constitute an argument in favour of its analysis as the object of *want* (the same argument will be used to support the subject analysis below).⁵

(15) Zelda believes herself to be virtuous. [from Langacker 2000: 319]

4. See Fanego (2004a) for the historical development of verbal *ing* forms from nominals and, in consequence, for the acceptance of morphological case other than the genitive before the *ing* verb.

5. Examples of *want* preceding a reflexive proform coreferring with the subject of *want* are unlikely in the language (see Mair 1990: 117 for examples):

- (i) ?Carmelo doesn't want himself to embark on a new project.

(iii) Given that no elements can be interpolated between a verb and its object unless saliency is intended, the fact that *Carmelo* in (1) has to be placed immediately after *want* would underline its status as an object:

- (16) *I want very strongly Carmelo to read this paper again. [versus, for example, *I believe very strongly that Carmelo will never read this paper again*; adapted from Postal (1974: 134)]

Huddleston et al. (2002: 1180) mention that the distribution of specifically adjuncts in the constructions under analysis constitutes a further argument in favour of the status of the nominal constituent as the object of *want*. In their words, “[i]n general, adjuncts cannot occur between a verb and an NP object, but they are permitted between a verb and a clausal complement”. Example (17) shows that adjuncts are not allowed between verbs and non-clausal objects, whereas (18) and (19) demonstrate that the adverbials *all along* and *at once* are acceptable before, respectively, an object *that*-clause and an object nonfinite clause.

- (17) *We want all along an improvement. [adapted from Huddleston et al. (2002: 1180, example (27i))]
 (18) We expected all along that things would improved. [adapted from Huddleston et al. (2002: 1180, example (27ii))]
 (19) He arranged at once for the performance to be postponed.

Since (17) is ungrammatical, Huddleston et al. conclude that *an improvement to be postponed* is not a clausal object and thus *an improvement* alone is eligible as the object of *want* in (20):

- (20) *We want all along an improvement to be postponed.

That additional material can be inserted between *Carmelo* and the nonfinite verb, as in our corpus example in (21) or in the made-up one in (22), leads González García (1999) to the rejection of a strong dependency link between *Carmelo* and *read* in, for example, (1). In his words, “the insertion of [...] material can be said to destroy the putative structural integrity of the complement clause [...]. The insertion of the [...] material contributes to resolve the structural indeterminacy of the [...] structure” (59).

- (21) After the war, Penny had wanted Keith at least to visit her home with her. (Brown N23).

(22) I don't want Carmelo, if I am able to make the decision, to read this paper again. [versus, for example, **Jane believes that Bob, if I am not mistaken, is Hungarian*; adapted from Postal (1974: 146)].

(iv) The way in which constituents analogous to the *want* examples behave in passive sentences has led to the reinforcement of the analysis of the intermediate noun phrase as the object of *want* (see Andersson 1985: Part 1; González García 1999: 46; Huddleston et al. 2002: 1179, among others; a similar argument will be used to defend the subject analysis below).

- (23) a. Everybody believed Bill to have kissed Mary.
b. Bill was believed to have kissed Mary.

In this respect, Huddleston et al. (2002: 1179-1180), who mention the resistance of *want* about adopting passive morphology⁶ (see example (25) below, the passive version of (24), versus (26), which is perfectly grammatical), disregard passivisation as a necessary proof for objecthood and maintain that *Carmelo* is the object of *want* in (1) above. In their words, "there is no other relevant difference between *want* and *expect*, and given that passivisation doesn't provide a necessary condition for objects, we shall not wish to assign different structures" (1179).

- (24) They wanted the performance to begin at six. [Huddleston et al.'s (2002: 1179) example (25i)].
(25) *The performance was wanted to begin at six. [Huddleston et al.'s (2002: 1179) example (25ii)].
(26) The performance was expected to begin at six.

Huddleston et al. (2002: 1180) thus claim that the ungrammaticality of (25) is due to a property of the verb *want*, not to the structure of the active clause (in (24)).

(v) The existence of parallel patterns controlled by *want* with and without depending nonfinite clauses has been used as an argument in favour of the object behaviour of the intermediate noun phrase:

- (27) a. I want a new computer.
b. I want a new computer to be placed in my office.

6. Our corpora contain few examples with passive *want*, in which the interpretation of *want* is associated either with job recruiting, as in (i) or (ii), or with police calls, as in (iii):

- (i) Speakers from England were not wanted any longer. (Brown G66).
(ii) When a specialist was wanted anywhere the application came to me. (LOB G23).
(iii) (...), whose husband, August, is wanted by the police (...) on a similar charge. (LOB A24).

In fact, Bolinger (1974: 70-71; reported by González García 1999) claims that the construction in (27b) is possible if and only if (27a) is acceptable. In his words, “the conceptual verb is forced to be compatible with two complements at the same time. So a sentence like ‘Do you admit the facts to be true?’ is normal because ‘Do you admit the facts?’ and ‘Do you admit the truth of the facts?’ harmonize” (70-71). However, the application of such a hypothesis to, for example, (1) is not in keeping with the unacceptability of (28):

(28) *?I want Carmelo.⁷

(vi) Examples such as (29) below, regarded as “unlikely” by Matthews (1981: 182)⁸ or “rare” by Mair (1990: 120), in which only the infinitive and its dependents are fronted to sentence-initial position by the operation of topicalisation, could reinforce the non-monoclausal analysis of *John* and *to help me*:

(29) To help me I want John.

7. The status of the nominal constituent as either an argument or a non-argument of the matrix verb has led Huddleston et al. (2002: 1201-1202) to distinguish two types of [V NP *to*-V] constructions, namely those with ordinary objects, such as (i), in which *Liz* is an argument of *persuade*, and those with raised objects, as in (ii), where *Liz* cannot be said to be an argument of *intend*. In Huddleston et al.’s words, in (ii) “[w]ith *intend*[...] we have three complements but only two arguments: *Liz* is a raised object” (1201).

- (i) Pat persuaded Liz to interview both candidates.
- (ii) Pat intended Liz to interview both candidates.

Providing that examples such as (28) in the main text are hardly acceptable, it goes without saying that the *want* construction fits in the pattern in (ii), that is, the one in which the nominal constituent following *want* is a raised object. The arguments in (iii) to (vi), offered by Huddleston et al., demonstrate resemblance between *want* and *intend*:

- (iii) relation with passive infinitivals:
 - a. Pat persuaded both candidates to be interviewed by Liz. [meaning different from (i)].
 - b. Pat [intended / wanted] both candidates to be interviewed by Liz. [meaning identical to (ii)].
- (iv) selection restrictions:
 - a. *Liz persuaded the spotlight to intimidate Pat.
 - b. Liz [intended / wanted] the spotlight to intimidate Pat.
- (v) dummies:
 - a. Pat [intended / wanted / *persuaded] there to be one student on the board.
 - b. Pat [intended / wanted / *persuaded] it to be easy to obtain a pass grade.
- (vi) simple/complex choice:
 - a. *Liz persuaded to leave.
 - b. Liz [intended / wanted] to leave.

8. Matthews (1981: 182) maintains that examples such as (29) are “unlikely” not because the infinitive plus its object (*to help me*) and the nominal constituent following *want* do not belong to the same clause but because the infinitive (*to help*) and its object (*me*) are “two constituents and not one” (184). Matthews’ analysis of (29) would be: [I [want] [John] [to help] [me]] (183).

2.1.2. *Generation of the intermediate nominal as a subordinate object*

The existence of arguments in favour of the (base-)generation of the nominal constituent as the subject of the nonfinite clause has led scholars such as Chomsky (1965: 22-23) to maintain that *Carmelo* in (1) or (2) is both the subject of *read* and the object of *want* and to sustain that a (subject-to-object) raising 'transformation' operates in these constructions. Among the arguments which give support to the subject status of the noun phrase (at least, in an initial stage of the derivation) are the following:

(i) The nominal constituent can control a reflexive proform in the nonfinite clauses, which seems to indicate that the noun phrase and the nonfinite predicate constitute a monoclausal constituent:

(30) Liz wants John_i to shave himself_i before the ball.⁹

(ii) Passivisation in sentences containing idiom chunks can prove that the noun phrase originates within the nonfinite clause.

(31) We all want tabs to be kept on all the radicals.

Tabs, the object of the idiom *keep tabs on* in the active, has to be regarded as part of the nonfinite clause and fulfils the function of subject of the passive version.

Quirk et al. (1985: 1193) observe that passivisation cannot be applied to, among others, the *want* examples, as shown in (32) below – I pointed out above that the morphological passivisation of *want* is practically impossible. As a consequence, Mair (1990: 98) concludes that *this to happen* in (32) is not divisible and, accordingly, *this* has to be analysed as the subject of *to happen*:

(32) a. He can't want this to happen. [Mair's example (17a)].

b.* This can't be wanted to happen. [Mair's example (17b)].

9. Langacker (2000: 319) provides the example in (15) in the main text, repeated below for convenience, as evidential, on the one hand, of the monoclausal status of the raising construction, with which I agree, and, on the other, of the status of the intermediate nominal constituent as subject of the nonfinite clause. To my knowledge, the example is not felicitous since it illustrates precisely that *Zelda* and *herself* are constituents of one 'umbrella' clause, which implies that *herself* has to be analysed as the object of *believes*. By contrast, my example (30) in the main text shows that the nominal constituent under research is the subject of the nonfinite clause.

(15) Zelda believes herself to be virtuous.

However, Mair recognises that the active-passive relation is often skewed in some contexts and favours the use of semantic facts as criteria for the distinction between subject and object noun phrases controlled by or depending on, for example, *want* – as he points out, (33) is ungrammatical and this cannot lend support to the claim that *to ask a question* is not a constituent:

(33) *To ask a question was wanted.

In Mair's words, there are matrix verbs such as *want* "which either do not passivise at all or only do so exceptionally, in very narrowly defined contexts" (113).

(iii) Examples similar to the [*want* NP *to-V*] and the [*want* NP *V-ing*] constructions, such as (34) and (35) below, in which *it* can only be described as the dummy subject of the subordinate nonfinite clause, show that the subject status of the intermediate noun phrase is in the driving seat:

(34) I expect it to rain this afternoon. [adapted from Langacker (2000: 324)].

(35) I heard it raining. [from Langacker (2000: 322)].¹⁰

In this vein, Mair (1990: 119) provides an example with *want* in which the intermediate constituent is expletive *there*. According to Mair, this example clearly demonstrates the analysis of the nominal constituent as the raised subject of the infinitive clause.¹¹

(36) I don't want there to be any trouble.

(iv) From a semantic point of view, *want* is, in most of the examples, a monotransitive verb which thus subcategorises for an object, which would favour the analysis of the material following *want* as a monoclausal constituent fulfilling the function of object of *want*. In this respect, Mair (1990: 119) points out that *want* can (rarely) be complex-transitive, as in *I want my coffee hot*, which thus would put into question the uniqueness of the analysis of the elements following it – Mair recognises that he has found no examples of either ditransitive (similar

10. Andersson (1985) regards (35) as a participial construction, whereas the pattern with *want* is considered monotransitive ('B-verbs' in his terminology).

11. In the corpora investigated I have found very few examples with expletive elements occurring after *want*:

(i) "I do not want there to be any feeling of jealousy between the two towns in this". (LOB A43)

to, for example, [*ask* NP *to*-V]) or complex-transitive ([*consider this to be* x]) *want* in the corpus.¹²

(v) The nominal constituent plus the infinitive clause can be replaced with a proform, which highlights their monoclausal status and, in consequence, the analysis of the former as the subject of the nonfinite clause:

- (37) a. I don't want her to miss the train.
b. I don't want it.

(vi) Huddleston et al. (2002: 1180, footnote 6), who analyse the nominal constituent following *want* as the object of the matrix predication, mention that “[i]n the catenative construction *want* takes *for* only when the catenative complement is preceded by an adjunct”. The example which they give is (38) below:

- (38) They had wanted all along for the performance to begin at six.

As they see it, the occurrence of *for* before the nominal constituent warrants its subject status only in the examples with *for*.

(vii) The cleaving test also sheds light on the syntactic status of the nominal constituent following *want*, at least when the former is preceded by *for*. In Huddleston et al.'s (2002: 1180) words, “[w]hile a *for*-infinitival can occur as complement in pseudo-cleft (...) constructions [,] the sequence NP + infinitival VP cannot”. Example (39) shows that *you to be happy* can be the focus (or subject-predicative complement) of a pseudo-cleft sentence only when it is governed by *for*:

- (39) a. I want you to be happy.
b. *All I want is you to be happy. [Huddleston et al.'s (2002: 1180) example (29iia)].
c. All I want is for you to be happy. [Huddleston et al.'s (2002: 1180) example (29iib)].

12. The only examples of complex-transitive *want* in the corpora analysed are quoted here (i) to (iii):
(i) [(...) and want him even if it means] you want him – dead. (Bown P09).
(ii) What I'm saying is that I wanted her dead. (FLOB G52).
(iii) And he did not want her hurt (LOB P16).

In view of this fact, Huddleston et al. conclude that the structure with *for* is different from the one without the complementiser. As already pointed out, when *for* occurs, the ensuing nominal constituent is analysed as the subject of the subordinate verb; by contrast, in the examples without *for* Huddleston et al. claim that the noun phrase following *want* is the matrix object.

(viii) Huddleston et al. (2002: 1189-1190) maintain that (case-) marking the noun phrase in the *ing* construction as genitive resembles the role of *for* in the examples with *to*-infinitives since both the genitive case and *for* trigger the analysis of the *ing* constituent as a clause and, in consequence, the subject status of the noun phrase. These authors claim that “the preference for the non-genitive in informal style can be seen as regularising the clausal construction” (1190); put differently, the selection of nominative or accusative nominal segments in informal language suggests that the noun phrases are closer to the unmarked subjects of infinitives, with accusative case, or of finite verbs, which are nominative.

2.2. THE SYNTAX OF THE *ING* CONSTRUCTION

Table 1 summarises the already-mentioned arguments in favour of the object/subject status of the noun phrase in the [*want* NP *to*-V]. I have added a column which indicates whether the arguments holding for the infinitive construction also apply to [*want* NP V-*ing*] or not.

Table 1 shows that most of the arguments which have been adduced in the literature for the analysis of the noun phrase as a matrix subject or a subordinate object in the infinitive construction also apply to the *ing* one. Whereas the syntactic factors in [2], [3], [4], [5], [6], [7], [9] and [11] do not merit further speculation, several comments are however in order here with respect to the remaining ones. First, as far as factor [1] is concerned, as already pointed out in the introduction to this section, [*want* NP V-*ing*] admits not only nominative and accusative but also genitive pronouns. Genitive case-marking underlines the monoclausal analysis of the noun phrase and the *ing* verb, that is, its subject status. Second, the cleaving test produces better results with *ing* clauses, as shown in (40) (versus (39b), repeated here for convenience):

(40) *?All I want is Zeda being happy.

(39) b. *All I want is you to be happy.

		[want NP to-V] (matrix) object status	(subordinate) subject status	[want NP V-ing]
[1]	case marking: also oblique case	oblique marking typical of objects.	oblique marking as in nonfinite clauses	✓ (also genitive)
[2]	reflexivisation	<i>Zeda believes herself to be virtuous</i> , so <i>Zeda</i> and <i>herself</i> belong to the same clause	<i>Zeda wants John to shave himself</i> , so <i>John</i> and <i>himself</i> belong to the same clause	✓
[3]	want + * _ + NP + clause	verb and its object can not be separated		✓
[4]	want + NP + _ + clause	lack of structural integrity of 'NP clause'		✓
[5]	passivisation	analogy with <i>believe</i> : <i>Zeda was believed to have kissed John</i>	unacceptability with <i>want</i> : * <i>The performance was wanted to begin at six</i>	✓
[6]	want + NP	noun phrase as the object	- *? <i>I want Zeda</i> (in <i>I want Zeda to leave</i>) - nonfinite clause as a categorial alternative to noun phrase	✓
[7]	expletives		only subjects	✓
[8]	cleaving	the construction with <i>for</i> is different	<i>All I want is for you to be happy</i>	✓
[9]	idioms		<i>We all want tabs to be kept on all radicals</i>	✓
[10]	<i>for</i> -insertion	the construction with <i>for</i> is different	<i>for</i> as subject marker	n.a.
[11]	pronominalisation	<i>I don't want it</i> (= <i>I don't want Zeda to leave</i>)		✓

Table 1. *Syntactic status of the noun phrase.*

That (40) is more easily acceptable than (39b) indicates that the monoclausal status of the nominal constituent *Zeda* and the *ing* clause *being happy* is in the driving seat. Finally, the insertion of *for* before the nominal constituent is not possible in the [want NP V-ing] construction, as shown in (41):

(41) *I don't want for Carmelo reading this paper again.

I will discard the argument in [10] from the list of syntactic factors which have consequences for the analysis of [want NP to-V] and [want NP V-ing] since, as suggested by those who back up the analysis of the nominal constituent as the object, I contend that the examples with *for* belong to a different structure.

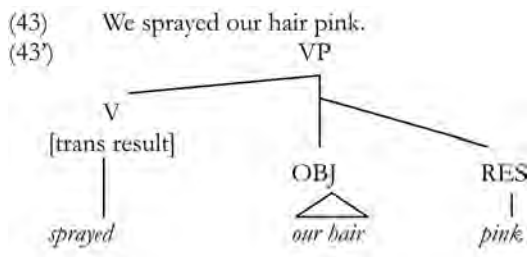
2.3. AN ANALYSIS OF THE [WANT NP NONFINITE-CLAUSE] CONSTRUCTION

In the previous sections I put forward arguments in favour of the syntactic status of the nominal phrase occurring after *want* in the constructions under analysis as either object of matrix *want* or subject of the subordinate infinitive or *ing* clause. Such syntactic factors, summarised in Table 1, could not decide on one analysis over the other since there were strong arguments in favour of the subject nature (the acceptability of expletives and the behaviour of idioms) and the object status (distribution of other constituents, e.g. adjuncts) of the noun phrase – other syntactic factors were not decisive at all.

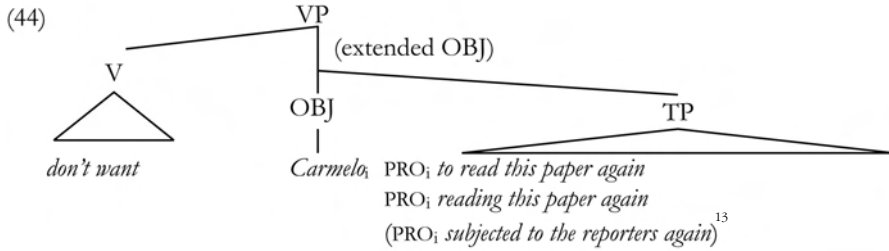
Pérez-Guerra (2003: 277), which deals with the analysis of secondary predicates such as resultatives and depictives, suggests the scale of transitivity in (42):

- (42) intransitive > monotransitive with no overt objects > monotransitive resultative with an overt fake or lexical ‘object complement within VP’ > complex-transitive with an object and an independent object predicative

On the basis of such a hypothesis, the predicates of sentences including resultatives, such as (43), would occupy the third level of transitivity and would be analysed as in (43’) below:



Providing, first, that *want* is reticent about admitting complex-transitive subcategorisation (see section 2.1.2 above) even though a few examples of this type were found in the corpora; second, that the noun phrase after *want* and before the nonfinite constituent has a twofold status since there are arguments in favour of monoclausality with either the matrix or the subordinate predicators; and, third, that the nonfinite clause seems to instance an extension of the monotransitive pattern, I shall suggest here that the nonfinite clause, be it an infinitive or an *ing* clause, occupies the third stage in the transitivity scale in (42) and must accordingly be analysed as an ‘object complement within VP’, thus implying ‘extended monotransitivity’. In basic categorial terms, the analysis would be as follows:



First, such an analysis of the nonfinite clause as a(n extended) complement justifies the unacceptability of examples such as (28), repeated here for convenience, with only a noun-phrase object.

(28) *?I want Carmelo.

Second, the analysis is in keeping with the vast majority of the arguments summarised in Table 1 (case marking, reflexivisation, distribution of adjuncts, passivisation, cleaving, idioms and pronominalisation of the object) since it includes the insertion of a PRO category in the nonfinite complement clause, governed by the coreferring nominal constituent. Third, expletives deserve specific treatment since, among other factors, they cannot act as complements of *want*, do not tolerate reflexivisation, are reticent about preceding adjuncts and cannot occur in pseudo-clefts. The facts just mentioned are illustrated in, respectively, (45) to (49):

(45) *I want it_{expletive}.

(46) *Liz wants it_{expletive} to support itself.

(47) *?I don't want there at least to be any trouble.

(48a) *All I want is (for) there to be any trouble.

(49b) *All I want is there being any trouble.

13. I shall leave for further research the incorporation of [want NP V-*ed*] clauses, such as (i) and (ii), from the corpora consulted, to the class of expanded monotransitive constructions:

(i) I believe we all want no child denied admission to a school (Brown J48).

(ii) (...) he didn't want them subjected to the reporters again (Brown K12).

That the *ed* clauses in, for example, (i) and (ii) cannot be analysed as postmodifiers of the intervening noun phrase is demonstrated, respectively, by the unacceptability of the interpretation in (ii') and by the impossibility for a pronominal constituent, such as *them* in (ii), to be postmodified restrictively by an *ed* clause.

(ii') I believe we all want no child who is denied admission to a school.

Even though the (rare) examples with expletives are left for further discussion, their analysis might fit the second stage in the transitivity scale in (42) above, that is, in the class of prototypical monotransitive subcategorisation.

3. OTHER SEMANTIC AND STRUCTURAL FACTORS

In this section I discuss other non-syntactic factors which are cited in the literature as significant in the explanation of variation between the infinitive and the *ing* forms in *want*-predicates. In the description of the behaviour of the constructions under investigation according to the variables just mentioned, I will refer to statistical findings from my data on the following corpora:

- The Lancaster-Oslo/Bergen Corpus of British English, for use with digital computers (LOB), representing written British English in 1961.
- The Freiburg-LOB Corpus of British English (FLOB), for written British English in the early 1990s.
- The Diachronic Corpus of Present-day Spoken English (DCPSE), including ICE-GB (early 1990s) and the London-Lund Corpus (from late 1960s to early 1980s).
- The British National Corpus (BNC), for spoken and written British English from 1980s to 1993.
- A Standard Corpus of Present-Day Edited American English, for use with Digital Computers (Brown), a collection of American English published in 1961.
- The Freiburg-Brown Corpus of American English (Frown), for American English written in the early 1990s.
- TIME Magazine corpus, for American English from 1923 to the present.

This section is organised as follows. Section 3.1 is devoted to the semantics of the constructions. In section 3.2 I investigate the productivity of the patterns according to the force of the sentence. Section 3.3 tackles the connection between the spread of each of the alternative structures and the polarity of the sentences in which they occur. Finally, section 3.4 offers the results of dialectal, textual and historical variables.

3.1. SEMANTIC ACCOUNT

This section is devoted to the exploration of the semantic contrast between [*want* NP *to*-V] and [*want* NP V-*ing*] when both constructions are possible with

the same (basic) interpretation. To give an example, since I shall focus on variation between constructions which are semantically, that is, truth-conditionally, equivalent, out of the four interpretations which, according to Quirk et al. (1974: 880) are associated with (50), only the interpretation in (50a) will fall within the scope of the present investigation since this is the one that also corresponds to (51) – (50b) is an example of a nonfinite purpose clause whose covert subject corefers with *the girl*; (50c) is another example of a purpose clause whose subject corefers with the subject of the matrix clause, that is, *he*; and (50d) is an example of a postmodifying infinitive clause, already discussed in Section 1.

- (50) He wants a girl to finish the cleaning.
- a. 'He wants that a girl will finish the cleaning'.
 - b. 'He wants a girl in order that she will finish the cleaning'.
 - c. 'He wants a girl in order that he can finish the cleaning'.
 - d. 'He wants a girl who will finish the cleaning'.
- (51) He wants a girl finishing the cleaning.

That there exists an aspectual or modal difference between the infinitive and the *ing* constructions has been pointed out in the literature from Palmer (1974: 195) onwards (see, for example, Quirk et al. 1985: 1191, 1195), whereas scholars such as Andersson (1985) have objected to that claim and have claimed that the two patterns are semantically equivalent. Recent studies on this instance of variation have focused on the semantic differences between such constructions.

In a recent paper, Wherry and Granath (2006) maintain that (1) and (2) above are two distinct surface structures which portray a semantic difference: whereas the basic meaning of the *ing* form in (2) is 'process' (with variants such as vividness, immediacy, on-goingness, non-futurity or experienced activity),¹⁴ the *to* form is associated with futurity and conceptual remoteness (see González García 1999: Section 5.3 for the semantics of the *to*-infinitive raising

14. Wherry and Granath (2006) claim that on-goingness and vividness are compatible since they maintain that the main discourse function of the *ing* construction is to make the narrative more vivid by presenting an event as taking place over time. In this respect, they offer example (i) as an illustration of such a function:

(i) The help desk informed me that they had decided to "keep it quiet" because they did not want too many people travelling to the Reading Festival. (*The Guardian*, 1998).

To my knowledge, [*want* NP V-*ing*] is used in example (i) simply as an alternative to [*want* NP *to*-V], with no significant semantic differences. In this vein, as agreed by my native informants, the meaning of (i) with the [*want* NP V-*ing*] construction does not imply that the organisation wants to avoid people's *constant* travelling to the Festival.

construction; see Fanego 2004b: section 5 for an overview of different semantic explanations of *to* and *ing* construction couched in functional and cognitive frameworks as well as for constructive criticism of such proposals).¹⁵ Such a semantic difference is somehow in keeping with, for example, Quirk et al.'s (1985: 1191 and, similarly, 1195) claim that “[a]s a rule, the infinitive gives a sense of mere ‘potentiality’ for action, (...) while the participle [author: the *ing* form] gives a sense of the actual ‘performance’ of the action itself” (see Mair 1990: 85-86 for the application of Quirk et al.'s claim to subject infinitive clauses).¹⁶ According to Biber et al. (1999: 757), the difference between the infinitive and the *ing* clauses lies on the more “hypothetical or potential” meaning of the latter construction with respect to the former. In their view, for verbs that can control both infinitive and *ing* clauses, such as *want*, these semantic factors are responsible for the choice.

3.2. FORCE

Whereas there does not seem to hold any connection between (illocutionary) force and the spread of the [*want* NP *to*-V] construction, in their (2006) paper, Wherrity and Granath maintain that the [*want* NP V-*ing*] pattern occurs commonly in imperative, proclamatory and exhortative sentences. Examples (44) to (46) (Wherrity and Granath's examples (8), (12) and (16)), on the one hand, illustrate respectively such uses and, on the other, evince the preference of the *ing* construction for negative polarity (see section 3.3 in this respect).

15. The telic interpretation of the infinite construction would agree with the directional origin of *to*, which by Late Old English or Early Middle English lost its adverb or prepositional meaning 'towards' and grammaticalised as an infinitive marker (see, in this respect, Fischer 1992: 317ff, Traugott 1992: 241ff or Fanego 2004b: 27). From a different perspective, Smith and Escobedo (2001: 561) claim that the insertion of *to* in the [V NP *to*-V] construction iconically separates the times of the matrix and the subordinate clause (versus the *ing* construction, in which no lexical material detaches both clauses). Wierzbicka (1988: 165) notes that the future orientation, related to the purposive interpretation of *to* adverbial clauses, “should be regarded as part of the semantic invariant of all *to* complement constructions”.

By contrast, the ‘in-process’ meaning conveyed by the *ing* construction would derive from the actional interpretation which the Old English suffix *-an*, from which *-ing* descends, added to verbs in order to form abstract nouns (see Fanego 2004b: 27).

16. The fuzziness of the aspectual interpretation associated with the *ing* construction can be exemplified by resorting to Huddleston et al. (2002: 1232) when they say that the “gerund-participial with *want* generally has a progressive interpretation but in non-affirmative contexts it can be non-progressive”. To give some examples, *standing* is claimed to have progressive meaning in (ia), on a parallel with (ib), whereas *bringing* in (ii) would be non-progressive:

- (i) a. I want them standing when the Minister enters.
- b. I want them to be standing when the Minister enters.
- (ii) I don't want you bringing the dog with you.

- (44) “You haven’t shaved again: you look a right mess. I don’t want you coming to see me like that”. (*The Guardian*, 1996).
- (45) “I’ve only been here eight months and I am just trying to get out. I don’t want my son growing up around here”. (*The Guardian*, 2000).
- (46) In Pensacola, he was welcomed at a rally of nearly 10,000 supporters by the blue grass musician Ricky Skaggs, who told the crowd: “We don’t want Hollywood deciding who our next president is”. (*The Guardian*, 2004).

Out of the 148 examples of the [*want* NP V-*ing*] pattern in my corpus data, 113 occur in declarative sentences and 6 are registered in interrogative sentences. Since the ascription of a given example to the semantic types recognised by Wherrity and Granath is not straightforward, I cannot corroborate Wherrity and Granath’s findings for the [*want* NP V-*ing*] construction and cannot conclude that the illocutionary force of the sentence plays a role in the distribution of this pattern.

3.3. GRAMMATICAL POLARITY

The studies on the connection between polarity and the type of nonfinite clausal complementation governed by *want* of which I am aware have focused on the [*want* NP V-*ing*] pattern since the [*want* NP to-V] is, in this respect, unmarked and is found extensively in both affirmative and negative sentences.

In a corpus of two million words of British and American English, Andersson (1985) found one single example of [*want* NP V-*ing*] (Andersson’s ‘PrP’ construction) in a sentence without negation. On the other hand, Wherrity and Granath (2006) report that the vast majority of the [*want* NP V-*ing*] examples occur in negative sentences.¹⁷ In their corpus, which consists of approximately 255 million words from British newspapers dated 1993-2004 (*The Times* 1993, and *The Guardian* and *The Observer* 1996-2004), 83.13 percent of the *ing* examples (700 out of 842 examples) are registered in sentences with negative polarity; 5.46 percent (46 examples) are retrieved from interrogative sentences and 11.4 percent (96 examples) occur in affirmative clauses. Such percentages seem to reveal that the variable which plays the most significant role in the distribution of the [*want* NP V-*ing*] construction in the press genre from 1993 to 2004 is ‘± interrogative

17. Fanego (2004b: 46) describes the historical evolution of *ing* clauses and mentions that “the earliest English verbs to govern gerundive object clauses were [...] negative implicatives”. Such a historical semantic constraint on the type of governing verb may somehow underlie the statistical preference for the *ing* construction to co-occur with negative *want* forms.

polarity', which is extremely significant ($p = 0.0001$); in other words, the frequency of the *ing* construction in interrogative sentences progressively deviates from the frequencies of the same pattern in affirmative and negative sentences, the differences observed in the latter polarity alternatives not being so significant.

Wherrity and Granath (2006), which is focused on the diachronic productivity of the [*want* NP V-*ing*] construction, is useful as far as the factor of grammatical polarity is concerned since it provides information about the distribution of the *ing* complementation variant in affirmative, negative and interrogative sentences. Whereas Wherrity and Granath's data will be discussed in detail in section 3.4, let us now concentrate on the degree of variation illustrated by their 700 examples of negative sentences versus 96 of affirmative sentences out of 842 examples. The chi-square results ($p = 0.0001$) underline the significance of such a differences.

My corpus data corroborate the previous findings. Of the 148 examples of [*want* NP V-*ing*], 40 are found in affirmative sentences and 102 in negative sentences. These figures demonstrate that the construction with the *ing* verbal form is particularly productive in negative sentences, which is statistically significant according to the chi-square tests ($p < 0.0001$).

3.4. DIALECTAL, TEXTUAL AND DIACHRONIC VARIATION

Want is a common verb in English. According to Biber et al. (1999 : 711-713), its frequency is approximately 525 per one million words – my data underline such an outstanding ratio since I have found 87,804 occurrences of verbal *want* in, for example, the 97,626,093 words of the BNC, which corresponds to a normalised frequency of the item under investigation of 899.39 per one million words. Such relative productivity of *want* meets proper explanation if one ponders on its semantics. As Biber et al. point out when they want to justify the higher proportion of *want* in their dialogue samples (more than 700 examples per million words versus approximately 400 in the news and somewhat higher than 100 in academic prose), “it is topically relevant for participants to express their own personal desires (*I want* X) or less commonly the personal desires of others (*she/he/they want(s)* X)” (Biber et al. 1999: 711). In this section I shall, first, report the frequencies of the *want* constructions under analysis which are cited in the relevant literature and, second, will offer the results of my investigation.

In his pioneering study on verbal complementation, Andersson (1985) investigates the patterns in which *want* occurs in a corpus of two million words of British and American English. The summary of his results is given in Table 2:

pattern	text type	dialect	examples	n.f. (/million w)
<i>to</i> -infinitive	imaginative	British	142	134
		American	92	
	informative	British	19	
		American	15	
			268	
<i>ing</i>	imaginative	British	5	8
		American	10	
	informative	British	–	
		American	1	
			16	

Table 2. *Want complementation (adapted from Andersson's 1985: 109, Table 8).*

Several remarks seem in order here in the light of the data in Table 2. First, *want* is followed by an infinitive clause in 134 examples per one million words,¹⁸ whereas the normalised frequency (n.f.) for the examples in which *want* governs an *ing* form is only 8 examples per million words.¹⁹ This signifies that the *to*-infinitive clauses constitute the preferred complementation alternative selected by *want*, at least when there is an intervening noun phrase between *want* and the nonfinite clause. Second, the distribution of the data per text type might imply that more examples are found in the fictional texts (117 examples of the infinitive pattern per one million words occur in the fiction subcorpus and only 17 in the informative samples; almost all the examples of the *ing* constructions have been found in the imaginative texts). However, such a difference (contra Andersson 1985) has not proved to be statistically significant ($p = 0.7024$).²⁰ Third, more examples of *want* followed by nonfinite complementation

18. Mair (1990: 111) finds 366 examples of the [V NP *to*-V] construction in the Survey of English Usage corpus, 80-90 percent of the sentences with *want* being included in this pattern, a percentage which is in line with, for example Andersson (1985), already discussed – other verbs which are found in the [V NP *to*-V] pattern in Mair's (1990) study are: *allow*, *enable*, *expect* and *get* (41-50 percent); *like* (31-40 percent); *cause* and *require* (11-20 percent); and *have*, *order*, *wish*, etc. (with frequencies lower than 10 percent). The specific proportions of [V NP *to*-V] in the spoken and written subcorpora are, respectively, 393.25 (175 occurrences in 445,000 words) and 483.54 (191 in 395,000 words) per one million words. Unfortunately, Mair does not provide the specific frequencies for the *want* examples.

19. Aarts and Aarts (1995) undertake a corpus-based analysis of the patterns [*want* NP *to*-V] and [*want* NP V-*ing*], which leads to the following frequencies: 96 examples of [*want* NP *to*-V] and 5 occurrences of the [*want* NP V-*ing*] construction in a corpus of post-1985 printed English (TOSCA) which comprises approximately one million words.

20. The number of examples which I have attested in my corpus data is so small per text type that no statistical significance test can be applied to my figures.

have been retrieved from the British subcorpus (83 occurrences per one million words versus 59 in the collection of American English). Unfortunately, since Andersson does not provide the overall frequency for *want* in his corpus, one cannot investigate whether this remark is justified simply by the wider occurrence of *want* in British English or whether this indicates that clausal complementation after *want* is more popular in British English. In this vein, the preference for *want* controlling a *to*-infinitive form, as already mentioned, is also corroborated when one takes into account the dialectal distribution of the construction (97.57 and 90.67 percent of the examples include the infinitive form in, respectively, British and American English). Even though the proportion of constructions including the *ing* form is apparently greater in American English (3.03 percent of the examples in which *want* controls a nonfinite clause belong to the *ing* type in the British texts, and the percentage for American English is 9.32), the chi-square results demonstrate that such a difference is not statistically significant ($p = 0.1283$). My data corroborate the same conclusion since the distribution of *ing* versus *to*-infinitive complementation in LOB-FLOB versus Brown-Frown is not significant either (LOB-FLOB: 9 and 168 instances of, respectively, [V NP *V-ing*] and [V NP *to-V*] versus Brown-Frown: 7 and 183 examples, respectively; $p = 0.6886$).

In their study on *want* complementation after 1993, Wherrity and Granath (2006: Table 1) registered 842 examples of the *ing* construction in their corpus of approximately 255 million words, that is, with a normalised frequency of 3.3 examples per million words. Apart from the raw percentage itself, which unfortunately is not contrasted with the frequency of the [*want* NP *to-V*] alternative, Wherrity and Granath's paper is certainly illuminating because it attests the apparent progressive increase of the *ing* construction from 1993 onwards.²¹ In Figure 2 I offer Wherrity and Granath's (2006) results on the basis of normalised frequencies per 1 million words – the figures used by Wherrity and Granath are not normalised and, in consequence, their findings may be slightly distorted. The chi-square test does not however support the visual output in Figure 2 and reveals that the diachronic difference is not statistically significant ($p = 0.7176$).²²

21. Such an increase of the *ing* construction in the very recent history of the language, reported by Wherrity and Granath (2006) would not be at odds with Aarts and Aarts's figure (5 occurrences) since the latter is based on a corpus with textual material previous to Wherrity and Granath's study.

22. The negative results of the statistical test imply that the productivity of the pattern with the *ing* form is not a by-product of dialectal variation but the consequence of Mair and Leech's (2006: 329) finding that gerundial complement clauses are on the increase.

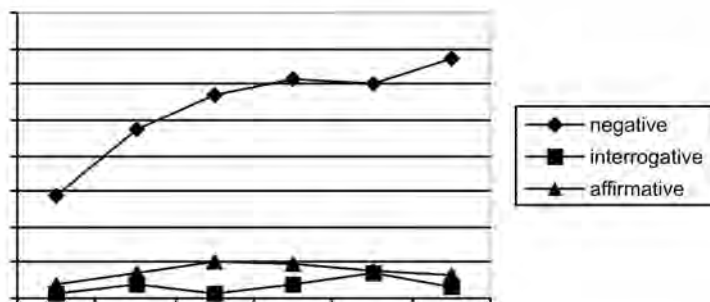


Figure 2. Wherrity and Granath's (2006) frequencies for the [*want* NP V-*ing*] construction after normalisation.

4. CONCLUDING REMARKS

This paper has tackled the analysis of the major nonfinite complementation patterns governed by *want* in Present-day English. Special attention has been paid to the [*want* NP V-*ing*] construction, whose ratio of occurrence is very low in English (approximately 6 percent of the examples in which *want* is followed by a nonfinite constituent in Andersson (1985), 4.95 percent in Aarts and Aarts (1995), 3.3 instances per million words in Wherrity and Granath (2006) and 148 examples in my corpus data from seven large corpora). As a consequence of the low proportion of [*want* NP V-*ing*], *want* is not even included in Biber et al.'s (1999) top-ten list of verbs controlling *ing* clauses.

The existence of strong arguments in favour of the status of the nominal constituent after *want* as object of the matrix clause and subject of the nonfinite predicate has led to the analysis of such a nominal element as the object of *want*, followed by an extended complement materialised by a nonfinite clause (or Tense Phrase) whose subject is a PRO category coreferring with the matrix subject.

Both the analysis of the semantics of the two patterns of complementation in those examples in which the constructions can be interchanged and the productivity of both structures according to variables such as force, text-type idiosyncrasy, dialectal distribution and diachronic evolution have shown that the differences between [*want* NP *to*-V] and [*want* NP V-*ing*] are not statistically significant in contemporary English. In consequence, Smith and Escobedo's (2001: 561) claim that "*to* vs. *-ing* complements are semantically motivated and not arbitrary" has not been corroborated as regards the nonfinite complementation of *want*. By contrast, I have supported the view that polarity plays a significant role in the selection of [*want* NP V-*ing*] since most of the *ing* complements occur in negative sentences.

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TOOLS FOR ENGLISH-SPANISH CROSS-LINGUISTIC APPLIED RESEARCH¹

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ABSTRACT. *Empirically-based, cross-linguistic research should have a central role to play in offering solutions to applied problems. However, this role remains largely unexploited and the transformation of contrastive descriptive findings into useful applications has received little attention. Applied professionals looking for useful and reliable aids to assist them in their cross-linguistic routines see their needs ignored as supplying solutions is not generally considered as part of the research process. Part of the problem derives from the inadequacy of the existing tools for turning declarative knowledge into performative knowledge to serve particular applied purposes. This paper aims at re-defining the role of both new and already existing tools in terms of their contribution to applied research.*

1. INTRODUCTION

Applied linguistic research means different things in different contexts. In the context of the real world what applied users require, and indeed desire, are ready-to use aids built on reliable findings. In the academic context, however, the research community tends to dismiss applied needs as either beyond their concern or to be sorted out by the applied users themselves. Researchers do not consider supplying solution(s) as part of their duty and applied users are expected to derive the aids themselves from state-of-the-art research (Sinclair 2004).

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Proposals that seek to bridge this gap between researchers' and users' expectations are generally linked to corpus-based work. In terms of methodology, corpus linguistics has played a central role in the construction of tools which (assumedly) serve to improve and upgrade user performance. Nevertheless, rather than actual applications, most of the new possibilities involve corpus work by the final user (Bowker and Pearson 2002). Applied users tend to consider the rapid access to empirical evidence and the immediate feedback that may be obtained as aids. But corpora, of whichever type, do not provide applied users with answers and/or ready-made solutions (Rabadán in press). In addition there is the problem that lies in the unpredictability of the results of these searches when the user is an applied professional (Bernardini 2000).

In many respects, these issues belong in the domain of *cognetics*, i.e., cognitive engineering. Cognetics is a kind of 'ergonomics of the mind' and its purpose is to take into account the capabilities and limitations of the human mind when designing a user interface (Foraker Design 2002-2005) or, as in this case, tools for English-Spanish applications. Two of the more general and central concepts in cognetics are usefulness and usability.

Usefulness is a performance indicator associated with the extent to which tools (technological, conceptual or otherwise) are actually relevant to the actual needs of a user. When research has an applied goal, not every single phenomenon which is interesting from a descriptive point of view is necessarily relevant, however those which are tend to be associated with frequent problems in cross-linguistic practice.

In addition to being useful, descriptive findings need to work as an efficient tool for applied purposes. This requirement is known as *usability*. This parameter refers to (a) the way the users' abilities and limitations have/have not been considered when building a product and (b) the user satisfaction it arouses in terms of learnability, effectiveness and efficiency (Byrne 2006: 154-156).

This paper sets out to identify the role(s) and assess the contribution to cross-linguistic applied research of a set of tools in terms of their usefulness and usability.

2. IDENTIFYING THE TOOLS AND THEIR CONTRIBUTION

This cross-linguistic applied research uses four types of tools: two technical, namely, computerized corpora and statistics; one conceptual, i.e., cross-linguistic labelling; and one evaluative, which comprises a control group of representative users.

The empirical comparable data come from two large monolingual general corpora, the BoE (<http://www.collins.co.uk/books.aspx?group=153>) and the CREA

(<http://corpus.rae.es/creanet.html>), which serve as source corpora. Here 'source' means that the chosen monolingual corpora are used as a starting point to build a comparable corpus designed to address cross-linguistic problems (English-Spanish). The result is two subcorpora, one English, the other Spanish, that include the same type of textual materials and that have some 30 million words each. The role of the comparable corpus is to supply empirical data related to the correct grammatical usage in both English and Spanish of each phenomenon. Evidence obtained from this source brings the prescriptive component into the process, which is at the core of everything applied (Toury 1995).

P-ACTRES is a do-it-yourself (DIY) parallel corpus containing original texts in English and their translations into Spanish (McEnery, Xiao and Tono 2006: 71). The role of P-ACTRES is to contribute empirical diagnostic data that are to be contrasted with those obtained from the comparable corpus. When applied to translation data 'diagnostic' means 'instrumental' in that they are not the object and/or goal of the study but a means to obtain complementary information about language use and cross-linguistic interpretation.

In producing cross-linguistic analysis quantitative and qualitative data are required, and the need to interpret both types of findings arises. Statistics help in keeping the analysis of corpus-based materials within manageable limits. Furthermore they attest the representativeness of the samples to be analyzed. Inferential statistics are an invaluable aid in interpreting the results from the corpus-based contrast and constitute the bridge between quantitative and qualitative analysis. This is so because inferential tests tell us whether statistical significance between proportions of different rank (original vs. translated language) exists.

The conceptual tool consists of a set of labels relevant for cross-linguistic discrimination of grammatical meaning English-Spanish. The role of the labels is to help identify the common ground (or the opposite) between English and Spanish during the experimentation process, i. e., to act as *tertium comparationis* (Krzeszowski 1990). Without them it would not be possible to collate the data, as there would be no systematic relationship between English and Spanish phenomena.

The informants are prototypical applied users that act as a 'control group' in providing feedback concerning the relevance and usefulness of findings as well as usability recommendations. Their suggestions function as working assumptions or on-the-road evaluative comments throughout the research process.²

2. Suggestions from the 'control group' do not preclude extensive assessment and evaluation of future applications derived from this research.

These four tools can be used profitably in different sequential combinations, which are designed to yield useful and usable results for English-Spanish applied activities (Rabadán 2007).

3. MONOLINGUAL CORPORA AS 'SOURCE' CORPORA: BUILDING COMPARABLE CORPORA ENGLISH-SPANISH

One important decision when setting out to research cross-linguistic problems (English ↔ Spanish) is to take advantage of already existing corpora whenever their usefulness is pertinent. Since corpora are always designed for a particular purpose, judging whether ready-made resources could actually be useful sources for our particular aim was crucial. There is only one foolproof measure for this: a consideration of the research question(s). Here 'source' means that the chosen monolingual corpora are used as a starting point to build a comparable corpus designed to address cross-linguistic problems (English-Spanish). Taking this need for flexibility into account a number of procedural decisions were made regarding three primary concerns: availability and representativeness in English and in Spanish; qualitative and quantitative comparability; and usability of the chosen corpora.

While there are abundant corpus resources for English, in Spanish the choice is more restricted.³ For this reason the selection process commenced with a consideration of the possibilities in Spanish and their potential 'matches' in English as well as their usability. For Spanish it soon became clear that the most promising candidate was the CREA; for English both the British National Corpus (BNC) and the BoE were considered. Key factors in opting for the BoE corpus, however, were: the classification of mode and domain; and size of the texts (samples in the BNC) and their chronology. A "general corpus" typically means that the corpus is balanced with regard to the varieti(es) of the language and with regard to genres and domains (McEnery, Xiao and Tono 2006: 59). Both the BoE and CREA are large corpora (524 and 170 million words respectively) which contain different varieties of English (British and American mainly) and Spanish (European, Andean, Caribbean, Central, Chilean, Mexican and Rioplatense) respectively. The Collins Wordbanks *Online* English corpus is the commercially

3. For English, a good and balanced overview in McEnery, Xiao and Tono (2006: 59-70); for Spanish see http://liceu.uab.es/~joaquim/language_resources/lang_res/Corp_text_esp.html which covers CREA, CUMBRE and LEXesp; <http://www.uam.es/proyectosinv/woslac/DOCUMENTS/CEDEL2%20-%20call%20for%20collaboration.pdf> for CEDEL and <http://www.bds.usc.es/> for ARTHUS. All visited November 2006. The listings are meant to be indicative, and do not claim to be comprehensive.

available section of the BoE which has been used for this enquiry. It is composed of 56 million words distributed, as in the CREA, into contemporary written and spoken text. For both corpora, the subcorpora selected are: “books”, “newspapers”, “magazines” and “ephemera/miscellaneous”. Since the final results of our research aim at building applications for written language activities, the “spoken” language subcorpora have not been considered.

A key feature of these ready-made corpora is the possibility offered by CREA to select the chronology of the materials. As the BoE does not offer the chronological restriction feature, a primary corpus building strategy has been to start from the (default) English corpus and then go on to use the chronological selection feature in CREA so as to obtain a statistically comparable volume of materials in Spanish (Rabadán 2005: 60-61). This results in two subcorpora, one English, the other Spanish, that include the same type of textual materials and that have some 30 million words each (resulting from a trimming down of the original ‘source’ corpora). Qualitative comparability has been achieved by using the ‘geographical variety’ and the ‘domain’ features, both of which are present in the BoE and in CREA. These corpus selection strategies satisfy the mutual suitability of the English and Spanish language materials for the purposes of this study in terms of both quantity and quality.

The final parameter influencing procedural decisions is usability. For researchers as users of the BoE and CREA much of this work has been done, since each ‘source’ corpus supplies its own browser and navigation styles. An informal ‘control group’ of researchers reported satisfaction with corpora content and organization, which help effectiveness, whereas the same group expressed on-and-off disappointment with the software tools, which occasionally detract from efficiency. Yet, on the whole, the benefit of using available corpora was deemed to outscore the arduous task of building an English-Spanish bilingual comparable corpus from scratch.

4. THE NEED FOR DIAGNOSTIC DATA: BUILDING P-ACTRES⁴

The principal factors when planning P-ACTRES were the research questions to be addressed and a number of practical considerations concerning corpus size and hence the availability of textual materials.

4. The acronym stands for *parallel ACTRES*, which in turn is the Spanish-English mixed language acronym for the research group (and long-term research project) ‘Contrastive analysis and translation English-Spanish’ (*Análisis contrastivo y traducción inglés-español*). It is the name of a general language bilingual corpus compiled by group members M. Izquierdo, B. Labrador, R. Rabadán and N. Ramón

The corpus was intended as a source of diagnostic data in contrastive grammatical analyses English-Spanish. Although an independent corpus, P-ACTRES is intended to be used mainly as a diagnostic tool in combination with the phenomenon-specific comparable bilingual corpora English-Spanish sampled from the BoE and CREA. A third verification (or control) research protocol contemplates its use in combination with the CREA subcorpus used for each particular analysis (as part of the comparable bilingual corpus).

It was decided to use the sampling scheme of both the BoE and CREA so as to comply with the requirements of balance and representativeness, two corpus features that are best interpreted loosely, as noted by Hunston (2002: 28-30). The standards of balance, and, representative of what, are questions that do not lend themselves to an easy answer and, if there is one, it will most likely be debatable. In this case balance means that P-ACTRES reflects the qualitative composition of both the BoE and CREA, which is taken to be an indication of balance according to the adopted models.⁵

Representativeness is an important consideration when building a corpus and is closely connected to two further features: size and sampling. There is no standard size for a corpus to be representative, only recommendations that are always open to question. While a very influential proposal is the convention of considering the threshold of representativeness at 1 million words per language (Biber 1993), the discussion chiefly concentrates on whether to use large or small corpora and for what purposes.

Following the slogan 'no data like more data' large, multi-million word corpora, have been the normal practice in corpus analysis for lexical purposes. Yet, smaller corpora have proven useful and representative for purposes other than lexical analysis (Flowerdew 2001, Connor and Upton 2004). What can be considered as adequate size is relative to the purpose(s) the corpus serves as well as to practical issues.

and used for researching different problem-trigger aspects of grammatical contrast English-Spanish. Another group member, K. Hofland (AKSIS, University of Bergen) has contributed expert advice and help concerning computing issues.

5. Corpus balance is largely 'a matter of faith' as there is no reliable scientific measure for it. For a most authoritative source, (McEnery, Xiao and Tono 2006: 16). Yet seeking to achieve it by adopting an already existing (assumedly balanced) corpus as a model is an accepted and acceptable procedure in practice. P-ACTRES builders have considered this strategy convenient and methodologically sound for their research goals. Corpus data must be treated with caution and conclusions and/or generalizations derived from them are not to be seen as hard-and-fast rules (if such a thing can be said of language production), but rather as deductions or tendencies drawn from empirical information.

P-ACTRES has been designed to work effectively for application-oriented, cross-linguistic grammatical research. The rate of recurrence is higher for grammatical than for lexical phenomena as the former constitute a closed, finite set, which means that a given grammatical phenomenon will occur more often than one particular lexical item in the corpus regardless of its size.

Since it obviously limits corpus size, the availability of materials (machine-readable and/or paper-based) is a primary consideration. As observed by Zanettin (2000), this is particularly true in the case of parallel (or translation) corpora, as it is not unusual to have a very unbalanced situation across languages and types of text. The conversion of paper-based materials to electronic form has to be taken into account as it continues to be costly and necessarily involves a higher degree of errors due to human intervention. A further issue concerning available materials is copyright and related legal implications.⁶ This can seriously affect the size of the parallel corpus since the corpus builder(s) are responsible for seeking copyright clearance from the copyright holders of both English and Spanish materials. It also determines whether the corpus can be made freely and/or commercially available.

The P-ACTRES corpus features over 2 million words distributed among the same types of textual material contained in the monolingual subcorpora (see Table 1 below). All the translated materials are reviewed for “threshold quality” before becoming part of the corpus. The “threshold quality test” reviews two aspects: overall intelligibility in Spanish and “degree of semantic match” between the original and the translation. P-ACTRES is an open corpus and its copyrighted materials cover the period 2000-2006.⁷ Due to legal restrictions P-ACTRES includes chunks of about 15,000-20,000 words each rather than complete texts. The vast majority of the materials for the subcorpora ‘books fiction’, ‘books non-fiction’ and ‘miscellaneous’ are paper-based, those for ‘newspapers’ and ‘magazines’ were downloaded from their respective Internet sites.⁸

6. As a general rule, in the EU texts are copyrighted for their authors’ lifetime plus 70 years. For more information see http://ec.europa.eu/internal_market/copyright/docs/docs/1993-098_en.pdf. For copyright regulations in the USA see <http://www.copyright.gov/circs/circ01.pdf>. In Canada refer to <http://laws.justice.gc.ca/en/C-42/index.html>.

7. There are two exceptions to this chronology dated 1995 and 1998 respectively.

8. About electronic data capture, cleaning and conversion tools see McEnery, Xiao and Tono (2006: 73-74).

P-ACTRES CORPUS	ENGLISH	SPANISH	TOTAL
Books Fiction	396,462	421,065	817,527
Books Non-Fiction	494,358	553,067	1,047,425
Magazines	111,770	117,828	229,598
News	132,006	147,967	279,973
Miscellaneous	40,178	49,026	89,204
Total words	1,174,774	1,288,953	2,463,727

Table 1. *Composition P-ACTRES corpus (June 2007).*

P-ACTRES adheres to the mark-up scheme of the Text Encoding Initiative (TEI) (Sperberg-McQueen and Burnard 2004) so as to facilitate exchange of information and usability. This (opaque) declaration of intentions indicates that contextual and organizational information has been encoded in the corpus so as to instruct its users on how the contents of the text are presented. P-ACTRES has ensured this is as basic as possible: the texts conform to XML⁹ and the body of each text is tagged for structural elements (Izquierdo, Hofland and Reigem forthcoming). The software used is XML editor Oxygen 5.0 (SyncRO Soft Ltd 2002-2007). Traceability is also warranted so each text is assigned an ID code (P-ACTRES browser interface figure 1, 'text' window).

When considering corpus annotation, again the guiding criteria were usefulness, usability, and, of course, feasibility. On these grounds, it was decided to keep annotation as neutral as possible using generic part of speech (POS) tagging. The advantages of this decision are evident, as the corpus materials are used to address different research questions concerning different cross-linguistic grammatical issues that would have called for different corpora, if restrictiveness rather than broad coverage, had been the choice. P-ACTRES is then POS tagged using traditional grammatical categories by means of the IMS¹⁰ Tree Tagger (<http://www.ims.uni-stuttgart.de/projekte/corplex/TreeTagger/>), a language independent tagger that also includes lemma information, with a success rate of

9. eXtensible Markup Language, an improved offshot of the Standard Generalized Markup Language (SGML: ISO 8879).

10. IMS stands for *Institut für Maschinelle Sprachverarbeitung*, the Institute for Natural Language Processing at the University of Stuttgart, Germany.

96.4%, which makes it quite reliable. The POS labels can be accessed by scrolling down the POS boxes in the P-ACTRES browser interface (Fig.1).

The alignment program used in P-ACTRES is a new and refined version of the Corpus Translation Aligner (Hofland and Johansson 1998), created as the alignment tool for the English-Norwegian Parallel Corpus (ENPC) (<http://www.hf.uio.no/ilos/forskning/forskningsprosjekter/enpc/>). It automatically matches sentences, although it is possible (if necessary) to correct and expand the proposed correspondence manually. The program is language independent and simultaneously uses three main criteria: i) a list of anchor words; ii) proper nouns and iii) 'dice score' (cognates in McEnery and Wilson 2001). The alignment process yields two types of results: i) XML textual pairs containing both source and target texts and their identification tags, the function of which is to register and record equivalent relations across language and textual boundaries, and ii) a series of new TXT paired documents. These TXT documents are in turn converted into a HTML single bi-textual document. This third 'aligned' product is fed to the browser and is then ready to be searched in its usable format.

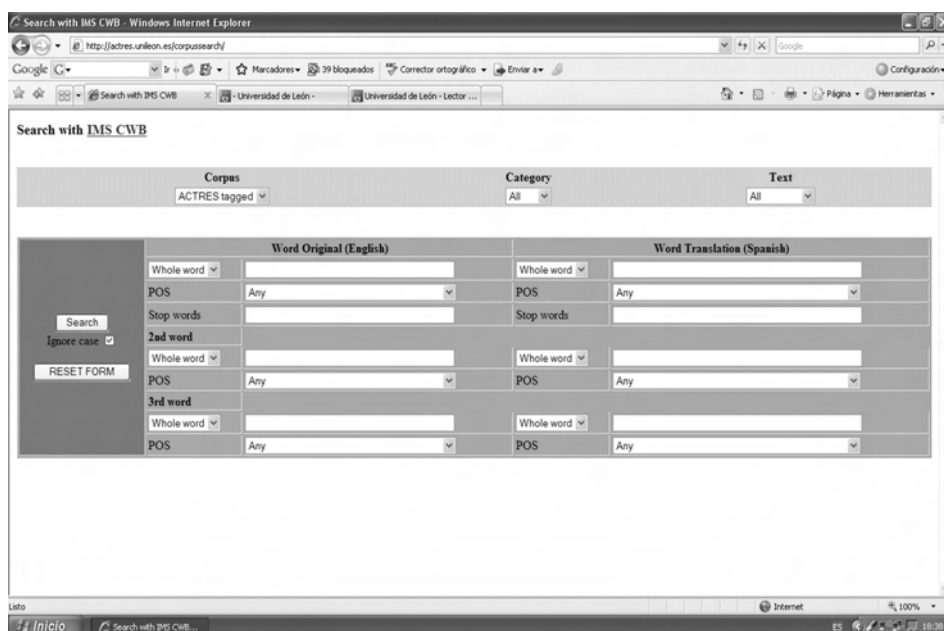


Fig 1. *Corpus Workbench interface.*

At this stage, P-ACTRES has acquired the added-value of an aligned, annotated, bilingual corpus. All the extra information that has been encoded in the corpus materials will allow for smooth, convenient querying strategies. In order to extract information from a corpus, a browser is of capital importance.

The choice for P-ACTRES has been the IMS *Corpus Workbench* (CWB) (<http://www.ims.uni-stuttgart.de/projekte/CorpusWorkbench/>), a corpus query processor that is the final users' tool. As shown in fig. 1 the browser's interface offers two selection parameters, 'category' and 'text' that tell us the code tags for the subcorpora that can be browsed – e.g., 'F' for fiction, 'M' for miscellaneous – and for the aligned pair, a chosen part it belongs to – e. g., (FCJ1E.s573) + (FCJ1S.s557). It also contains 3 box sets allowing up to three word queries. Each set features a row for the item to be searched and another for the POS tag selection. Searches can be made in both directions, English ↔ Spanish.

The reasons why the TEI recommendations (mark-up), the Tree Tagger (annotation), the Corpus Translation Aligner (alignment) and the CWB (browser) have been the tools chosen for building P-ACTRES are quite straightforward: (1) they are adequate for our purposes, that is, useful, and (2) the technical expertise they require is accessible for different user types, including researchers, which means they are usable.

5. TERTIUM COMPARATIONIS: CROSS-LINGUISTIC LABELS

While computer tools allow us to organize raw materials in the corpus-building stage, it is important to explicitly recognize the instrumentality of both comparable and parallel corpora in the process and focus again on the research question(s). In order to find answers to those questions, the empirical information offered by the corpora must be collated profitably, and, to do so effectively, conceptual tools are necessary.

Any attempt at cross-linguistic analysis needs some criteria for comparison to weigh the extent of the similarities and the differences. This tool is generally referred to as *tertium comparationis* (Krzyszowski 1990: 15) and in this proposal it is a set of useful labels. Since their purpose is to help identify and represent features which are relevant for cross-linguistic purposes, they do not follow the usual conventions of descriptive linguistics, rather they show different statuses as they can mark grammatical, pragmatic, semantic and, even, interlanguage information (Chesterman 1998: 27-40). Furthermore, the labels and the terminology are tested for usability so that they can be accessible to final users as a basic tool in a number of applied activities, including revision.

As our corpora do not offer semantic tagging,¹¹ this part of the analysis cannot be solved (semi)automatically, and the meaning labels have to be assigned to each utterance individually, as shown below.

HABIT-IN-THE-PAST [HBP] incorporates the feature ‘continuous, repeated action in the past’, as in examples 1 and 2

From that day on, whenever Coward came to London, Greenwell would go round to the Savoy before the performance. [HBP_145]

Desarmaba literalmente las cuestiones que le eran planteadas, miraba a su interlocutor con su característica mirada seria y escéptica y formulaba respuestas perfectas para la impresión. [HBP_40]. [He would literally dissect the questions that were asked of him, stare at his listener with his skeptical serious eyes and give answers that could perfectly go straight into print].

6. USING STATISTICS: QUANTITATIVE AND QUALITATIVE ANALYSIS

In producing cross-linguistic analysis (objective) quantifiable and (intersubjective) qualitative data are required, and the need to interpret both types of findings is apparent.

Statistics are most useful at two stages in the experimentation process, when selecting raw data and when reporting results. The first is traditionally dealt with by means of random sampling; the second involves stating whether your results are statistically significant. In both situations, real differences need to be represented and distinguished from random variability. Statistical stringency serves in safeguarding against any potential mistake(s).

Sampling is necessary at both the corpus building and selection stages. Applying stratified random sampling according to needs is a safe way of ‘avoiding the possibility of obtaining/generating a sample that does not include interesting rare items in the population’ (McEnery, Xiao and Tono 2006: 21). In other words, we ensure that the sample is a perfect mirror of the distribution of the different classes (or strata) identified for the population. In our research these strata are the different meanings, functions or uses for which empirical evidence has been found.

Frequency information is another aspect where statistics have a role to play. Such information may be readily available from corpora, but this does not mean

11. There are some results in this direction, and a type of semantic tagging has been developed at Lancaster University (Piao, Ryson, Archer and McEnery 2005). This type of (necessarily) restrictive and highly formalized tagging does not seem to be particularly useful for our ultimate applied goal(s), although evidently it does have implications for future developments.

that being the most frequent (or typical) equals being the most important and that being less frequent justifies the exclusion from the study of certain phenomena. As noted by Kennedy (1998: 290) the value of frequency is to add one more criteria to those already being used in the research frame and its importance should not be overvalued.

While not all types of tests in statistics are useful or apply to all corpus-based findings, some stringency measure to collate the quantitative data is needed. It is precisely our concern with being as inclusive as possible that has influenced the type of tests used in this study. When analyzing data the goal is 'to arrive at the strongest possible conclusion from limited amounts of data' and to try to reach conclusions that extend beyond the sample we have analyzed. To this end, recourse to inferential statistics proves useful (Lowry 1999-2007).

Our test choice must be informed by the characteristics of our empirical data. In cross-linguistic work we very often deal with fairly large samples distributed in very irregular patterns. Furthermore, the data to be compared tend to come from different populations and different sampling processes, indicating that they qualify as independent proportions. Under these conditions, it is appropriate to use statistical 'hypothesis testing' ('hypothesis test for two independent proportions'). Two helpful indicators in our study are the *p-value* and the *z-test* (or *z-score*).

A result is said to be statistically significant when the *p*-value is less than a preset threshold value called α value. By convention, *p* (also known as 'observed significance level') tends to be set to 0.05 when the confidence interval is calculated for 95% confidence. In theory, confidence intervals can be computed for any degree of confidence and the α value will change accordingly; in practice it is traditionally almost always set to 0.05. Once the appropriate calculations have been made (Orris 2006), if the *p*-value is less than the threshold ($p < 0.05$), the difference is 'statistically significant'. If it is greater ($p > 0.05$), the difference is 'not statistically significant'.

Statistical significance is also sometimes misinterpreted as signifying an important result, but it only indicates whether the data show no difference between the 'known' (original, non-translated) and the 'new' (translated) data. In our applied cross-linguistic research the 'control' data are the original non-translated results obtained from the comparable data analysis and the 'new' data are the diagnostic, translated results. However, it should be kept in mind that in assessing the relevance of statistically significant results what is important is not the size of the significant results, but their effect and consequences on language use.

The *z-test* (or *z-score*) measures the difference between the data and what is expected under the null hypothesis (that translated and non-translated original

grammatical usage are identical, i.e., the samples or populations have the same mean). The z-score is compared to a Z table, which contains the percent of area under the normal curve between the mean and the z-score. For a significance level of 0.05 ($\alpha = 0.05$) and a level of confidence of 95% the normal curve happens between ± 1.96 . If the computed z-score belongs in this region, the null hypothesis is rejected and the result is therefore statistically significant.

Statistical significance obtained by these calculations is, then, another parameter to add to the researcher's toolkit. It can be particularly interesting when interpreting results and it provides a welcome link between quantifiable and qualitative empirical evidence as it helps to focus on those uses or functions that trigger cross-linguistic problems. Yet, quantitative data by themselves do not supply application-building information. Results have to be filtered and their representativeness and suitability for the purposes of the study qualitatively assessed. Feedback from prototypical users constitutes one of these filters.

7. REPRESENTATIVE USERS / INFORMANTS

As an additional tool, a group of informants can play a key role when analyzing for meaning, establishing the cross-linguistic labels and assessing usability. In the case of this proposal there are 10 informants. Their sociolinguistic profile can be defined as 'university educated speaker', 'middle class' and '25-50 years'. Five of them have some variety of English as their first language; the other five are native speakers of European Spanish. All the informants have had some training in linguistic analysis, although only two in each group are professional linguists. In each subgroup there is at least one person who cannot communicate both in English and in Spanish. The rest can at different levels of proficiency. Their professional profile is that of 'applied language professionals', including language services providers, EFL teachers, speech therapists, creative writers, translators, etc.

While strict descriptive linguists tend to prefer non-contaminated, monolingual speakers of the language(s), prototypical applied users were considered a better choice and more useful in this case because (a) they are the intended final users of our proposals, (b) they contribute to testing usability at each stage of the process and (c) they do not require particular training in order to perform as informants.

8. CONCLUSION

We have clarified the contribution and the suitability of each of the tools to the research process. Arguments supporting the convenience of using already available monolingual corpora have been given and the reasons for choosing the

BoE and CREA as ‘source’ corpora justified. P-ACTRES was born from the need to supplement comparable data with diagnostic data in cross-linguistic analyses. Parameters in DIY corpus building and the choices made for P-ACTRES on the basis of their suitability for the goals of this study have been discussed in detail. Qualitative data are analyzed by means of our conceptual tool, the cross-linguistic labels, which provide the organizing criteria for the English-Spanish contrast. The transition from raw quantitative data to useful information usable in our research frame is provided by statistical significance tests. These add rigor and help to ward off what is known as ‘confirmation bias’ on the part of the researcher (i.e., the tendency to search for interpretations that confirm his/her unverified view). Usability is warranted by the contribution of a ‘control group’ of representative users who act as informants.

While tools occupy the front stage in any empirical study, this fact may obscure the purpose of the research process. Therefore, a clear understanding of the research questions being addressed and the need to find solutions for them are essential. This involves a significant degree of flexibility on the part of the researcher when selecting, adopting and adapting useful and replicable procedures capable of functioning as an effective means to particular applied ends.

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CHALLENGING SYSTEMS OF LEXICAL REPRESENTATION¹

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ABSTRACT. *The aim of this paper is to offer an overview of some of the most relevant heuristic parameters that have been used for the organization of the lexicon in a representative sample of formal, functional and cognitive models. In connection with this, we address the following theoretical issues: (i) the nature of the metalanguage that should be used as part of a lexical representation theory; (ii) the actual scope of the representation, that is, whether a lexical entry should only capture those aspects of the word that have syntactic visibility or should go beyond that and include richer semantic decompositions together with encyclopedic information; (iii) the type of formalism involved in the description of meaning for the design of robust technological applications. In the light of this discussion, we will present a sample model of lexical description called lexical templates.*

Lexical templates draw insights both from models with a stronger syntactic orientation (e.g. RRG's logical structures) and from accounts where semantic description is more important (e.g. Frame Semantics). A lexical template consists of two different modules both of which are based on a universal abstract semantic metalanguage. The resulting templates have two parts: (i) the semantic module which makes use of lexical functions and (ii) the logical representation or Aktionsart module, which is inspired in the inventory of logical structures posited in RRG. Worthy of note is also the fact that this paper lays out the foundations for a reconversion of the inventory of lexical functions in terms of Pustejovsky's qualiae. Thus, lexical templates are now built on the basis of a new, more robust formalism with greater explanatory and representational capacity.

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1. INTRODUCTION

One of the most ambitious enterprises in linguistic research is to formulate a unified theory that provides an elegant description of the anatomy of the lexicon and more particularly of the different theoretical aspects of lexical meaning construction. Since the early 1980s the design of the lexical component of grammatical description has become a central concern in various approaches to language (ranging from formal accounts to functional and cognitive models, as will be discussed below). Lexical description has further been shown to have important implications not only for linguistic theory proper (e.g. the development of a bidirectional linking algorithm from semantics to syntax and from syntax to semantics), but also for language processing, robotics, word computation, and the design of intelligent reasoning algorithms within the context of the semantic web, just to name a few.

We could affirm that the lexicon has been and still is a central concern for linguists, psychologists, neurologists, computer scientists, and in general for scholars working in cognitive science. Then, it comes as no surprise that most linguistic models, formal, functional and cognitive have endeavored to formulate proposals that concern the overall architecture of the lexicon and more particularly the type and amount of information that a lexical entry should contain.² As a result, a significant amount of lexical representation theories have been posited from different scientific angles and theoretical perspectives with a view to developing applications both in linguistic theory and in cognitive science.

Within the context of this panlexicalist orientation, this paper aims to present an overview of some of the most relevant heuristic parameters that have been used for the organization of the lexicon in a representative sample of formal, functional and cognitive models. In so doing we additionally aim to offer the reader a critical account of the complexity involved in coming to grips with a comprehensive theory of the lexicon.

2. Cognitive approaches to lexical structure essentially differ from functional and formal accounts in two ways. First, the former generally formulate very rich semantic descriptions for lexical entries (e.g. in the form of 'frames'; see below), which is not the case for the latter, which tend to code only syntactically-relevant information (e.g. Dik 1997a; Van Valin 2005; Levin and Rappaport 2005). Second, unlike functional and formal accounts, cognitive approaches do not regard all morphosyntactic information as predictable from the argument structure of a predicate. The second difference has in fact been one of the hallmarks that have fragmented linguistic models into the so-called 'projectionist' and 'construction-based' approaches. We refer the reader to Levin and Rappaport (2005), González-García and Butler (2006) for a very thorough discussion of the actual scope of lexical entries in linguistic theory.

A glance at most recent research in lexical theory allows us to identify a number of crucial heuristic parameters that in fact have pervaded much of the debate on lexical theory in general. We will devote a section to each relevant parameter. Simplifying a bit, lexicologists have been forced to make decisions on three issues: (i) the nature of the metalanguage that should be used as part of a lexical representation theory (cf. section 2); (ii) the actual scope of the representation, that is, whether a lexical entry should only capture those aspects of the word that are grammatically relevant or should go beyond that and include richer semantic decompositions (cf. section 3); (iii) the type of formalism (cf. section 4) involved in the description of meaning for the design of robust technological applications (cf. section 5). Finally, in the light of the discussion of these three theoretical issues, we will present a sample model of lexical description.³

2. THE NATURE OF THE SEMANTIC METALANGUAGE

If we want to define the meaning of a predicate, we must decide what (meta) language we should be using. In connection with this, there are two clear strands of research; (i) one where the metalanguage for meaning representation is based on natural language; (ii) another where representations are constructed on the basis of an abstract semantic metalanguage. As examples of the first line of research, we find Dik's (1997a) *predicate frames* and the representations formulated in the *Natural Semantic Metalanguage* (NSM) research program conducted by Wierzbicka and her associates (cf. Goddard and Wierzbicka 1994, 2002; Wierzbicka 1996, 1999). The two representations make use of natural language definitional elements without any need to use operators, constants, or variables. Below is the representation of 'mother' as propounded in Wierzbicka (1996: 154-155)

X is *Y*'s mother =

- (a) at one time, before now, *X* was very small
- (b) at that time, *Y* was inside *X*
- (c) at that time, *Y* was like a part of *X*

3. The kind of description provided in section 4 below is part of a complex model of meaning construction at the levels of core grammar, pragmatics, and discourse structure. Besides providing rich semantic characterizations for lexical entries, the model is capable of producing representations that are ready for syntactic realization. For further information on this account, the *Lexical Constructional Model*, we refer the reader to Ruiz de Mendoza and Mairal (2006, 2007, in press) (see also www.lexicom.es and the references therein).

(d) because of this, people can think something like this about *X*:

“*X* wants to do good things for *Y*

X doesn't want bad things to happen to *Y*”.

One of the crucial advantages of this representation, and of the NSM approach in general, is that all the units involved in the representation of the meaning of a predicate are typologically based, an essential aspect of the theory, especially if we want our representations to serve equally well cross-linguistically.

In a similar fashion, although far away from providing typologically valid representations, Dik's *predicate frames* specify the type of predicate, the quantitative and the qualitative valency, the selection restrictions imposed on each of the arguments and a meaning definition. Consider the following examples taken from Dik (1997: 101):

assassinate [V] (x_1 : <human>)_{Ag} (x_2 : <human>)_{Go} ↔
murder [V] (x_1)_{Ag} (x_2)_{Go} (x_3 : *treacherous* [A])_{Manner}
murder [V] (x_1 : <human>)_{Ag} (x_2 : <human>)_{Go} ↔
kill [V] (x_1)_{Ag} (x_2)_{Go} (x_3 : *intentional* [A])_{Manner}
kill [V] (x_1)_{Ag/Fo} (x_2 : <human>)_{Go} ↔
cause [V] (x_1)_{Ag/Fo} (e_1 : [die [V] (x_2)]_{Proc})_{Go}

If we consider, for example, the predicate frame for *murder* we note the following: this verb takes two arguments (this is the *quantitative valency* expressed by means of the x_1 and x_2 variables), an Agent and a Goal (the *qualitative valency*); there are selection restrictions for each of the two arguments (in this case the feature ‘human’); there is a resulting meaning definition that reads as follows: an agent kills a patient or goal intentionally. What is interesting about this type of approach is that it is capable of accounting for the distinguishing parameters of verbs that belong to the same lexical class. In this regard, consider the codification of verbs of *sleep* as formulated in Martín Mingorance (1995) within the context of this approach to lexical representation:

*be sleepy*_v (x_1 : + anim (x_1))_{Proc}
 def = [begin_v (x_1)_{Proc} (x_2 : [fall asleep_v (x_1)_{Proc}] (x_2))_{Goal}]_{Process}
*be drowsy*_v (x_1)_{Proc}
 def = [begin_v (x_1)_{Proc} (x_2 : [fall asleep_v (x_1)_{Proc}] (x_2))_{Goal}]_{Process}
 (y_1 : [appear_v (x_1 : calm_{Adj} & relaxed_{Adj} (y_1))₀] (y_1))_{Circumstance}

These representations give an exact account of the differences between two semantically close verbs such as *be sleepy* and *be drowsy*; while the former just focuses on the process of falling asleep, the latter additionally specifies that while this process takes place, the participant x_1 appears calm and relaxed. These representations are elegant, since they specify non-redundant, syntactically relevant semantic parameters. However, nothing is said of how the argument structure of the predicate (the first part in the representation) interacts with the meaning definition. Thus, the specification consists of two unrelated modules which, as it were, do not speak to each other (cf. Mairal and Faber 2002). One further problem relates to the inability of these definitions to account for many every-day uses of concepts that would require a broader definitional approach. Thus, the definition for *be sleepy* given above could hardly apply to a sentence like *Brisbane is more than just a sleepy town* (i.e. a town where there is not much activity and excitement). Interpreting this use of ‘sleepy’ requires an account that is sensitive to metaphorical and metonymic extension, as has been argued for by many cognitive linguists following the seminal proposals in Lakoff (1987). This is not a moot point. For example, consider the following uses of the concept of ‘mother’:

She mothered him well (i.e. she was her biological mother and took good care of him).

She mothered the baby as if it were her own (i.e. she was not her biological mother but nurtured the baby as a good biological mother would do).

My wife really mothers me! (i.e. she spoils the speaker).

Metaphorical interpretation is more than just a matter of deriving (deviant) meaning from a literal use. It works on the basis of rich semantic characterizations. In our examples above, ‘mother’ is used in connection to biological and emotional attributes that should be part of a meaning definition, even if some of them are “encyclopedic” in nature, i.e. they go beyond the set of so-called “necessary and sufficient” conditions for the concept (in this case the idea that a mother is a female human being that gives birth to at least one child; cf. Taylor 2003, for detailed treatment of some of the problems of non-encyclopedic accounts of meaning). This is particularly so because these uses of mother as a verbal predicate are possible only to the extent that we can make a metaphorical extension of the concept that is based on the idea that mothers are affectionate, tender, and filled with love and the desire to take care of their children. This observation suggests that it might be desirable to see if the encyclopedic elements of the meaning characterization of a given predicate can influence its morphosyntactic realization, a question that has served as one of the motivating guidelines for what we have called *lexical templates*

(see section 4), which are intended to include encyclopedic information that can be bound to elements of syntactic structure. These observations also apply to some extent to the NSM approach. Thus, although Wierzbicka's definition of 'mother' may go some way to dealing with examples like those above, where the notion of 'taking care of someone' can somehow be related to 'X wants to do good things for Y' and 'X doesn't want bad things to happen to Y', it still falls short of providing us with a characterization that can explain the semantic coherence of many other every-day uses of this notion. Consider, in this respect, *My mother divorced my father when I was six*. The use of 'mother' in this sentence is semantically coherent since in our culture it is common for one's parents to be married, what Lakoff (1987) has aptly called the "marital" model of mother, which is not present in Wierzbicka's definition. Or consider the metaphorical expression *Necessity is the mother of invention*. Here the meaning of 'mother' is metaphorically used in the sense of 'source' or 'origin', which is possible because we see mothers as a source of life. Again, this idea is absent from the standard NSM definition, which is too reductionistic.

From a different perspective, a significant number of proposals stemming from both formal and functional approaches make use of an abstract semantic metalanguage, thus following the tradition of formal semantics.⁴ The new formalisms consist of an event structure representation that specifies the *Aktionsart* type (i.e. the internal temporal properties) of a predicate, a set of constants (or primitives), a set of variable elements, and a set of modifiers or operators.⁵ A case in point is Rappaport and Levin's (1998: 108) event structure templates:

[x ACT _{<MANNER>}]	(activity)
[x <STATE>]	(state)
[BECOME [x <STATE>]]	(achievement)
[x ACT _{<MANNER>}] CAUSE - [BECOME [y <STATE>]]	(accomplishment)
[x CAUSE[BECOME [y <STATE>]]]	(accomplishment)

For Rappaport and Levin, verbal meaning consists in the association of a constant with a particular lexical semantic template. Lexical semantic templates

4. Although for space reasons we focus our attention on Rappaport and Levin's event templates, it is fair to note that Jackendoff's (1990) *Conceptual Structures*, Van Valin's (2005) *Logical Structures* (cf. below), Pustejovsky's (1995) *event representations*, and the various unification-based grammars also make use of some form of abstract semantic metalanguage as part of the meaning representation of a predicate. What these theories differ on is the actual scope and the exact inventory of operators and constants.

5. For a very complete account of the various proposals that postulate predicate decomposition based on an abstract semantic metalanguage, see Levin and Rappaport (2005: 3.2).

represent event structure types and constitute a closed set: activity, state, achievement, accomplishment, etc. These linguists maintain that lexical entries for verbal predicates contain an idiosyncratic element, which was originally called the ‘constant’ and in subsequent research was renamed the ‘root’ (Levin and Rappaport 2005: 71). These elements act as modifiers of a predicate (e.g. <MANNER> in activities and accomplishments) or as arguments of predicates (e.g. <STATE> in activities and accomplishments). For example, activity predicates like *run* or *sweep* will be associated with an activity structure template and the constant slot that indicates manner will be filled in thus yielding the following representational format:

[x ACT <RUN>]

[x ACT <SWEEP> y]

One of the advantages of this approach is that we are able to codify the meaning of a meaning by drawing on a metalanguage that gives us a systematic procedure to codify meaning. However, this is done at the cost of ignoring relevant encyclopedic knowledge parameters that are also part of a speaker’s lexical competence. An alternative approach would be to maintain the inventory of event structure templates together with the basic ingredients of the metalanguage and enrich this format by integrating relevant encyclopedic information. As noted above, it is this approach that has in fact inspired our notion of lexical template (cf. section 4).

3. THE SCOPE OF THE REPRESENTATION

Undoubtedly, one of the most controversial methodological parameters that have motivated an intense, and sometimes acid, debate is the amount of information a lexical entry should include. Theories differ on this particular issue and range from those that claim that only those aspects of the meaning of word that are syntactically visible should be part of a lexical entry to those that maintain that a lexical entry should also be sensitive to encyclopedic information. We have two extreme positions that move from the more syntactic to the more semantic poles. We can provisionally call them, adopting Jackendoff’s terminology, the *syntactico-centric* and the *semantico-centric* perspectives.

We will contend that both approaches can be reconciled.

3.1. THE SYNTACTICO-CENTRIC PERSPECTIVE

This strand of research gained a lot of impetus during the 1980s, when it was shown that the syntactic behavior of a predicate is in large part predictable from its argument structure. As a first approximation, and continuing the pioneering work by Fillmore in the two preceding decades, the semantic properties of a predicate were reduced to a set of semantic roles, a type of approach that came to be known as ‘role-centered’. However, it was soon noted that semantic role lists were not sufficient to account for the full complexity of a predicate meaning (cf. Levin and Rappaport 2005). As a reaction to the insufficient explanatory capacity shown by thematic role lists, most linguistic models began to develop more articulated systems of lexical representations based on an abstract semantic metalanguage (cf. section 2) that was deeply imbued with the notion of *Aktionsart*. A case in point is the inventory of logical structures postulated in *Role and Reference Grammar* (RRG), as shown in the following table extracted from Van Valin (2005: 45):

VERB CLASS	LOGICAL STRUCTURE	EXAMPLE	INSTANTIATION OF LS
State	predicate' (x) or (x,y)	see	see' (x,y)
Activity	do' (x, [predicate' (x) or (x,y)])	run	do' (x, [run' (x)])
Achievement	INGR predicate' (x) or (x,y), <i>or</i> INGR do' (x, [predicate' (x) or (x,y)])	pop (burst into tears)	INGR popped' (x)
Semelfactive	SEML predicate' (x) or (x,y) SEML do' (x, [predicate' (x) or (x,y)])	glimpse, cough	SEML see' (x,y)
Accomplishment	BECOME predicate' (x) or (x,y), <i>or</i> BECOME do' (x, [predicate' (x) or (x,y)])	receive	BECOME have' (x,y)
Active accomplishment	do' (x, [predicate'₁' (x, (y))] & BECOME predicate'₂' (z,x) or (y))	drink	do' (x, [drink' (x,y)]) & BECOME consumed' (y)
Causative accomplishment	α CAUSES β where α , β are LS of any type	kill	[do' (x, \emptyset)] CAUSE [BECOME [dead' (y)]]

Table 1. *Inventory of RRG logical structures.*

RRG uses a decompositional system for representing the semantic and argument structure of verbs and other predicates (their *Logical Structure*, LS). The verb class adscription system is based on the *Aktionsart* distinctions proposed in Vendler (1967), and the decompositional system is a variant of the

one proposed in Dowty (1979). Verb classes are divided into *states*, *activities*, *achievements*, *semelfactives*, and *accomplishments*, together with their corresponding causatives. States and activities are primitives, whereas accomplishments, semelfactives and achievements consist of either a state or activity predicate plus a BECOME, SEML and an INGR operator. First, we have to determine the lexical class membership of a predicate by following a number of tests and then use the appropriate template. For example, a predicate like *see*, which is a state predicate, is represented by means of the template designed for states; in the same way, an activity predicate like *run* is formalized by an activity template; and so on. In our view, this kind of approach is elegant and precise in its formulation as well as in the expression of the formalism itself. However, elegance is achieved at the expense of sacrificing the full gamut of semantic and pragmatic parameters that should be part of the meaning decomposition of a predicate (cf. section 3.2.), a theoretical assumption that we cannot agree on.

Furthermore, as shown in Van Valin (2006), these representations have cross-linguistic validity. However, when one works in a language other than English the question that arises is the following; is the analyst supposed to use English primes to encode the meaning of, say, *sing* in Amele, Xoxoni, German, or Swahili? A possible, though not very felicitous, answer would be: it is necessary to use a language, so why not English? One has the impression that logical structures only “speak English” when it would be ideal if they could be constructed by drawing on a universal inventory of features, which would certainly provide a satisfactory answer to our question. A further controversial issue is to determine where the decompositional chain actually ends; e.g. what criteria should we be using to determine the prime element?, why do we use *sing*, *drink*, *run* or *popped* as putatively semantic primes when we know on the grounds of typological analysis that they are not? This is something that Van Valin and Wilkins (1993) have already noted and have tried to solve by making a first proposal for semantically decomposing the predicate *remember*. In subsequent work (e.g. Van Valin and LaPolla 1997), they include an enriched semantic representation for speech act verbs, a line of research that has been continued in work by Mairal and Faber (2007) and incorporated into the *Lexical Constructional Model* (Ruiz de Mendoza and Mairal 2006, 2007).

3.2. THE SEMANTICO-CENTRIC PERSPECTIVE

Although the elegance of the Logical Structure formalisms is beyond question, there is more in the meaning of a word than what is specified in these constructs.

One of the best representatives of this line of research is Frame Semantics and the FrameNet Project.⁶ As Fillmore and Atkins (1994: 370) write:

Frame semantics [...] begins with the effort to discover and describe the conceptual framework underlying the meaning of a word, and ends with an explanation of the relationships between elements of the conceptual frame and their realizations within the linguistic structures that are grammatically built up around the word.

Frames have been used to encode the semantic properties of a lexical entry and have been described as “specific unified frameworks of knowledge, or coherent schematizations of experience” (Fillmore 1985: 223). Semantic frames are schematic representations of situation types (e.g. ‘buying and selling’, ‘eating’, ‘spying’, etc.) describable in terms of participants and their roles. For example, the ingestion frame consists of an “ingestor” that consumes food, drink, etc. (“ingestibles”) often with the help of an “instrument”. These are “core” elements. Other non-core elements are the “degree” or extent to which ingestibles are consumed, the “manner” of performing the action, the “place”, the “time”, the “purpose”, and the “source”. Associated with the frame there are a number of lexical units (e.g. *consume*, *devour*, *dine*, *feed*, *gobble*, *slurp*) and inheritance relations with other frames (for ingestion, “intentionally affect”, i.e. performing an intentional act that affects a patient).

A frame semantics dictionary needs to specify semantic frame elements and then look for regularities among these and their grammatical realizations. Fillmore and Atkins (1994) give an example by analyzing the ‘risk-frame’, which has the following elements:

Protagonist [Pr]: the central person in the frame.

Bad [Ba]: the possible bad outcome, or harm.

Decision [De]: the decision that could trigger this.

Goal [Go]: the desired outcome.

Setting [Se]: the situation within which the risk exists.

Possession [Po]: something or someone valued by the Protagonist and endangered in the situation.

Source [So]: something or someone which could cause the harm.

6. For an updated account of the *FrameNet Project*, see <http://framenet.icsi.berkeley.edu>.

Each of these sentences, in turn, responds to each of the following three schemas:

- Schema A: a path leads to two alternative uncertain futures, one of them being bad.
- Schema B: the protagonist makes a decision which renders him or her vulnerable to some sort of harm.
- Schema C: the same as Schema B, but the protagonist has in mind a desired outcome and he or she is aware of the potentially bad outcome.

This set of analytical tools permits Fillmore and Atkins to explain some of the differences in meaning that we find in sentences like:

Newborn babies run the risk of hypothermia [Pr, Ba]

I had no idea I was risking my life [Pr, Po]

You'll have to calculate the risks involved [Pr, De]

The health risk from apples is 'minuscule' [Pr, So]

Living in San Francisco is a risk [Pr, Se]

They were willing to risk everything for their faith [Pr, Go]

An added advantage of this proposal is that it provides an elegant format to deal with polysemy and thus reduce dictionary senses, which may be described in terms of different underlying schemas or as different ways of structuring grammatical elements on the basis of a single schema. For example, in *He risked his life*, both schemas B and C can be called up (i.e. 'he risked his life but was not aware of it'; or 'he risked his life for a worthless cause'). One more advantage is found in that the proposed framework provides a way to make a difference between the two common phrases 'take a risk' and 'run a risk': only 'run a risk' fits Schema A; then, both 'run' and 'take' are acceptable with [Ba] as complement, but [De] forces the use of 'take'. Consider the following examples, some of them simplified from the ones provided by the authors:

*Newborn babies run (*take) the risk of hypothermia* [Pr, Ba] (example 1 above). (Schema A).

He was running/taking the risk of collapsing, though he didn't know it [Pr, Ba]. (Schema B).

He chose to run/take the risk of being hit by a car as he started to cross the road. [Pr, Ba] (Schema C).

He took the risk of jumping off the cliff [Pr, De]. (Schema C).

We can relate Fillmore and Atkin's discussion to Lakoff's (1987) claims on propositional cognitive models (comparable to Fillmore's frames), which are structured as sets of predicate-argument relationships and often take the form of clusters of concepts that converge into one single gestalt. Thus, the notion of 'mother' can be described in terms of a cluster of models: the *birth*, *nurturance*, *marital*, *genealogical*, and *genetic* models. In this connection, Ruiz de Mendoza and Pascual (1998), and Santibáñez (1999), have refined Lakoff's proposal by introducing Langacker's (1987) notions of *profile* and *base*. Thus, the notion of 'mother' can be seen as being profiled against a number of different base domains within each member of the cluster; for example, the birth model is profiled against the NEW-LIFE domain, the HOSPITAL domain, the PHYSIOLOGY domain and the PREGNANCY domain:⁷

– The birth model (the mother gives birth to her children)

The NEW-LIFE domain:

- (a) The mother gives birth and, as a result, a baby is born.
- (b) Once born, the child begins to develop as a physiologically independent being.

The HOSPITAL domain:

- (a) When the mother suffers from painful contractions and she realizes that she is about to give birth, the father takes her to hospital.
- (b) At hospital, the mother is taken to the maternity room, where doctors and nurses assist her in safely giving birth to the child.

The PHYSIOLOGY domain:

- (a) Before birth, the child is inside the mother's womb. When the child is about to be born, the muscles of the womb start tightening and the mother feels painful contractions; as childbirth approaches, the period of time between the contractions grows shorter and shorter. The head of the child is the first part to come out of the mother's body. The placenta is expelled after the child comes out. A nurse cuts the umbilical cord linking the baby to its mother.

7. For a full discussion of the different models and their corresponding bases and profiles, see Ruiz de Mendoza and Pascual (1998) and Santibáñez (1999).

The PREGNANCY domain:

- (a) The unborn child grows within the mother's body for about nine months. The child is linked to the mother through the placenta and the umbilical cord; this allows the child to get oxygen and food from the mother.
- (b) The mother often goes to the doctor's and is subjected to different tests in order to find out whether everything is all right with her child. Sometimes images of the child are taken with special equipment, so it is possible to know the sex of the baby before it is born.
- (c) During pregnancy, the mother is advised not to smoke, drink alcohol, or do other dangerous things because they may damage the unborn child.

Cognitive modeling as presented here lays out a different scenario from that encoded in logical structures. On the one hand, frames are not formal representations of those parameters that are determinant for argument realization, but simply form-meaning pairings where there is not necessarily a one-to-one correspondence between each element of the conceptual representation and syntactic realization. On the other hand, frames provide a comprehensive account of the conceptual framework underlying the meaning of a predicate, which can account for many of its use aspects. In our view, it would be nice if we could find a way to maintain the elegance in the formalism as posited in the more syntactico-centric approaches together with the rich expressiveness in the conceptual representation as formulated from the more semantically-oriented proposals. In this regard, we have developed a new system of lexical representation that bridges the gap between the two proposals and strikes a productive balance between the two representation orientations.

4. TOWARDS A UNIFIED ACCOUNT: A GLIMPSE AT THE NOTION OF LEXICAL TEMPLATE

At this stage, we have presented, concisely and selectively, some of the most relevant parameters that permeate the most recent research in lexical representation. We have seen that lexicologists have to decide upon the nature of the language they will be using, and on whether they will develop enhanced semantic representations that go beyond traditional logical form postulates. The issue now is to ascertain what type of lexicological procedure best suits the real demands of a robust lexical theory. As a reaction to this caveat, Ruiz de Mendoza and Mairal (2006) have articulated a new model of language description firmly rooted in strong functional and cognitive bases. The resulting framework, the *Lexical Constructional Model*, develops a new system of lexical representation,

called *lexical template*, which is part of a comprehensive theory of lexical representation.

In what follows we will outline the major features of a lexical template by contextualizing the proposal within the larger setting of both the more syntactically oriented approaches – e.g. logical structures – and the more semantically rooted ones – e.g. frames. In this regard, we would like to show that a lexical template is a type of structure that falls halfway between the two representational systems and manages to integrate many of their features into one unified representational format. Here are some of the most relevant methodological criteria:⁸

- A lexical template is based on an abstract semantic metalanguage, very much in accord with event structure templates or RRG's logical structures. However, unlike these formal representations, the type of metalanguage used is typologically based *a la* NSM and stems from lexicographic work, which means that most units have been extracted from a natural language inventory (Faber and Mairal 1999).
- Lexical templates are constructed on the basis of the *Aktionsart* distinctions proposed in RRG. This feature of lexical templates allows the analyst to introduce a large degree of regularity in his description of "inheritance" mechanisms, which enhances the explanatory adequacy of the model. Such *Aktionsart* regularities are captured by the external variables of the template (which roughly correspond to RRG's logical structures) and by a set of high-level elements of structure that resemble traditional semantic primitives but that differ from them in significant ways.
- The methodological procedure to construct a lexical template allows us to identify where the chain of a semantic decomposition actually ends. Thus, for every lexical class we have identified an undefinable item, which we will use as the prime in a logical representation. With this procedure we avoid identifying primes on a purely *ad hoc* basis, as has been common practice in most syntactically oriented models, where the inventory of constants has never been specified. This means that if we want to represent the logical structure for, say, *embelesar* ('fascinate') in Spanish, we will use the primitive *sentir* ('feel'), which is the prime that underlies all predicates that belong to the domain of FEELING.

8. For a full account of the notion of lexical template, we refer the reader to Mairal (2004), Mairal and Faber (2002, 2007), Ruiz de Mendoza and Mairal (2006) as well as all the material posted on the website: www.lexicom.es.

- Lexical templates take a firm step towards enriching lexical representations with detailed semantic descriptions very much in consonance with frame semantics. However, there are several differences. Instead of postulating situation types, our approach divides a lexical domain into a number of lexical subdomains which focalize different semantic and pragmatic phases: for example, ‘to cause somebody to understand something’, ‘to think something is true’ are just some of the lexical subdomains that pervade the domain of cognition (cf. Faber and Mairal 1999, for a classification of the architecture of the English lexicon in terms of lexical domains and subdomains). The crucial issue is that frames and lexical templates are different ways of capturing the elements of semantic/pragmatic scenarios, although they share the idea that there is a core element plus a number of peripheral elements, the sum of which give expression to the meaning of a predicate.
- As shall be seen below (section 4.1), lexical templates incorporate a formalism that includes the RRG logical structures plus a number of operators, called lexical functions. These are used to codify the exact semantic and pragmatic parameters of a predicate. An added advantage of having a formalism of this type is that, in terms of developing an algorithm that links semantic with syntactic information, all the representations that follow the algorithm, namely, constructional templates and lexical templates, make use of the same metalanguage. This is an issue that should not be underestimated because of its evident implications both in terms of linguistic theory and for the computational implementation of the model. In some other publications, we have fully developed this algorithm, which revolves around a conceptual operation called *subsumption*, whereby higher-level structures take in elements of lower-level structures. This means lexical templates are in fact lower-level constructions that can be fused into higher-level characterizations such as the *caused-motion* (e.g. *The audience laughed the actor off the stage*), the *resultative* (e.g. *He kissed her unconscious*), and the *benefactive* (e.g. *He drank to my health*) constructions. Since the formal apparatus of lexical templates shares with higher-level constructions all elements excepting those that are specific to a lower-level class (the internal variables), absorption of a lexical template by a construction becomes a straightforward process.

Let us now move on to comment on the exact ingredients of the standard formalism for lexical templates including a more recent extension that is being developed within the context of Pustejovsky’s (1995) generative lexicon.

4.1. JUST A WORD ON THE FORMALISM

When we began working on enriching logical structures with a more robust semantic component, we saw the need to include a semantic module as part of the logical structure of the predicate, thus following the pioneering proposals in Van Valin and Wilkins (1993: 511) for the predicate *remember* or Van Valin and LaPolla (1997: 117) for the representation of speech act verbs. As a result, we designed lexical templates with the following format (cf. Mairal 2004; Mairal and Faber 2002):

contact-by-impact verbs (Mairal 2004)

[[**do'** (w, [**use.tool**.(α).**in**.(β).**manner.for**.(δ))' (w, x)] CAUSE [**do'** (x, [**move.toward'** (x, y) & INGR **be.in.contact.with'** (y, x)], $\alpha = x$).

Despite the fact that this representation is couched in more elaborate semantic decompositions, these first lexical templates were still not systematic enough in their use of activity and state primitives. Primitives such as *manner*, *tool*, and *use* appear in these representations, but again no explanation is given of how they have been obtained. Moreover, we noted that the resulting representations turned out to be too unwieldy and lacked transparency and elegance in the expression. These observations became more obvious both when we began to use lexical templates in cross-linguistic analysis and when we took the first steps towards the computational implementation of the model.

Consequently, we decided to simplify the system by postulating two different modules both of which were based on a universal abstract semantic metalanguage. The resulting templates have two parts: (i) the semantic module, and (ii) the logical representation or *Aktionsart* module, each of which is encoded differently. Here is the basic representational format for a lexical template:

predicate: [SEMANTIC MODULE<lexical functions>] [AKTIONSART MODULE
<semantic primes>]

The rightmost hand part of the representation includes the inventory of logical structures as developed in RRG with the proviso that the predicates used as part of the meaning definition are putatively candidates for semantic primes, or else, these cannot be further decomposed. This allows us to avoid the problem of having to regard as undefinable predicates which can be further semantically decomposed, e.g. defining the predicate *redden* in terms of BECOME **red'**, or *popped* in terms of INGR **popped'**, or activity predicates like *sing* or *drink* in

terms of **do'** (x,[**drink'** (x)]) or **do'** (x,[**sing'** (x)]). The innovation here with respect to the original RRG proposal resides in finding a systematic procedure to identify the correct prime together with a uniform framework for decomposing semantically every predicate until we arrive at the undefinable elements.

The semantic and pragmatic properties of the semantic module are formalized by making use of lexical functions such as those used in Mel'cuk's Explanatory and Combinatorial Lexicology (ELC) (cf. Mel'cuk 1989; Mel'cuk et al. 1995; Mel'cuk and Wanner 1996; Alonso Ramos 2002).⁹ These lexical functions have also been shown to have a universal status (cf. Mel'cuk 1989), something which is in keeping with our aim of providing typologically valid representations. Unlike what is the case in Mel'cuk's work and the complete literature on the *Explanatory Combinatorial Dictionary*, in our approach lexical functions are essentially paradigmatic and capture those pragmatic and semantic parameters that are idiosyncratic to the meaning of a word, which allows us to distinguish one word off from others within the same lexical hierarchy. For example, if we want to account for the semantic differences between *mandar* ('command'), *ordenar* ('order'), *decretar* ('decree'), *preceptuar* ('set up a precept'), *preinscribir* ('preregister') from the lexical domain of speech acts or *cautivar* ('captivate'), *arrebatar* ('seize'), *arrobar* ('entrance'), *embelesar* ('enrapture'), *extasiar* ('send into an ecstasy'), *hechizar* ('bewitch') from the domain of feeling in Spanish, we would certainly need some mechanism that allows us to discriminate and encode those meaning elements that differentiate one predicate from others. Then, we have devised a semantic module that consists of a number of internal variables, i.e. world knowledge elements of semantic structure, which relate in very specific ways to the external variables that account for those arguments that have a grammatical impact.

Thus, far from having two independent modules that do not speak to each other, the two representations here do have a direct correlation since external variables as encoded in the *Aktionsart* module are co-indexed with the numeral subscripts used in the semantic module, which has strong computational

9. According to Mel'cuk *et al* (1995: 126-127), a lexical function (LF) is written as: $f(x) = y$, where f represents the function, x , the argument, and y , the value expressed by the function when applied to a given argument. The meaning associated with an LF is abstract and general and can produce a relatively high number of values; e.g. **Magn** expresses intensification and can be applied to different lexical units thus yielding a set of values:

Magn	(Engl. smoker)	=	heavy
Magn	(Engl. bachelor)	=	confirmed
Magn	(Sp. error)	=	craso
Magn	(Sp. llorar)	=	llorar como una Ma

implications. Here is a sample of three lexical templates, although we refer the reader to the Faber and Mairal (2007) and Ruiz de Mendoza and Mairal (2006) for abundant exemplification:

fathom: [MAGNOBSTR & CULM₁₂[ALL]] **know'** (x, y)
order: <MAGN₁[PERM]₂₃,PURP₂ (do)₃> [**do'** (x, [**say'** (x,y)))] CAUSE [**do'** (y,z)]
command: LOC^{SOC}₍₁₎ (PLACE_TYPE: political/military) [order]

In the case of *fathom*, the *Aktionsart* module specifies that this predicate is a state predicate that takes two variables (x, y). This state structure is in turn defined by a primitive predicate **know'**, which, together with the primitive **think'**, are the two defining predicates for the complete lexical domain of cognitive verbs. Additionally, the semantic module includes two lexical functions: MAGNOBSTR, which indicates the great difficulty on the part of x in understanding y, although this process of acquiring knowledge is successfully culminated as encoded in the lexical function CULM₁₂[ALL], where [all] refers to the propositional content of the object of apprehension. In the domain of speech act verbs, one of the subdomains is that of *ask* verbs (to *say something to cause somebody to do it*), which encode a rich set of pragmatic factors dealing with social status, the power differential between speaker and receiver etc.¹⁰ A case in point are the predicates *order* and *command*. The *Aktionsart* module designates a causative accomplishment where there is a causing activity – x says something to y – that causes that y does z. This event structure is modified by two semantic parameters that specify a rather forceful way of asking [MAGN], because the speaker is trying to get the addressee to do something, and a second lexical function PERM that is co-indexed with the first argument and signifies that the speaker has power over the addressee and is thus licensed to ask him/her to do things. The predicate *command* is a hyponym of *order* and it inherits all its semantic properties. The *Aktionsart* module remains the same while the semantic module specifically includes the powerful social status and the speaker's very high social position, a facet that is encoded in the superscript (^{SOC}) in conjunction with the function LOC, which in this case refers to social location. The resulting function, LOC^{SOC}, is followed by arrows that indicate whether the speakers' social status is high (↑) or low (↓). The parenthesis (PLACE_TYPE: political/military) refers to context or (social) place type (cf. Faber and Mairal, fc).

10. See Faber and Mairal (fc) for a full discussion of 'ask' verbs and their corresponding formalization in terms of lexical templates.

In an attempt to simplify the formalism in order to avoid the sometimes *ad hoc* adscription of a lexical function to a semantic parameter, Mairal and Cortés (in prep.) have recently initiated a reconversion of the inventory of lexical functions by looking at Pustejovsky's (1995) generative lexicon¹¹ and more in particular to the set of *qualia*, which we reproduce here for convenience (Pustejovsky 1995: 76, 85-86):

- CONSTITUTIVE (Q_C): the relation between an object and its constituent parts
 - i. material
 - ii. weight
 - iii. parts and component elements
- FORMAL (Q_F): that which distinguishes it within a larger domain
 - i. orientation
 - ii. magnitude
 - iii. shape
 - iv. dimensionality
 - v. color
 - vi. position
- TELIC (Q_T): its purpose and function
 - i. purpose that an agent has in performing an act
 - ii. built-in function or aim which specifies certain activities
- AGENTIVE (Q_A): factors involved in its origin or 'bringing it about'
 - i. creator
 - ii. artifact
 - iii. natural kind
 - iv. causal chain

11. Pustejovsky's (1995: chapter 5) generative lexicon includes four levels of representation: (i) argument structure; (ii) event structure; (iii) *qualia* structure and (iv) lexical inheritance structure, together with a complete set of generative devices (e.g. type coercion, selective binding, co-composition) that connect up the four levels. In the present paper, we focus on how *qualia* serve the same purpose as the lexical functions in the semantic module. Unfortunately work on the notion of *qualia* has, to the best of our knowledge, been discontinued. We believe that the inventory of *qualia*, as it stands, is far from exhaustive and a fined-grained description would certainly be welcome.

The following are examples of lexical representations based on this system (cf. Pustejovsky 1995: 82, 101), although we have slightly changed some of Pustejovsky's notational devices and have adapted them to a system that is closer to ours:

book

ARGSTR = [ARG1 = **x: information**
[ARG2 = **y: phys_obj**]

QUALIA = **information·phys_obj_lcp**

FORMAL = **hold (y,x)**

TELIC = **read (e,w,x·y)**

AGENT = **write (e', v, x·y)**

This representation specifies that the nominal predicate *book* belongs to the lexical conceptual paradigm (*lcs*) of physical objects and accounts for the telic and agentive interpretations that make reference to the dotted arguments (*x* and *y*), which are in turn featured as 'information' and 'physical object'. Now, consider a more complex representation:

build

EVENTSTR = [E₁ = **e₁: process**

E₂ = **e₂: state**

RESTR = < α

HEAD = **e₁**

ARGSTR = [ARG1 = **x: animate_ind**

FORMAL = **phys_obj**]

[ARG2 = **y: artefact**

CONST = **z**

FORMAL = **phys_obj**]

[D-ARG = **z: material**

FORMAL = mass]

QUALIA = **create-lcp**

FORMAL = **exist (e₂, y)**

AGENTIVE = **buid_act (e₁, x, z)**

This representation specifies the event structure, the argument structure and the *qualiae* of the predicate *build*. The event structure indicates that the verb *build* is an accomplishment verb that involves a process and a result state ordered by the relation “exhaustive ordered part of”, $<_{\alpha}$. The initial event has been headed, which means that the action that brings about the state is focused upon or fore-grounded. In relation to the argument structure, there are two true arguments (i.e. those that are syntactically realized) and a default argument (parameters that are relevant for the *qualiae* but are not syntactically realized). In the *qualia* structure, the lexical conceptual paradigm is also noted, i.e. *build* is a creation verb, as well as the two processes involved: the agentive, that involves both argument 1 and the default argument, which is related to the object by the constitutive relation of argument 2. The formal role indicates the final result state (cf. Pustejovsky 1995: 63; 71-73; 82).

Both representations include an event structure description – which, details aside, coincides to a large extent with the *Aktionsart* module – and a *qualia* structure, whose function is to specify the specific semantic properties of each of the arguments involved in the event. Interestingly enough, a brief mention to the lexical class is also included, which happens to be one of the hallmarks of our approach.

Since both *qualiae* and lexical functions are used to impose the semantic constraints that are operative in a lexical entry, there should not be a lot of difficulties in reorganizing and rephrasing lexical templates following a *qualia* format. For example, if we look back at the representation for the predicate *fathom* above, we could rewrite the semantic module in the template as follows:

fathom:

[{ Q_F : MagnObstr **think'** (x, y) / Q_T : Culm **know'** (x,y) } **know'** (x, y $<_{ALL}>$)

This new format is expressed in terms of two *qualiae*: the *formal* and the *telic*. The formal *qualia* describes the great difficulty involved in carrying out the process of thinking, while the telic, as encoded in Q_T : Culm **know'** (x,y), specifies the culmination of the process of acquisition of knowledge, that is, the final process of understanding something. At this stage, the question that arises is the following: what are the potential advantages of this new formalism? As explained in Mairal and Cortés (in prep), both modules – the *Aktionsart* and the semantic module – are closely intertwined: semantic restrictions of the kind expressed in *qualia* structures show the often complex ways in which subevents are interrelated. As Pustejovsky (1995: 101-104) has pointed out, individual *qualiae* compete for projection, and there are mechanisms such as foregrounding or ‘focalising’ a single *quale* of the verbal semantic representation. For example, consider the lexical template for a causative change of state verb like *break* as illustrated in Mairal and Cortés (in prep):

break:

[[Q_F: *broken'* (**y**) / Q_A: **do'**(**x**, *break_act'*)]] **do'** (x, Ø) CAUSE [BECOME/
INGR *broken'* (y)]

As is commonly known, change-of-state verbs typically describe an initial activity followed by a resulting state. These two phases in the causative structure map onto the agentive and the formal *qualia* respectively. Depending on which *quale* is fore-grounded ('headed' in Pustejovsky's terminology) the verb can be constructed in a transitive (causative) or an intransitive (anticausative) structure.

5. APPLICATIONS

So far, we have been arguing that the notion of lexical template is a serious alternative to both syntactico- and semantico-centric approaches. Lexical templates provide richer descriptions than other alternatives (e.g. the NSM, FG, and RRG approaches) and at the same time bind each semantic element to logical variables that can be projected syntactically. It is thus sensitive both to frame semantics criteria and to meaning extensions through cognitive operations such as metaphor and metonymy but does not multiply meaning components *ad infinitum*. Each lexical template is part of a complex lexematic network that contains all the meaning ingredients that are necessary for common pragmatic and discourse implications. Lack of space prevents us from dealing with this issue, but the reader may refer to Faber and Mairal (1999) and Ruiz de Mendoza and Mairal (2006) for details on the nature of lexematic networks and their relation to our proposal on lexical templates.

Lexical templates have further shown to be applicable in computation and lexicography. In the computational context, Guest and Mairal (2007) have taken the first steps towards the implementation of these structures within a complex ontological framework called *Universal Lexical Metalanguage* (ULM). Briefly put, this framework rests upon an ontology, which consists of two subontologies: one that accounts for predicates (a *predicate ontology*) and a second module that is concerned with the semantic properties of objects (an *object ontology*) plus the set of mechanisms that specify the different ways the two ontologies interact. The overall aim is to develop a system that allows the formulation of intelligent reasoning algorithms within the context of the semantic web from a system that is based on a rich description of the meaning properties of the predicates in the lexicon. One of the innovations in this project is the reformulation of lexical functions in terms of 'intervals', a mathematical notion that is used within a fuzzy logic context. Briefly put, intervals are used to define semantic space and specify a

continuous range such that words can map onto a number of intervals. Intervals specify ranges that have to do with the physical world in which we live, our (common) thought and emotional processes, and the results of actions in the world. Various operators can be defined on them (cf. Guest and Mairal 2007: 3.1.):

- SUP: top end
- MID: middle
- INF: bottom end

- PLUS: move up the interval
- MINUS: move down the interval

An interval is attached to a prime and describes the range of meanings each prime can have. Moreover, those predicates that are derived from more than one prime can inherit all the intervals from all of its parent primes. So, for example, **understand** can be defined as **know** (the prime), but where the depth of knowledge of X about Y is at the upper end of the Depth interval, as shown in the following representation:

SUP (Depth) **know** (X,Y)

In addition to intervals that are used to partition semantic space, we need a precise semantic definition: the *semantic structure*. The semantic structure provides a readable definition for a given predicate, which is done by means of combining primes and intervals together. Needless to say, since primes are regarded as undefinable units, these do not have a semantic structure as part of their representation. Following Guest and Mairal (2007: 209), here is a representation of some of the functions that operate at this level of analysis:

ACTION	Describes any actions involved in the verb
SEQUENCE	Describes a sequence of actions that occur consecutively
RESULT	Describes the results of an action or sequence
BEFORE	Describes the situation before the start of the ACTION or SEQUENCE
CAUSE	Anything directly caused by an ACTION or SEQUENCE. May also occur within other headings
PURP	The purpose of an ACTION or SEQUENCE

REASON	The reason why an ACTION or SEQUENCE is carried out
SOCIAL OPINION the	Describes any social/cultural background that is key to meaning
MEANS	Gives a list of predicates that could describe how the RESULT is achieved
ASSUMPTIONS	List of assumptions behind the predicate

The lexical representation for the predicate *peep* consists of a logical structure with two arguments (x = agent and y = thing or scene) where three different primes and their corresponding intervals are at work: **see**, **do** and **want**. The semantic structure module specifies the action of seeing whereby x takes some time (MID(length)) and expends from a fair amount to a lot of effort (MID&SUP(Effort)) in order to see y . The action of seeing occurs because x wanted to see y from moderately to very badly (MID&SUP(WantIntens)) and achieved his aim for a while (MID(SeeTime)). Finally, there is a social opinion keyword in the representation that accounts for the fact that what x did to y is not socially accepted, i.e. what x did is bad.

peep(X,Y): see, do, want

Intervals: SeeTime, Process, Length, Effort, WantIntens

Participants:

Actor X: {human}

Patient Y: {thing, scene}

Semantic Structure

ACTION

MID(Length) MID&SUP(Effort) **do**(X, MID(SeeTime) **see**(X,Y))

REASON

MID&SUP(WantIntens) **want**(X, **see**(X,Y))

SOCIAL OPINION

be(X,bad)

Syntactic Template: peep at

The predicate **stare** takes in two arguments x and y and is defined in terms of two primes – **see** and **do** – and their corresponding intervals. The definition reads as follows: x sees y and in this action x makes use of a fair amount of time and effort: MID(Length) MID&SUP(Effort) **do**(X, MID(SeeTime)). Besides, there are two reasons to explain why x did the action: (i) x is surprised at what x is seeing or else x wants to make y feel fear.

stare(X,Y): **see, do**

Intervals: SeeTime, Process, Length, Effort

Participants:

Actor X: {animate}

Patient Y: {thing, scene}

Semantic Structure

ACTION

MID(Length) MID&SUP(Effort) **do**(X, MID(SeeTime) **see**(X,Y))

REASON

feel(X, surprise)

OR

want(Y, **feel**(fear)) (Y = animate)

Syntactic Template: stare at

The description of these two lexical entries is an oversimplification of a full complex project that manages to formally code meaning within an ontological framework. For the purposes of this paper, it will suffice to note that if we posit semantically enriched lexical entries using the right formal metalanguage, it will be easier to develop and retrieve contextual information by means of intelligent reasoning algorithms.

The second application that has emerged from our treatment of lexical templates falls within the area of lexicography. In connection with this, a group of researchers have begun working on a syntactic dictionary based on semantic principles provisionally termed *DISSE* (*Diccionario Sintáctico y Semántico del Español Actual* 'A Semantic and Syntactic Dictionary of Present-

Day Spanish').¹² This dictionary, organized into coherent semantic classes, aims to provide a finer description of the set of morphosyntactic properties and configurations of a lexical entry. One of the central corollaries is that the morphosyntactic properties cannot only be described exhaustively but can also be explained exhaustively in semantic terms. Most of the existing syntactic dictionaries only describe the syntactic properties of a given lexical entry without any attempt to explain the semantic motivation that underlies the different complement strategies. This is then the leading thesis behind this project, i.e. the search for the set of semantic regularities that motivate syntactic occurrences. Let us discuss the range of phenomena that this dictionary can provide an answer for. Firstly, a syntactic dictionary based on semantic principles accounts for the contrasts between structures like *considero que + object clause* and *te considero + object NP XCOMP*. In the former the subject/speaker's judgment can be based on indirect or second-hand evidence although this judgment does not necessarily have to coincide with his/her personal opinion because he/she might be speaking on behalf of someone else. This contrasts with the latter configuration where the subject/speaker's judgment comes from his/her own perceptions and by virtue of a direct first-hand evidence as shown by the following entailments:

Considero que eres un fontanero eficiente

considerPRES1sg that bePRES2sg a plumber efficient

'I consider John an efficient plumber'

(a) *o al menos eso es lo que me dicen todos los vecinos del bloque* ('or at least that is what all the neighbors in the block tell me')

(b) *aunque yo personalmente creo que algunos aspectos de la mano de obra podrían mejorarse* ('although I personally believe that some aspects of his work can be improved')

Te considero un fontanero eficiente

you considerPRES1sg a plumber efficient

'I consider you an efficient plumber'

12. In what follows we include a very brief discussion of the lexicographic dimension of the preceding lexical representations. This work was done within the framework of the *Lexicom* research group. The fundamental lexicological guidelines together with the analysis of the format of a lexical entry are developed in Ruiz de Mendoza et al. (2007).

- (a) # *pero la verdad es que nunca has trabajado para mí ni te he visto trabajar para otra persona* ('but the truth is that you never worked for me nor have I seen you work for someone else')
- (b) # *aunque yo personalmente no creo que seas eficiente* ('although I personally don't think that you are efficient')

Extending this semantic principle somewhat further also explains the ill-formedness of this structure with the reflexive since the reflexive in Spanish entails that the judgment expressed in the proposition has to be necessarily based on direct first-hand evidence. This observation accounts for the fact that if *considerar* selects a reflexive pronoun as its object, this pronoun cannot be combined with a clause introduced by *que* ('that'):

* *Pedro se considera que es un fontanero eficiente*
 Peter_i himself_i consider^{PRES3} sg that be^{PRES3} sg a plumber efficient
 '*Peter considers himself that he is an efficient plumber'

Pedro se considera un fontanero eficiente
 Peter_i himself_i consider^{PRES3} sg a plumber efficient
 'Peter considers himself an efficient plumber'

It is not surprising that verbs such as *comprender* and *entender* (both of them meaning 'understand'), unlike *considerar*, block out this construction since these verbs involve the subject/speaker's acceptance of a judgment or opinion from a different person or source. This semantic interpretation clashes with that of the secondary predication, which, as advanced above, requires the judgment or opinion encoded in the proposition to exclusively come from the subject/speaker's universe of perception:

**Juan comprende/entiende a Pedro un fontanero eficiente*
 John understand^{PRES3} sg to-Peter a plumber efficient
 '*John understands Peter an efficient plumber'

Juan considera a Pedro un fontanero eficiente.
 John consider ^{PRES3}sg to-Peter a plumber efficient
 'John considers Peter an efficient plumber'

Each lexical entry thus consists of a clear-cut delineation of the different senses involved together with their corresponding syntactic patterns in such a way that the user can ascertain the semantic principles that explain contrasts like the following:

* *Estoy considerando que voy a ir a la fiesta*
 be PRES1sg considering that GOPRES1sg to-go to-the-party
 ‘*I am considering that I go to the party’

Estoy considerando si voy a la fiesta
 be PRES1sg considering if GOPRES1sg to-the-party
 ‘I am considering if I will go to the party’

Estoy considerando ir a la fiesta
 be PRES1sg considering to-go to-the-party
 ‘I am considering going to the party’

The dictionary also allows the user to be aware of cases of constructional coercion (cf. Michaelis 2003; Goldberg 2006) where grammatical form and function overrides the default properties of a lexical item. A case in point is the use of the imperative form with state predicates which, far from designating a property, encode some sort of invitation, advice, suggestion or request from the speaker to the hearer (cf. González-García 2007)

‘Considérense ustedes en su propia casa’ –empezó diciendo el padre prior– ‘y sírvanse disculpar los modales de nuestro portero’ (ADESSE)
 ‘Consider yourselves at home –began to say the father prior– and please excuse our doorman’s manners’

In essence, following the spirit of work on lexical templates, where semantic description motivates syntactic projection, *DISSE* is a syntactic dictionary based on semantic principles such that syntagmatic properties are not only described but are also explained.

6. CONCLUSIONS

After discussing two of the most relevant parameters in lexical design, that is, the nature of the metalanguage and the scope of the representation, this paper has laid out the foundations for an alternative form of lexical representation called

lexical template. Lexical templates draw insights both from models with a stronger syntactic orientation (e.g. RRG's logical structures) and from accounts where semantic description is more important (e.g. Frame Semantics). Moreover, lexical templates make use of a semantic metalanguage obtained through factorization of common meaning components of items belonging to the same lexical class. The metalanguage thus consists of a number of semantic primes which largely coincide with those proposed on the basis of extensive typological analysis by scholars like Mel'cuk and Wierzbicka.

Worthy of note is also the fact that some linguists claim that argument realization is not strictly lexical but rather constructional, a cardinal methodological underpinning within constructionist approaches (e.g. Goldberg 1995, 2005). While we do think that constructions are influential in determining argument realization, and in fact the *Lexical Constructional Model* includes a very rich inventory of constructions that operate from the core grammar level to the discourse level of language (cf. Ruiz de Mendoza and Mairal, 2006), it is our belief that stressing a non-lexical position as far as to regard verbal semantics as not particularly different from constructional semantics is a too radical move that we cannot agree on.

As a concluding remark, we would like to assert that the anatomy of the lexicon and more particular the design of lexical representations still face a number of difficult problems that a serious theory of language, regardless its methodological orientation (functional, formal or cognitive), has to circumvent. We refer to the following issues: (i) the definition of an accurate metalanguage that gives a precise expression to the conceptual ontology, that is, the explicitation of a complete catalogue of what both formal and functional lexicologists have called 'constants'; (ii) the expression of the internal make-up of the conceptual ontology and the way it interacts with the lexicon; (iii) the identification of the real determinants of argument structure – whether these are lexical, extra-lexical or both; (iv) the formulation of exact mechanisms that deal with polysemy. These are just a few challenges that, hopefully, will serve to gradually approximate functional, formal, and cognitive paradigms.

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“HARD AS THE METAL OF MY GUN”: JOHN CORNFORD’S SPAIN¹

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ABSTRACT. *John Cornford, who died on the Cordoba front in December 1936, is most frequently seen, by both enthusiasts and detractors, as a loyal Communist cadre, subscribing unequivocally to the Party line on the situation in Spain. Yet in his most powerful poem, “Full Moon at Tierz: Before the Storming of Huesca”, there is a significant hesitation, focused by a reference to the Seventh Congress of the Comintern. A close scrutiny of this poem, of letters and a “Political Report” he wrote from Spain, and an examination of some of his pre-Spain political writings, indicate a more complex picture, and suggest that he had considerable reservations about Party policy, particularly in relation to the “Popular Front” strategy, and to Communist dealings with other movements in the Republican camp.*

1. THE TEST

“All presented their lives”, W. H. Auden (1937: 10) wrote of the young men who flocked to Spain to serve the cause of anti-fascism, in the wake of the Francoist rebellion against the Republic on July 17, 1936. John Lehmann (1955: 273), co-editor with Stephen Spender of the influential anthology *Poems for Spain*, recalled in his autobiography that in Spain “everything, all our fears, our confused hopes and beliefs, our half-formulated theories and imaginings, veered and converged towards its testing and its opportunity, like steel filings that slide towards a magnet suddenly put near them”. Subsequently, however, he (332)

1. This article extends and in places reprises an argument first developed in my article “From ‘Class Against Class’ to the Hitler-Stalin Pact: Some Reflections on the Unwavering Line” (Smith 2007: 3-16). A version of this article will also appear in the journal of the Raymond Williams Society, *Key Words: A Journal of Cultural Materialism*, in October 2009.

reached the conclusion, along with many of his contemporaries, that the Spanish War “dragged us all deeper into the morass of ideological conflict, putting to the sharpest test the idealism that the advance of fascism in Central Europe had awakened in us”.

Lehmann’s concept of a test recalls Christopher Isherwood’s (1979: 46) declared conviction in *Lions and Shadows*, first published in 1938, that his generation, which was too young to serve in the Great War, had felt from the start the need for some personal test of manhood, in “a complex of terrors and longings connected with the idea ‘War’”:

“War”, in this purely neurotic sense, meant The Test. The Test of your courage, of your maturity, of your sexual prowess: “Are you really a Man?” Subconsciously, I believe, I longed to be subjected to this test; but I also dreaded failure.

For Isherwood’s generation, as for that a decade younger, Spain was the first instalment of this “Test”. It soon became apparent, however, that a crucial part of such a testing for the liberal intellectual was the struggle with one’s conscience to achieve what Auden’s (1937: 11) pamphlet poem *Spain* notoriously dubbed “conscious acceptance of guilt in the necessary murder”, reluctant but willed acquiescence in the brutality that characterise all civil wars, made particularly vicious in this instance by the class and ideological antagonisms of a country torn in the 1930s between modernity and reaction. “Our generation”, Stephen Spender (1992: 25), Lehmann’s co-editor on *Poems for Spain*, recalled half a century later, “was conscripted into politics by Hitler”, more or less innocently accepting “the Marxist interpretation of history” and believing that “Communism would lead to the freedom of oppressed people, to a world of social justice, and to a depoliticised egalitarian anarchist utopia”. In 1951, looking back on the Thirties in his autobiographical Cold War *apologia pro vita sua*, *World Within World*, Spender (1951: 311) had already admitted that a major part of his impulsion towards Communism, as a young bourgeois leftist, was a desire to expunge his class guilt:

Communism [...] seemed to offer a way out of my dilemma. It suggested to me that after all I was not myself. I was simply a product of my bourgeois circumstances. By “going over to the proletariat” and entering a different set of circumstances I could become another kind of social projection. I would be “on the side of history” and not “rejected” by it, like one of the disused mines in Auden’s early poems.

Auden (1955: 9), who himself subsequently laid claim to a similar political naivety, chose to fall silent after returning from Spain, explaining, later, that at the time progressive writers like himself felt compelled to defend the bad against the

worst, but that "Nobody I know who went to Spain during the Civil War who was not a dyed-in-the-wool Stalinist came back with his illusions intact". The anonymous *TLS* reviewer of *Poems for Spain* in 1939 registered the nature of these writers' liberal dilemma:

The tragic conflict in Spain cannot be evaded by the modern poet. Whether or not it compels him to direct expression, it must haunt his mind with painful questions and torture his imagination. For here, as in a theatre but with the appalling realism of indiscriminate slaughter, the discord at the heart of our civilization is nakedly displayed. ([Fausset] 1939: 131)

But, in the reviewer's (131) opinion, what "makes the conflict so peculiarly tragic" is that, "believing that in supporting the Spanish republic they are defending the very life-principle of civilization", these writers found themselves required to use "weapons that inevitably deny the very values they wish to affirm". This is not the place to go over yet again the complex amalgam of faith, illusion and self-delusion, credulity and *Realpolitik*, idealism and cynicism, that characterised the international response to the Spanish Civil War. What I want to revisit, rather, is the fraught encounter with Spanish realities of one dedicated and talented young poet, who was prepared to and did in fact die in taking that "Test".

2. CALCULATED ACTS

One of the writers the *TLS* reviewer singled out from *Poems for Spain* was John Cornford, whose poetry, he observed, was "written by the will rather than from the sensibility... the calculated acts of a fighter determined in vindicating his creed to be 'invincible as the strong sun, / Hard as the metal of my gun'" ([Fausset] 1939: 131). Rupert John Cornford, the son of a distinguished Cambridge academic family, christened in honour of that earlier poetic war casualty, his parents' friend, Rupert Brooke, joined the Communist Party of Great Britain while still at Cambridge University, in 1935. He died on the Cordoba front a day after his twenty-first birthday, on December 28 1936.

Cornford is usually seen as an aggressively orthodox Communist, a posture, it could be argued, maintained partly out of guilt at his privileged and therefore suspect class origins, a stick which the British Communist Party regularly used in the 1930s to beat dissident intellectuals back into conformity with whatever was the current Party line. Yet Cornford's major poem, "Full Moon at Tierz: Before the Storming of Huesca" (Galassi 1976: 38-40), is riven by the contradictions of the poet's subject-position. In the idiom of its time, it speaks of Spain as the place where "our testing has begun". But it also records that such testing is a matter not

only of personal courage in risking one's life in battle. It also involves an inner struggle to overcome personal doubts and uncertainties, what the poem calls the "private battle with my nerves", a "battle" to compel oneself to accept in practice what intellectually one might dispute, in the name of Party discipline (39).

"Full Moon at Tierz" in fact discloses a more complicated, less doctrinaire reality than that of the public manifestos and pronouncements with which it might be associated, and which are echoed in its closing lines, and it is this very complexity which contributes to its value as a work of literature transcending its polemic origins. The "testing" announced by the full moon rising over friend and foe alike on the bare hills of Aragon is not only a test of physical courage in the fight with an external and ubiquitous fascism. It refers also to an internal moral struggle with one's bourgeois self, to maintain loyalty to the Party amidst misgivings about its policies and practice.

Such a dilemma was revealed in a letter of Cornford's from the Aragon front to his lover, Margot Heinemann, written over several days between 16 and 30 August 1936 (171-181). In it, he writes of his sense of solidarity with "German comrades" in his unit. It is, he says, "The luckiest accident of the whole war... that put me in touch with the German comrades", amidst what had previously been "the same loneliness and isolation as the first term in a new school, without the language and without any kind of distraction of something to do". "All the revolutionary enthusiasm was bled out me", he continued, until he met this "splendid lot", who have "treated me with a quite extraordinary personal kindness; and at last I can live in the present, get outside of my own mind..." (180).

If, however, he was "never more glad of anything in my life than the accident which threw me together with them", he feels compelled to report to his ultra-orthodox Communist lover, almost as if seeking absolution, that "Four of them are ex-members of the party; one still a member", adding that they had left the KPD "because they genuinely believe the C.I. [Communist International] has deserted the revolution" (180). "Partly, perhaps", he adds by way of exoneration, "it is the uprootedness of emigrants". His own reluctance to contest their views is explained, a little evasively, on grounds of ignorance: "I do not know enough of the Spanish position to argue with them successfully". However, a kind of bravado confidence is restored in the assertion: "But I am beginning to find out how much the Party and the International have become flesh and blood of me. Even when I can put forward no rational argument, I feel that to cut adrift from the Party is the beginning of political suicide" (180).

If Cornford really had no doubts, of course, such a cutting adrift would have been quite literally unthinkable. It is a significantly ambivalent note towards the

close of a long and variously restarted letter, particularly in that intellectually unprincipled antithesis of "no rational argument" and "political suicide", and the strategic position of this particular revelation suggests a deeper disturbance than it will actually admit. The implicit struggle with the nerves involves disciplining the self into the iron resolve of the unquestioning cadre, even if there is "no rational argument", and these paragraphs almost seem like an appeal to his hard-line lover for ratification in one direction or another.

The strain of such an inner conflict is apparent in the paradoxical fusion of solidarity and solitude in a single line at the heart of "Full Moon at Tierz": "Now with my Party, I stand quite alone" (39). In the midst of all this enforced solidarity, it is the loneliness which persists. This is the subject steeling himself to a commitment that remains abstract and hortatory, a wish rather than a reality. A hesitant and solitary being wills himself, in a kind of prayer to an absent Marxian deity, not to lose his faith, to be a good Communist:

Then let my private battle with my nerves,
The fear of pain whose pain survives,
The love that tears me by the roots,
The loneliness that claws my guts,
Fuse in the welded front our fight preserves. (39)

The poem's closing exhortation, to "Raise the red flag triumphantly / For Communism and for liberty" (40) is not however actually uttered by the poet himself. It is, rather, an imagined affirmation, projected rhetorically into that "Time future" which the opening section had said "has no image in space" (38), when "the workers of all the world" will gather on the plain of Huesca to raise the red flag and "swear that our dead fought not in vain" (40). This last formulation recalls the earlier anxious desire to "prove the agony was not in vain" (39), and suggests deep forebodings about any actual future. The echo of the Italian Communist anthem "Bandiera Rossa" is a way of strengthening personal resolve, cheering himself up. The poem's real climax comes at the beginning of this last stanza, in the acknowledgment that "Freedom is an easily spoken word / But facts are stubborn things" (40). Far from being the utterance of what the *TLS* reviewer called "a fighter determined in vindicating his creed to be 'invincible as the strong sun,'" Cornford's poem embodies in its very ambivalences and hesitations a more profound sense of the stress involved in steeling oneself to continue believing in that creed, to be ideologically as "hard as the metal of my gun". The ambiguous, deceptive, equivocal light of the moon, not the direct glare of the sun, after all, is what defines the moral space of the poem. This is a poem riddled with doubt, a

doubt detectable in the celebration of “the impartial beauty of the stars” and the indifference of “the unfeeling sky”, or in the references to the “Crooked... road that we must tread”, to “freedom’s crooked scars”, and the “innocent mask” concealing that “our freedom’s swaying in the scales” (38-40 *passim*). The poem’s harrowingly dramatic power derives from the way it enacts the very processes by which the isolated individual steels himself rhetorically to sink his ego in a “welded front” (39).

3. A PUNISHMENT FOR PREVIOUS ERRORS

A bad-tempered exchange in the pages of *Socialist Register* in 1981-1982 squabbled over Cornford’s literary remains. The dispute was waged between the historian and ex-CP veteran John Saville and the (by his own account) independent socialist Oxford literary critic Valentine Cunningham, whose *Penguin Book of Spanish Civil War Verse* (1980) Saville had attacked in a withering review in the 1981 issue of the annual. Saville, who joined the British Communist Party in 1934 and had been active in its campaign on behalf of Spain, quit the Party in 1956, along with several other distinguished members of the Communist History Group, to found the *New Reasoner*, one of the first stirrings of an incipient New Left which, to begin with, was predominantly ex-Communist in origin. Saville’s review, however, remained loyal to the CPGB line on Spain, and to those figures, such as Harry Pollitt, well known and clearly fondly recalled by Saville (1981: 279) as “a tough-minded working-class militant with an engaging and warm personality”, who had led the Party at the time.² It is not my purpose here to adjudicate between these two conflicting but in many ways complementary readings of Cornford’s life and commitments. The differences between them have to be read in the context of the different political and cultural agendas from which they emerge. Each contains elements of a partial truth about this complex and conflicted figure, and each in turn witnesses to the historical pressures and what Cunningham calls the “ideological constraint” exerting a gravitational drag on their interpretations.

Neither writer disputes the quality of Cornford’s poetry, but Cunningham claims that its quality arose despite its author’s subscription to the Stalinist orthodoxy of CPGB politics at the time, from which he argues Cornford probably

2. Pollitt was indeed far from being a simple Stalinist hack, to the extent that at the time of the Nazi-Soviet pact he was sacked from the position of General Secretary of the CPGB by its central committee, since he was unable to endorse the official party line. He was only restored to leadership when Hitler’s invasion of the Soviet Union in June 1941 instantly converted what had previously been designated an inter-imperialist conflict into a war of proletarian patriotism.

demurred, as evidenced by his joining, on his first visit to Spain, a POUM unit; while Saville seeks to justify those politics and to present Cornford as a convinced adherent of the Party line, and his POUM connection an accident which he rectified on his return to Spain by joining, with Pollitt's encouragement, the Communist-dominated International Brigade.

Both positions seem to me incorrect, or at least incomplete, and both, at the same time, contain a rational kernel. At the centre of the dispute, quoted by both men, is a report on "The Situation in Catalonia", portions of which appeared in *The New Republic* on December 2 1936 under the title "On the Catalonian Front", and is reprinted in full in Galassi's selection of Cornford's writings (Galassi 1976: 108-25). In this report, Saville says, "Cornford made abundantly clear his understanding and analysis of POUM", and he quotes it at length in order to refute "Cunningham's political assessment of Cornford [which] rests entirely upon the supposed POUM-Cornford connection", stressing in particular the sentences with which his extract begins:

POUM is a punishment for previous errors of the Communists and Socialists. The leaders are mostly Communist renegades (like Oranin) and ex-Trotskyists like Andrés Nin. Before 19th July it was as strong as the Communist Party, and its Trade Unions were stronger than the reformist UGT. But the sweep of the workers into all revolutionary organisations has meant that hundreds of revolutionary workers have swept also into the ranks of POUM. For instance, Grossi, the leader of the second column of POUM, an Oviedo miner under sentence of death at the time of the elections, though he may be both reckless and theatrical, is without question a sincere and courageous revolutionary with a mass following. But in spite of divisions in the leadership, the dominant policy is provocative and utterly dangerous. It is a parody of the Bolshevist tactics of 1917...

[Saville's ellipsis]

Fortunately, their influence is not growing dangerously. Their trade unions, a few months ago stronger than the UGT, have now very little influence, while the UGT grows in a geometrical progression. Their militia is the worst organised on the Aragon front; even brave and intelligent leaders like Grossi are incapable of giving their troops proper political, military, or organisational training. Thus their splitting policy is no longer a serious danger. They have little left beyond their sectarian political leaders: a well-produced newspaper, *La Batalla*, and two to three thousand of the worst-organised militia; brave enough, but incapable of a real sustained offensive through sheer inefficiency. (Saville 1981: 274; Galassi 1976: 112-113)

As might be expected, Cunningham's (1982: 279) reply stresses, instead, Cornford's admiration, for all his reservations, for Grossi and for the genuine revolutionary motives of his "mass following", which Saville glosses over, and adds a jibe at political interference in the original *New Republic* text of Cornford's essay by a commissar of Party orthodoxy:

Nor does Saville mention the footnote [omitted from the Galassi version] that Pat Sloan, the Communist, Left Book Club author and Stalinising Russophile who edited *John Cornford: A Memoir*, added to Cornford's report on "The Situation in Catalonia". He added it in fact to the passage that Saville quotes, where Cornford is dismissing the political threat of the POUM despite the presence in it of such a magnetic leader as the miner Grossi, a "sincere and courageous revolutionary" ("even brave and intelligent leaders like Grossi are incapable of giving their troops proper political, military, or organisational training"). Sloan's footnote interrupts such reflections sternly: "The optimism of these remarks concerning the Anarchists and the POUM seem [sic] to be the only particular in which John Cornford's judgment erred. It was precisely the penetration of Fascists into these organizations –noted by J. C.– that made possible the Barcelona uprising of May 1937".

"Evidently", Cunningham (279) concludes, "what Saville calls Cornford's 'understanding and analysis of POUM' was not sufficiently (in Saville's words) 'abundantly clear' for the Party".

Sloan's intervention in fact provides the clue to the particular tone of Cornford's article. As Saville (1981: 274) reveals, possibly for the first time, the article was originally a "Political Report", "in case the point has not been taken... written for the British CP and was read, among others, by Harry Pollitt, its general secretary.... Pollitt certainly read the Political Report". Cornford was writing in the idiom of the Party, in a formal Report where Stalinist rhetoric was *de rigueur*, and no alternative interpretations of the historical realities to those of the current Party line would be acceptable. Thus he has to engage in the usual denigratory reference to Trotskyists and, in the passage just before Saville's excerpt, to POUM's "provocative campaign for the arming of every man, woman and child in Barcelona for 'the second revolution' at a time when all arms were wanted at the front" (Galassi 1976: 111). The context of this, however, is Cornford's clearly expressed approval of the Anarchist Durruti's response to the POUM campaign, in a telephone call to Barcelona, appealing "for all Anarchist workers to send all sons to the front", and Cornford's commendation, a couple of paragraphs earlier, of the "magnificent responsibility and organising power of the [Anarchist] workers in their own Trade Unions, who are more and more adopting, though not yet

consciously, the line of the Communists and Socialists, and will not permit wrecking tactics by their leaders". Though "they still refuse to take part in the official government" these Anarchists nevertheless "gave their provisional support to the Government for the duration of the war" (111).

By beginning his quotation from Cornford with the latter's ritual allusion to "renegades" and "ex-Trotskyists", Saville isolates this passage as if it were a specific and central indictment of POUM, when it is merely part of a reasoned and balanced analysis of all the elements in the Republican camp, starting with the "bourgeois" coalition government headed by Companys and Casanovas. Nowhere does Cornford indulge in the sectarian indictments and denunciations of treachery, subversion and "objectively fascist" behaviour which characterised much Communist commentary on the other movements in the supposed "united front" against fascism. He does indeed refer to the unsuccessful "efforts of the semi-Trotskyist POUM (Partido Obrero d'Unificación Marxista) to break the People's Front", but adds at once that "there has been no question of any serious political division" (109-111). There is no indication that Cornford regards these as anything other than disagreements within the ranks of the genuine workers' movement, not acts of subversion and provocation by the "Fifth Columnists" spoken of in the Nationalist General Emilio Mola's 1936 broadcast during the siege of Madrid, eagerly seized upon by many within the Republic's ranks to settle old scores. On the contrary, in speaking of POUM as "semi-Trotskyist", Cornford departs from Communist orthodoxy, which would recognise no such halfway house, and seems to allow scope for reconciliation and re-education, as in his wishful belief that the Anarchist workers are "adopting, though not yet consciously" the PSUC line. Spelling out the initials of POUM, with all the emotional resonances attached to words like "worker" and "Marxist unity", might also have an incorporative polemic intent, while in speaking of Nin as an "ex-Trotskyist", Cornford tries to hold the door open for a wider consensus than Party orthodoxy was prepared to tolerate. In similar vein, in a passage Saville omits between the two paragraphs he quotes, Cornford expands on what he means in writing of "a parody of the Bolshevik tactics of 1917":

The opposition to the People's Front and proposal instead to form a workers' bloc at the elections would have driven the Republicans into the arms of the reactionaries; it would have allowed the Lerroux Governments to continue in office: would have led the unarmed workers into struggle with the whole State machine. A further example of the pseudo-Bolshevism of POUM: Budyenny organised cavalry in the Russian revolution. So what must POUM do but organise cavalry too. They forgot that if Budyenny had had at his disposal roads

in perfect working order and a fleet of fast lorries, he would not have organised cavalry but motorised columns instead. (112)

Possibly Cornford had not yet encountered the state of Spanish roads away from the urban centres, particularly during winter rains. If he had, he might have been a little less dismissive of POUM policy on this matter. But his sarcasm here is certainly not an indictment of “objectively counter-revolutionary” activity. On the contrary, in invoking “Bolshevik” analogies from the heroic days of the Russian Revolution, he is quietly advising his orthodox Party readers that these people are genuine militants, whose errors may be comical but arise from an excess of revolutionary zeal, not from treachery. Nor is he convinced that the Party has always been right in the line it pursued. He is implicitly arguing for a wider tolerance and ecumenism in defining the forces of the Republic, and suggesting, too, that this is not only a moral precondition of revolutionary solidarity, but sound political strategy also, if the Party is to forge that “welded front” without which the Republic will be defeated. More interested in asserting Cornford’s disapproval of POUM than in listening to what the man actually says, John Saville seems not to have noticed the astonishingly reckless departure from “democratic centralist” norms in this twenty-year-old petty-bourgeois intellectual’s rebuke to the unquestionable certainties of Party orthodoxy: “POUM is a punishment for previous errors of the Communists and Socialists”. How dare this neophyte defector from the ruling class, still wet behind the ears, impute “errors” to the infallible Party? Cornford’s coded references to the Popular Front programme in his “Report” are crucially significant in this context.

4. WHAT THE SEVENTH CONGRESS SAID

What is going on here is indicated most explicitly in the heretical hesitation, suppressed as uttered, in the fifth stanza of the published text of “Full Moon at Tierz”:

All round the barren hills of Aragon
Announce our testing has begun.
Here what the Seventh Congress said,
If true, if false, is live or dead,
Speaks in the Oviedo mausers tone. (Galassi 1976: 38)

It is surprising that there has been no critical consideration of these lines, particularly since, according to his biographers Peter Stansky and William Abrahams (1966: 347), they are, in their draft form, the first words Cornford wrote in his diary,

and constitute the opening stanza of the diary version, only moved to the fifth stanza in the published version. The words are, that is, the germ and stimulus of the whole poem, and indicate what was foremost in Cornford's mind as he confronted his first test in action with this POUM battalion. The next stanza of the poem, in the published version, opens up the specific significance of this allusion to the crucial Seventh Congress of the Communist International: "Three years ago Dimitrov fought alone / And we stood taller when he won" (Galassi 1976: 38).

The reference, reinforced by the subsequent allusion to "the Leipzig Dragon", is to Georgi Dimitrov, the Bulgarian Communist leader, accused by the Nazis, in the Leipzig show trial in 1933, of setting fire to the *Reichstag* building, which event provided the pretext for Hitler's suspension of the German constitution and his seizure of unconditional state power. Partly as a result of massive international publicity and pressure, Dimitrov was acquitted. Cornford's reference to him fighting alone is not quite accurate. His co-accused was the mentally unstable young Dutch anarchist and ex-Communist Marinus van der Lubbe, who was not so fortunate, being found guilty and subsequently beheaded by the Nazi state. Stephen Spender (1934: 39-40) wrote a poem about van der Lubbe's manic laughter, manifest throughout the trial, while W. H. Auden (1936: 51) also alluded to it in another, more famous poem. Cornford's ignoring of Dimitrov's less successful co-defendant may be tactful silence in deference to the Party line: the Comintern was not interested in saving the life of a renegade ultra-leftist, whether innocent or not, and did not want any competition to detract from its internationally celebrated triumph. Or it may be simply a matter of poetic expediency: it is important for the rhetoric of the poem that Dimitrov "fought alone", so that lonely and isolated cadres like the poet himself can learn to stand taller in their solitude and, in the process, find a solidarity and shared identity ("Now with my Party, I stand quite alone").

But there is more to the Dimitrov reference than this, and it takes us right into the ambivalent heart of the poem. It was at the Seventh Congress of the Communist International in 1935 that Georgi Dimitrov, as its General Secretary, proposed, in a speech entitled "The Unity of the Working Class against Fascism", a new strategy of anti-fascist collaboration with non-Communist organisations and movements. This strategy involved a major volte-face in Comintern policy, though it was not of course announced as such. Prior to this, the Comintern had espoused the so-called "Third Period" strategy which ran from 1928 until Hitler's seizure of power after 1933, and the growing threat of fascism throughout Europe, called for a belated rethink. "What the Seventh Congress said", through the mouth of

Dimitrov, was the need for a policy of a “United Front Against Fascism”, more commonly known as the “Popular Front”.

The ultra-leftist “Third Period” strategy had insisted that capitalism was now entering its third and final period, after its temporary stabilisation in the 1920s. National Communist parties had been required to denounce all other workers’ and socialist organisations as “false lefts”, and to reject collaboration with them and any participation in “United Front” strategies. A cult of armed insurrection was advocated, irrespective of local circumstances, logistical capacity, or the likelihood of success. “United front at the base”, or “from below”, was contrasted with the allegedly “revisionist” and “opportunist” imposture of the “united front from above”, at the level of party leaderships. Unity “from below” between all workers, irrespective of affiliation, required, in fact, that such workers would sooner rather than later subscribe to the leadership of the Communist Party, and be “won” to the Moscow line. The “Popular Front” strategy, by contrast, went even further than advocating collaboration with the leadership of the previously reviled “social fascist” parties. It now involved collaboration across classes with what was henceforth called the “progressive bourgeoisie”. The French Communist leader Maurice Thorez, whom Cornford invokes in the subsequent stanza of “Full Moon at Tierz”, was one of the architects of the Popular Front in France, having resisted overtures from the Socialists until 1934. While supporting from outside the Popular Front Government formed there after the 1936 elections, he kept the PCF out of direct participation in government, presumably on instructions from Moscow. He becomes, then, for Cornford, a figure of the disciplined cadre loyally implementing Party policy, irrespective of possible personal misgivings.

While the Popular Front policy was widely welcomed by liberal leftists such as Stephen Spender, many traditional Communists initially regarded the programme with distrust. Cornford’s balancing formula, “If true, if false, is live or dead” suggests that he shared these doubts, seeing resolution of the debate to lie in the outcome of armed conflict, “the Oviedo mausers tone”. Whether the Oviedo provenance of the POUM leader Grossi, singled out as a “sincere and courageous revolutionary with a mass following” in his “Political Report”, unconsciously influenced Cornford’s choice of this particular carbine rifle as the authoritative voice of the revolution is now beyond speculation. But there is much evidence from his earlier writings that Cornford would, in the very recent past, have had considerable sympathy for the criticisms of Comintern policy, particularly in regard to the Popular Front, of the Anarchists and “semi-Trotskyists” among whom he was serving in Aragon, sentiments clearly shared, in fact, by those German ex-Communists of whom he writes with such admiration and affection in his letter to Heinemann.

In his essay "What Communism Stands For" in *Christianity and the Social Revolution*, which was published in 1935, Cornford was convinced that the present era was "the epoch of imperialist wars, of wars between the great powers for the redivision of the world", in which "each successive crisis in the imperialist epoch is the prelude to a more desperate world war" (Lewis 1935: 242). For, he (256) continued, "the whole structure of capitalist rule eliminates the possibility of the peaceful conquest of power by the working class. If the working class ever wishes to take power, it must prepare for civil war". Indeed, he went further, in terms not often heard in the period of Popular Front politics, calling attention to "The fate of the dozens of constitutional 'socialist' Governments – in Germany, Austria, Australia, Great Britain, Scandinavia, Spain, etc., not one of which has been able to introduce an atom of lasting Socialism", which is "the fate of the Socialists who 'reject' civil war", and he (257) continued with an attack on the policy of "the left of the English Labour Party" for misunderstanding "the whole structure of the capitalist State".

The writing of Cornford's essay probably predates the official formulation of the Popular Front policy, though by the time it was published that policy was in place. As a loyal Communist, he would have sought to accept the change in the Party line. Nevertheless, the essay shares the insurrectionary assumptions of Third Period strategy, and is clearly closer to the continuing criticisms of Popular Front strategy after 1935 by the non-Communist left and by the Party's internal "left opposition", not of course made public at the time. Such assumptions are even more apparent in the article "Left?", which appeared in *Cambridge Left* in the winter of 1933-34. This essay asserts, in attacking Stephen Spender, that "there is no middle position between revolution and reaction" (Galassi 1976: 59), and actually quotes with approval two caustic stanzas from Auden's "A Communist to Others", with the comment "There is no ambiguity about this", commending that poem's "far more virile and direct revolutionary form" (61). Similarly, the essay "The Struggle for Power in Western Europe", published in *Cambridge Left* in Spring 1934, shows little sign of a burgeoning Popular Front mentality, pouring scorn on Social Democracy for facing "in two directions – to show the bourgeoisie its absolute loyalty and to present the revolutionary workers revolutionary phrases without giving any lead in the immediate struggles" (66). The tone as well as the tenor of all this corresponds closely to that subsequently to be found in "left" critiques of the "Popular Front" policy. Indeed, quoting D. Z. Manuilsky's denunciation of the Second International at the CPSU's 17th Congress for seeking "socialism but without the proletarian revolution", he concluded that "In sharp opposition to the theory and practice of the democratic transition from Capitalism to Socialism [of the Second International] stands the Communist International. It

has always resolutely put forward the slogan of class against class" (66-67). "Class against class" was the precise formula of Third Period politics, rejected once the Popular Front was inaugurated. Cornford's private battle with his nerves, then, was also a struggle to convince himself that "what the Seventh Congress said" was true, not false. If, as "Full Moon at Tierz" reports, "Communism was my waking time", it was for Cornford the Communism not of the Popular Front but of the Third Period strategy, now branded an ultra-leftist, sectarian, "Trotskyist" deviation. Cornford's perplexity, focused in the poem in that succinct antithesis, "If true, if false", is apparent in the personal admission to Margot Heinemann early in his letter of 16-30 August:

Now a bit about the political situation. That isn't easy to get straight, particularly as I haven't yet heard anyone explain the position of the Party (and the militia here I am with are POUM – left sectarian semi-Trotskyists). But roughly this. The popular front tactics were worked magnificently to begin with. They won the elections. And under the slogan of the defence of the Republic, they enabled us to arm the workers when the Fascist revolt started. Up till then the position is quite clear. But now in Catalonia things are like this. There is a left Republican government. But, in fact, the real power is with the workers. There are 50,000 or more armed workers in Catalonia – and in the Barcelona patrols they are organised in the following proportions: 325 CNT (Anarchist), 185 ERC (left Republican). But this means simply the Civil Guard and the Guardia de Asalto, the police; 145 UGT (Soc.-Com.); 45 POUM. Thus the Anarchists predominate.... The Anarchists appear to be preparing to attack the Government after the fall of Saragossa. That would be disastrous. The only possible tactics for the Party are to place themselves at the head of the movement, get it under control, force recognition from the Government of the social gains of the revolution, and prevent at all costs an attack on the Government – unless the Government actually begins to sabotage the fight against Fascism. That may be what the Party is doing. But I have a fear that it is a little too mechanical in its application of People's Front tactics. It is still concentrating too much on trying to neutralise the petty bourgeoisie – when by far the most urgent task is to win the anarchist workers, which is a special technique and very different from broad Seventh Congress phrases. But I don't really know.... (173)

In Barcelona, he continues, "one can understand physically what the dictatorship of the proletariat means", adding, a little later "It is genuinely a dictatorship of the majority, supported by the overwhelming majority" (174). The description of POUM as "left sectarian semi-Trotskyists" is orthodox enough, though that "semi-" again adds a cautionary note, but there is no indication that he regards them as untrustworthy comrades to fight alongside. One has to recall that, exactly

contemporaneously, the first of Stalin's "show trials", of the "Trotskyite-Zinovievite Terrorist Centre", was being conducted in Moscow in the week of the 19th-24th of August, though how aware of this Cornford was at the time is unclear. The ostensible loyalty of the disciplined cadre to Party policy on the Popular Front seems more formal than real: significantly, he twice speaks of the policy as mere "tactics", in a context where the duality of "tactics" and "strategy" was part of everyday discourse. The main purpose of such "tactics" is perceived as winning the election and ensuring the arming of the workers "under the slogan of the defence of the Republic". Behind the formula "a little too mechanical" lies, I would suggest, a deeper unhappiness with the line. This becomes sharper in the light of that clearly "Third Period" emphasis on the priority of having an armed working class with "real power" from below. Cornford does not here see an armed, largely Anarchist-oriented working class as a threat to the cause, but rather as the precondition of its survival. Though "The Anarchists appear to be preparing to attack the Government" his proposal is not their suppression, but, in terms clearly derived from the Third Period strategy of "unity from below", the need for the Party to place itself "at the head of the movement", not only to protect the "left Republican government" (unless it "actually begins to sabotage the fight against Fascism") but also to "force recognition from the Government of the social gains of the revolution", in short, to preserve "the dictatorship of the proletariat". This is very far, of course, from the actual trajectory taken by the Spanish Communists and their Soviet mentors in the months that followed.³ On the contrary, the Communist line was to continue to concentrate "on trying to neutralise the petty bourgeoisie", that is, to placate that body, at the expense of what Cornford believed to be "the most urgent task... to win the anarchist workers". Whatever (in Communist parlance) the "correct line" was in these circumstances, Cornford's scepticism about the theoretical, "textbook" nature of the policy's implementation, and his countervailing insistence on the real complexity of class and political interests and opportunities on the ground, not only derives from his Third Period predispositions, but is hardly distinguishable from the kind of critique George Orwell offered of Communist policy in Catalonia a year later, after the Barcelona pogrom of May 1937. Cornford's implicit and, for such a loyal cadre, somewhat astounding dismissal of Party orthodoxy, in that contemptuous reference to "broad Seventh Congress phrases", full of the activist's contempt for theorising dogmatism, feeds right into the moment of stumbling and prevarication which provided the initial impulse for "Full Moon at Tierz": "Here

3. The most balanced and scrupulously impartial narrative of these times is that provided by Paul Preston in *The Spanish Civil War: Reaction, Revolution and Revenge* (2006).

what the Seventh Congress said. / If true, if false, is live or dead”, to be proven only by hard practical reality, the praxis of “the Oviedo mausers tone”.

Far from being a Communist hack then (something on which at times Cunningham and Saville appear almost to be agreed), Cornford, struggling to conform to Party doctrine while holding on to his fundamental commitment to an insurrectionist, Third Period agenda, seems to be trying to imagine a strategy that would reconcile defence of the Republic with the cause of proletarian revolution, of which the Spanish War, and his own life, were in his perception only single, isolated moments. It is in this light that we must read his tribute, in the closing paragraph of his letter to Heinemann, to the integrity and authenticity of his German comrades, men, he had already told her, who “genuinely believe the C. I. has deserted the revolution”, but who remain for him “the finest people in some ways I’ve ever met”, and who gave him back a conviction of his own identity as a principled fighter for the world revolution, “For Communism *and* for liberty” (181; my emphasis):

Since meeting the Germans I feel like myself again, no longer lost, and revolutionary again. Before I was too lost to feel anything but lost. Now I’ll fight like hell and I think I’ll enjoy it. They are the finest people in some ways I’ve ever met. In a way they have lost everything, have been through enough to break most people, and remain strong and cheerful and humorous. If anything is revolutionary it is these comrades.

What emerges from “Full Moon at Tierz”, then, is the strain of such an internal struggle. But what that struggle witnesses to is the integrity and dignity of Cornford’s commitment to Spain, and to the wider anti-fascist cause, which for him were inseparable from the international proletarian revolution, a cause for which he was prepared to present his life.

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Johnson (1987: 21) has drawn our attention to the fact that we are aware of our bodies as three-dimensional containers.

Example 2:

“Certainly, the conventional romance plot is a construction of the ideology of patriarchy” (Brush 1994: 238).

References within the text should go immediately after the author, both when the quoted passage is incorporated into the text and when the passage is longer than four lines and needs to be separated as an indented quotation. When the name of the author does not form part of the text, it will appear at the end of the quotation between parentheses.

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The readers being addressed are mainly white and anglophone, for, as Atwood (1981: 387) said “survival was part of the English-Canadian cultural nationalism that peaked in about 1975”.

Example 2:

Even Cranny-Francis (1990: 190) 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.

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The new subjectivity must be the result of a move through objectivity. Myth before ideology, story before argument are the bases of a critical theory:

Artists have always been told that they have no real authority, that they live in a world of let's pretend and they just play around with fictions, and their function is to delight and instruct, as Horace says, and they can learn from their own art to delight, and they can't learn how to instruct unless they study philosophy or theology or politics. (Frye 1990: 7)

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(Richards 1971: 210; Arabski 1979: 43; Selinker 1991: 16)

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Frye, N. 1940. "The Resurgent". *Canadian Forum* 19: 357-61.

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