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Greetings in Letters by EFL Primary School Children. A Longitudinal Study

Rosa María Jiménez Catalán
Universidad de La Rioja
rosa.jimenez@unirioja.es

In this study we look at the use of salutations and valedictions in letters by primary school learners of English as a foreign language (EFL). Second language discourse studies have paid relatively little attention to the structural and pragmatic aspects of letter writing by university EFL learners. However, obligatory greetings in letters have been superficially addressed in research, hidden among other aspects. Likewise, there is a dearth of longitudinal studies to help understand how, over time, EFL learners (and in our case primary school students) develop discourse and pragmatic competence in letter writing, particularly with regard to its most distinguishable features: salutations and valedictions. In the present study we traced individual learners' performance over three school years in order to identify patterns of use and developmental tendencies. The findings suggest the existence of stages of development in the use of greetings. In the process of acquisition, salutations come first and in many cases they are overextended to fulfil the functions of complimentary closings. Finally, the analysis of greetings uncovers children's personal/individual voices and identities and reveals how children perceive their addressees.

Keywords: greetings; letters; discourse development; pragmatic development; primary school EFL learners

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Los saludos en las cartas de aprendices de inglés como lengua extranjera en educación primaria. Un estudio longitudinal

En este estudio analizamos el uso de los saludos y las despedidas en cartas escritas por escolares de educación primaria, aprendices de inglés como lengua extranjera. Los estudios de discurso en segundas lenguas han prestado una atención relativa a aspectos estructurales y pragmáticos de cartas escritas por aprendices de inglés de nivel universitario. Sin embargo, los saludos

obligatorios en las cartas se han investigado muy superficialmente, diluidos entre otros aspectos de las cartas. Asimismo, no existen estudios longitudinales que puedan ayudarnos a entender el modo en que los aprendices de inglés en educación primaria desarrollan la competencia discursiva y pragmática en las cartas, particularmente en lo que respecta a sus rasgos más distintivos como son el uso de los saludos y las despedidas. En el presente estudio analizamos estas fórmulas a lo largo de tres cursos a fin de identificar patrones de uso. Los resultados sugieren la existencia de estadios de desarrollo en los saludos. En el proceso de adquisición, los saludos emergen primero y en muchos casos se observa una generalización de los mismos para cumplir funciones de despedida. Finalmente, en el análisis emergen las voces e identidades de los niños y se observa cómo perciben a los destinarios de la carta.

Palabras clave: saludos y despedidas; cartas; desarrollo de la competencia discursiva; desarrollo de la competencia pragmática; aprendices de inglés como lengua extranjera; educación primaria

1. Introduction

Letter writing is important in foreign language education, where it is used not only to help learners develop expertise in writing, but also to encourage them to express their ideas and feelings.[1] In the age of emails, SMS and WhatsApp messages, letter writing exercises continue to be included in foreign language textbooks, writing guides, language courses and examinations, for instance, the Cambridge Preliminary English Test (PET), as well as in the Common European Framework of Reference for Languages (CEFR). However, letter writing is not only a common pedagogical task in language education but also an act of social practice: when students write a letter, they engage in interaction with a real or imagined audience, and when they use a conventional politeness formula to acknowledge the audience of that letter, such as the *salutation* (the greeting which precedes the body of the letter) or a *valediction* (the complimentary closing or signoff which follows it), the formula employed can reflect the extent to which they have assimilated the linguistic, discursive and social norms of the target language as well as how much distance they perceive to exist between themselves and their addressees.

Inspired by Gumperz's ([1968] 2009) notion of speech community, we suggest that foreign language learners, including learners of English as a foreign language (EFL), form such a community for the following reasons: first, because they share a social setting, i.e., the foreign language classroom; second, because of the existence of commonalities in the interlanguages of EFL learners all over the world. As noted by Ellis (1994), second language acquisition (SLA) research has shown such commonalities in the acquisition of morphological, syntactic, pragmatic and discourse competence by English learners with different mother tongues and in different learning contexts. However, most research has looked at university students, and has been predominantly cross-sectional in nature. Only a few longitudinal studies, generally based on a relatively small number of learners, have been published to date (e.g., Cekaite 2007; Li and Schmitt 2008; Shively 2011; Barón 2015), though these studies have neither focused on children nor on letter writing. Despite the fact that letter writing is a common pedagogical task in foreign language classrooms, there is no research on whether young learners use obligatory elements such as greetings following the specific genre of the letter, and if they do, which elements emerge first, or what this reflects about children's knowledge of the letter as structured discourse. In an attempt to narrow this gap, the present study focuses on the emergence of salutations and valedictions in English letters of primary EFL learners. We aim to ascertain whether a large sample of Spanish primary school children use some of the most salient conventionalities in letters such

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as salutations and valedictions, and if so, whether there is an increase in the number of students who use them as time goes on. We also aim to identify the forms of salutations and valedictions appearing in the letters and trace patterns of development in the use of these obligatory elements over time.

Our study is framed within second language (L2) discourse studies, and within this, on children's letter writing as a genre (see Barton and Hall 1999; Bruce 2014). However, as already mentioned, letter writing is also a social activity in which learners engage in order to communicate meaning, adopt the role of addressor and reflect their perceptions and identities by means of discourse devices; among which are the greetings they use, misuse or omit in opening and closing their letters. Our review aims to take this interdisciplinary view of letters, thus discourse analysis, genre, politeness and identity coincide to provide the theoretical and empirical background of our study.

2. Background

2.1. Letters in L2 discourse studies

The study of letter writing has a sound tradition in discourse studies (Askehave and Swales 2001; Bhatia 2004; Hyon 2011). However, it was not until the 1990s that applied linguistics researchers cast their eye towards letters written by EFL learners. The majority of these studies aimed to compare the letter writing performance of university EFL or other second language learners to that of native speakers (e.g., Maier 1992; Sims and Guice 1992; Al-Khatib 2001; Smith 2005; Arvani 2006). It is, however, difficult to draw general conclusions due to the great disparity of research topics addressed in the comparisons. For instance, Smith (2005) investigated the awareness of writing conventions in the first and in the second language (L1 and L2) of Chinese and Arabic EFL learners, and found that both groups accommodate to the norms of their L1. Al-Khatib (2001) looked at the effect of culture on the use of salutations and valedictions as markers of politeness in letters by Jordanian EFL learners. His results are of particular interest for the present study as he found a high proportion of students (65%) using Jordanian Arabic-style salutations and valedictions rather than those of the target language and culture. In another study, on business English, Arvani (2006) found similar sequences in letters by L1 and L2 speakers. However, the greetings used by the second group were more informal than required by the context, evidencing lack of awareness of the best vocabulary and phraseology to use to construct a letter appropriate to a given situation. Conversely, Maier (1992) found that non-native speakers overused politeness strategies in their salutations and valedictions. Similar results were obtained by Sims and Guice (1992) in their study of native and non-native speakers' enquiry letters requesting information and application forms from an American university; specifically, non-native speakers exaggerated politeness in valedictions, writing for instance "Very respectfully yours" rather than "Yours."

This lack of attention to EFL letter writing by discourse studies, and the lack of longitudinal data on young EFL learners in this respect is unfortunate since, as has been mentioned and is expanded upon in the next section, salutations and valedictions are not only obligatory elements in the structure of letters but also carriers of social and pragmatic functions.

2.2. The functions of salutations and valedictions

In discourse studies, salutations and valedictions are part of the idiosyncratic features of a letter. There may be variation in the purpose or the medium of transmission of a letter, but the letter is always recognised as an example of the "letter genre" thanks to its "three-move discourse structure" comprising salutation, body and valediction or "complimentary closing" (Bhatia 2004, 16). Salutations and valedictions are realised through different formulae, the options being determined by the situation as well as by the social distance between addressor and addressee.

In addition to the obvious function of opening or closing an interaction, salutations and valedictions play two social functions: they serve to acknowledge the presence of the interlocutor(s) and to show good manners and concern towards them. The omission of salutations and valedictions in letters might be perceived by the addressee as a lack of acknowledgment and, in consequence, as intrusive and impolite behaviour. We find support for this claim in the model of politeness proposed by Brown and Levinson (1987), which views politeness as the capacity of human beings to control inner aggression and preserve face. In this model, politeness formulae such as greetings exist in all cultures and have the functions of avoiding threat, establishing and strengthening relations, and showing respect to addressees. Following this argument, we may consider salutations and valedictions both to constitute greetings and function as markers of politeness, a view shared by many scholars in various linguistic disciplines. For instance, within sociolinguistics, Holmes (1994) considers greetings examples of positive polite behaviour or indicators of positive polite intent. Likewise, Laver (1981), in his study of conversational routines, and more recently Kuiper (2004) in his study of formulaic performance in conventionalised varieties of speech, also views greetings in the role of markers of politeness. Finally, from an ethnographic standpoint, Duranti (2009) notes the significant role played by greetings in communicative competence, and their relation to society and social practice: far from being meaningless formulae, greetings reveal aspects of a culture through the different types of encounters where they occur. Duranti considers three conditions necessary in the study of greetings: an ethnographic approach, a record of what was actually said in the encounter, and a working definition of the phenomenon under investigation.

While the views on greetings summarised above actually refer to oral interaction, the assumptions underlying each view can, in our opinion, readily be transferred to the analysis of greetings in letters. This claim is based on three grounds. First, letters

are social in nature (Barton and Hall 1999), including those written in the foreign language classroom. Second, EFL learners form a distinct community of English users, and as such, it is possible, echoing Duranti, to look at what they actually say or write as uniquely reflective of their communal characteristics. Third, letters as examples of social interaction reflect how addressors perceive their addressee in terms of social distance. Furthermore, closely related to social distance is the concept of "rapport," or degree of agreement or understanding among the participants in a given social interaction. According to Spencer-Oatey (2000, 11-16), rapport is based on the interrelation of five domains: the speech act, discourse, participants, stylistics and non-verbal aspects. Spencer-Oatey's concept fits well with the idea of the letter as a type of social interaction, where the speech act of greeting is realised and where addressors project their own values and expectancies in the way they accommodate to the addressees.

Given the social nature of letters, the functions played by salutations and valedictions, and their obligatory status in letters, a longitudinal study seems to be necessary to expand our knowledge of how primary school children acquire and develop aspects of lexical, discourse and pragmatic competence in L2. Unfortunately, there is, as mentioned above, a surprising scarcity of research in this area. For instance, in a detailed review of SLA research in children, Pinter (2011) summarises over thirty studies, only two of which focused on writing, and neither on letter writing. To our knowledge, the only study devoted to the analysis of letters by young EFL learners is the one conducted by Lindgren and Stevenson (2013) with Swedish children. However, its focus differs from the present study as the authors examined the interactional resources used by Swedish children to communicate meaning in letters written in L1 (Swedish) and in L2 (English). Research is also scarce in the area of English L1 letter writing, and the few studies published differ in focus. For instance, some studies have looked at content in letters to Santa Claus written by American English speaking children (Caron and Ward 1975; Richardson and Simpson 1982; Downs 1983), and of these, two were concerned with the effect of gender on the content of children's letters (Richardson and Simpson 1982; Downs 1983). The only study we are aware of that has examined greetings in English speaking children's L1 letters was the study conducted by Crowhurst (1990). However, her study was cross-sectional rather than longitudinal, and the aim was to ascertain how sixth-year Anglophone Canadian children perceived their addressees when writing letters to student teachers. That said, in her analysis, she did also look at the use of greetings as discourse moves and markers of politeness. In this regard, the most relevant findings were the omission of salutations and the ending of the letters in an awkward way. According to Crowhurst's report, the writers were "plunging immediately into the first topic, and many ended abruptly once they had dealt with their last topic" (1990, 13).

As Lindgren and Stevenson (2013, 391), echoing Harklau (2011), note "the study of young second language writers' texts is just emerging as a field of enquiry." In our view, it seems crucial to conduct a longitudinal study in order to ascertain whether

EFL children, in their initial stages of letter writing, will show similar or different patterns to those reported in L2 letters by adult EFL learners in discourse studies, or to L1 English children, as reported in the study by Crowhurst (1990). To this end, we set out to investigate the following research questions:

> Question one: Will Spanish primary school children employ salutations and valedictions when writing a letter in English? If so, will the number of students who use both greetings increase over time?
> Question two: What forms of salutations and valedictions do EFL primary school children use?
> Question three: What patterns of development emerge in these children's use of salutations and valedictions over three school years?

3. METHOD AND PROCEDURES

3.1. Participants

Our study is based on a corpus of 630 letters written by a cohort of 210 Spanish primary school EFL learners over a period of three school years. The distribution by sex/gender was 105 girls and 105 boys; ages ranged from nine to twelve. The sample is made up of complete classes from four primary schools with similar socio-cultural characteristics located in middle-class areas of a city in northern Spain. The sample was also homogeneous in terms of the learners' family language background, as the vast majority of the students had been born in the same region where the schools were located, and all were from Spanish L1 families.

The learning context of the sample of learners participating in this study presents similar characteristics with respect to grade, the status held by English in the schools, teaching approach, number of hours of instruction and syllabus content, all of which are regulated by national and regional law. Thus, English is taught as a foreign language for three to four hours per week depending on the grade and it is a compulsory foreign language in primary education, being taught throughout the six grades that make up the primary school curriculum (for six to twelve-year-olds). At the end of their fourth year of primary education students in all the participating schools will have received approximately 400 hours of English instruction, 520 by the end of their fifth year, and 649 by the end of their sixth year and thus the end of primary school. According to national and regional law, a communicative approach must be adopted throughout primary education, with the emphasis on oral skills and the gradual introduction of writing activities. To help learners develop the latter, the personal letter is among the tasks employed.

3.2. Data collection and analysis

The participants were asked to complete a biographical questionnaire and to write a letter in English introducing themselves and talking about their town, school and

hobbies. The learners performed the same task at three collection times, in the fourth, fifth and sixth year, after having been given instructions in English and Spanish about the context and the purpose of the task and the fictional recipients: they were supposedly to be going to spend a month in Oxford with an English family consisting of four members: the parents (Mr and Mrs Edwards), a daughter (Helen) and a son (Peter).

The task was conducted simultaneously in all four schools by our research team in the presence of the teachers. Next, the letters from each study year were coded and transcribed to computer text files by members of our team, after which we identified and manually extracted data on all salutations and valedictions and recorded them in Microsoft Excel spreadsheets. Any doubt as regards the interpretation of the children's writing was resolved by discussion among the team and a final agreement reached. Four categories were coded for: (1) salutation + valediction, (2) salutation only, (3) valediction only, (4) neither salutation nor valediction. For the purpose of the present study, the transcriptions of the letters preserved the learners' original text, including errors.

3.3. Reference guides

In conducting the identification, classification and labelling of salutations and valedictions we followed Cory (1999) and Cullen and O'Donoghue (2005). Tables 1 and 2 below include two lists of salutations and valedictions drawn from these sources. As can be observed, we have classified them within a continuum ranging from most informal to most formal and have illustrated each form with a brief description of the situation in which it is appropriate. This description is based on the recommendations for use provided by the above reference guides.

Table 1. Forms of salutation included in reference guides

FORM	SITUATION
Hi/Hey	E-mails and letters to friends (esp. American)
Hello	Friends or relatives
Dear + person's given name: *Dear Peter* Dearest/My dearest	Friends or relatives, or people we know fairly well Showing affection
Dear + person's first name and surname: *Dear Mary Smith*	A stranger or a person the writer does not know
Dear + person's title + surname: *Dear Mr Blair, Dear Mrs/Ms Blair, Dear Mr and Mrs Blair*	A person the writer does not know well A person whose title the writer wishes to reflect for politeness purposes
Dear Sir(s), Dear Sir or Madam, Dear Madam	A person whose name is not known

Similar to salutations, the choice of valediction is determined by the degree of familiarity and affection that exists between the addressor and the addressee. As in the salutations above, the list of valedictions compiled in Table 2 will serve as a framework for understanding learners' performance. Compared with salutations, English valedictions come in a wider range of forms. This may result in greater difficulty for the learner, as there is little correspondence between the form of the salutation adopted and that of the valediction.

Table 2. Forms of complimentary valedictions included in reference guides

FORM	SITUATION
Love With love and best wishes	Close friends or relatives
Lots of love With all my love Much love	Close friends or relatives; more affectionate
XXX, XOXO	People you love or feel affection towards (The Xs represent kisses and the Os represent hugs)
Take care	Close friends or relatives; showing interest in the person's status or condition
See you / See you soon Cheers / Bye for now	Familiar
Best wishes / With best wishes All the best	Friends and family (but also people you do not know well)
Yours	Someone you know less well
Regards	People you know or work with but who are not family or close friends
Yours faithfully (British)	Formal letters: Letters beginning with "Dear Sir," "Dear Madam"
Yours sincerely, Sincerely (British)	Formal letters: Letters beginning with "Dear Mr...." or "Dear Ms...."
Yours truly (American)	Formal letters: Letters beginning with "Dear Mr...." or "Dear Ms...."

4. Findings

In section 4.1 we will look at the number of learners who included or not salutations and valedictions, describe the forms most frequently used over the three-year period, and compare them to the forms listed in Tables 1 and 2. Then, in section 4.2 we will focus on those learners who used both a salutation and a valediction at each of the three collection times (in the fourth, fifth and sixth year). The purpose here is to identify common tendencies that may confirm that developmental patterns in the use of salutations and valedictions may serve as evidence for the development of the elements of discourse competence.

4.1. Frequencies and patterns of use

Research question number one set out to investigate whether Spanish primary school children would employ salutations and valedictions when writing a letter in English, and if so, to find out whether the number of students who used both greetings would increase over time. Table 3 indicates that four different trends exist and can be used to divide participants into four groups. First, over half of the participants in each year began their letters with a salutation but did not end them with a standard valediction. Second, the omission of both a salutation and a valediction was observed in some learners in each of the three years. Third, a small number of learners made use of both a salutation and a valediction at all three collection times. Finally, a small percentage of learners used a valediction but not a salutation. Despite this generally bleak picture, progress in the use of salutations and valedictions is evident, particularly if we compare learners' fourth year performance with their sixth, where we note not only a higher number of students using both salutation and valediction, but also a sharp decrease in those not using either.

Table 3. Trends regarding the use of salutations and valedictions over the three school years

SCHOOL YEAR	BOTH SALUTATION AND VALEDICTION	SALUTATION ONLY	VALEDICTION ONLY	NEITHER SALUTATION NOR VALEDICTION
Fourth	4.8%	52.5%	1.4%	41.3.%
Fifth	18.1%	54.3%	3.8%	23.8%
Sixth	26.7%	61.4%	1.9%	10.0%

The significance of differences across the three years was assessed by means of Friedman's ANOVA, a non-parametric text which makes no assumptions about the distribution of the data and is based on the ranking of the three test scores for each student. These results are shown in Table 4. It can be seen that the mean rank decreases—hence the incidence of use of greetings increases—from one year to the next, and that there is a highly significant difference across the scores for the three years: p = .000, or, using the commonly employed convention of three significance bands, p < .001.

Table 4. Friedman's anova: main test

SCHOOL YEAR	MEAN RANK
Fourth	2.32
Fifth	2.00
Sixth	1.68
$\chi^2(2)= 70.12$, p = .000	

As the Friedman test shows, there is a significant difference across the three years as a whole, comparisons of the values for all possible pairs of years were also calculated, and are shown in Table 5. It can be seen that the differences are significant for all pairs of years (between fourth and sixth at the p < .001 level, and for the others the p < .01 level), although the test tells us nothing about the size of that difference. This is given by the effect sizes, which are also included in Table 5, and indicate that the effect is small for year-on-year results, but it is greater when performance separated by two years (fourth and sixth year results) are considered.

Table 5. Friedman's ANOVA: pairwise comparisons

YEARS COMPARED	SIGNIFICANCE VALUE (p)	ASSOCIATED EFFECT SIZE (r)
Fourth and fifth	.003	.13 (small effect)
Fifth and sixth	.004	.13 (small effect)
Fourth and sixth	.000	.26 (small to medium effect)

We now turn to the second research question, in which we aimed to identify the specific formulae adopted by the participants for their salutations and valedictions. We conducted this analysis by identifying the forms of greetings appearing in the letters, reporting their occurrence across the total corpus, and looking for trends.

4.1.1. Salutations

In descending order of frequency, the salutation forms appearing at the three collection times are as follows: "Hello," "Dear [_____]" and "Hi." As Table 6 shows, the frequency of each form varies according to the collection time. For instance, "Dear" is rather infrequent in fourth year but has almost doubled by fifth and tripled by sixth. Nevertheless, its use continues to be rather low in comparison to "Hello," which is preferred by around half the students at each test time, while use of "Hi" is marginal across the whole corpus.

Table 6. Distribution of salutations by EFL learners by school year

n 210	DEAR	HELLO	HI
Fourth	7.1%	49.5%	0.9%
Fifth	13.3%	57.6%	0.9%
Sixth	19.5%	59.5%	3%

The frequencies indicate that participants prefer the moderately informal "Hello" to either the formal "Dear" or the very informal "Hi" in each of the three years, though its use slightly increases over time. Examples 1, 2 and 3 illustrate this tendency. All

examples are original extracts from the letters, though personal names have been changed to preserve anonymity. The abbreviations in parentheses have the following meanings: deleted name of the student's town of residence or any personal information (xxx), student (S), boy (b), girl (g), fourth year primary (4P), fifth year (5P) and sixth year (6P).

(1) **Hellow** my name is Charlie. My *ciudad* [town] is xxx. (S5b4P)

(2) **Hello!** Mr. and Mrs Edwards. I'm Julia and I live in xxx. (S210g5P)

(3) **Hello family!!** My name is Berta and surname is Santos. (S1g6P)

4.1.2. Valedictions

Several tendencies emerge in the valediction data: the use of conventional formulae, the use of parting formulae from speech as distinct from valedictions in written letters, such as "Goodbye" or "Bye," and the strategy of signing off by name or surname. Although not a valediction, it is worth noting the tendency to end the letter by interrupting its flow or "narrative," without any preliminary move. In our view, this completes the picture of what EFL school children do and don't do when closing their letters at early stages of English language learning. Examples 4 to 7 illustrate each tendency.

(4) I'm playing Basketball with xxx and xxx are very good play of basketball **See you soon**. Marta. (S32gP6)

(5) My cat is very beautiful and smoll [small]. He is white and borwn [brown]. My family is very happy. **Goodby** [bye]. (S241bP5)

(6) I like cycling with my family. In weekend I go to mountain and sea. I don't like rain. **Sandra**. (S99gP5)

(7) My house is big and have a: bhatroon [bathroom], dining room, bedroom, kitchen and living room. **I like my house, my friends and my family**. (S225bP5)

As far as conventional formulae are concerned, Table 7 displays those appearing at each test time with number of users in parentheses. As can be observed, there is an increase in the use of each formula and also an increase in the number of formulae used over time. Despite this increase, however, the number of learners using standard valedictions remains small compared to the total sample.

Table 7. Distribution of conventional valedictory formulae

SCHOOL YEAR	VALEDICTORY FORMULA
Fourth	"Love" (8), "Kisses" (3), "xxx" (2)
Fifth	"Love" (24), "Kisses" (9), "XXX" (2), "Hugs and kisses" (2), "I see you" (1), "yours" (1)
Sixth	"Love" (31), "Kisses" (14), "Lot of kisses" (1), "XXX" (3), "See you soon" (3), "See you" (2), "Your friend" (3)

Despite the scarcity of learners using conventional formulae, they appear to be aware of the need to insert a salutation or valediction to accomplish the interaction. This is supported by the considerable number of learners who made use of parting formulae instead of standard complimentary valedictions: 77 learners (37%) in fourth year, 104 (50%) in fifth and 78 (37%) in sixth. Excerpts 8, 9 and 10 illustrate this tendency.

(8)   My sister is beautiful. She has got black haird {hair}, blue eyers {eyes} and small nose and mouth. I like my house. **Goodbye**: Marta. (S18gP4)

(9)   My grandmother and grandfather lives in xxx. My birthday is eleven of April. **Good Be** {bye} Rebeca. (S198gP5)

(10) My room is very beautiful there are: two beds, one computer, one play station 2, one P.S.A [. . .] **Bye**, Iñigo. (S150bP6)

Nevertheless, the awareness of the need to close letters either by a standard valediction or by other devices by no means extends to all learners. As said at the beginning of this section, the interruption of the letter without any preliminary move is also seen (examples 11 to 16), although this tendency diminishes over time:

(11) I'm 9 year for 10 in the 18 *de* {of} April. I don't like the football. (S2gP4)

(12) My English teacher is Edurne. She's an excellent teacher! My favourite subject is Art. (S21gP6)

(13) I'm got {I've got} seven dogs: Pancho, Corra, Prudencio, Kira, Rosi, Sheila and Churri. My favourite season is Spring. (S52gP5)

(14) Mi horse is blak {black} and is tall. Run very. (S157bP4)

(15) My bedroom is big. I have got one bed, two tables, one armchair two windows and eight balls. (S5bP5)

(16) In Holy week I'm going to go Soria and Bilbao and I'm going go out with my friend. (S7bP6).

Finally, if we compare the salutations and valedictions employed by these primary school EFL learners with those compiled from reference books, we note that the majority of informal salutations and many of the informal valedictions, but no formal ones in either case, are present in the corpus of letters. However, as noted earlier, the mere presence of a given form in a corpus does not tell us that it is being used correctly.

4.2. Developmental patterns

Knowledge of the emergence of salutations and valedictions at different stages is important in that it contributes to our understanding of how and when groups of EFL learners incorporate these specific linguistic and pragmatic features into their L2 repertoire. However, the most interesting aspect of this data is made evident on tracking

learners' individual progression (research question number three). Table 8 displays the performance of the nine learners who wrote both a salutation and a valediction at each of the three collection times. As can be seen, the use of canonical salutations and valedictions in fourth year does not presuppose their use in fifth or sixth. Furthermore, the use of a correct and appropriate form in fourth is not a predictor of its use one or two years later. This finding is in line with the results obtained by Li and Schmitt (2009) in their longitudinal case study of a Chinese university student's use of lexical phrases in English compositions. That is, they found a gradual increase in the range of new lexical phrases but also continued inconsistencies with native use, reflected in the overuse of some phrases.

Table 8. A longitudinal view of learners' individual progress in the use of salutations and valedictions

STUDENT	SCHOOL YEAR	SALUTATION	VALEDICTION
S92b	Fourth	Hello my name is Alvar.	I love, Alvar [Love]
	Fifth	Hello: Peter and Helen. My name is Alvar Ortega.	Alvar Ortega
	Sixth	Hello! My name's Alvar.	Bye Bye
S108b	Fourth	Hello Peter, Helen, Mr. y Mrs Edwards: My name's José	Love José Amezcua
	Fifth	Hello, My name is José.	José Amezcua
	Sixth	Hello frends. My nems is José.	Good bye
S121b	Fourth	Hello: My name's Alvaro.	Love Alvaro
	Fifth	Hello, My name is Alvaro	Bye, bye. Alvaro
	Sixth	Dear Smith: I'm Pistachero.	I don't like school
S238b	Fourth	Hello, my name is Sergio	Love
	Fifth	Hello, my name is Sergio,	Good Baby [Bye]
	Sixth	Hello, my name is Sergio	Sergio
S64g	Fourth	Helou may name Sofia	XXX Keik [Kiss] Baybay [bye, bye].
	Fifth	My name is Sofia.	Sofia
	Sixth	! My name's is Sofia	happy estes [Easter] Sofia Justa
S94g	Fourth	Dear friend: My name´s Lucia	Bye I love Lucia [Bye, love]
	Fifth	I am Lucia	Lucia Peña
	Sixth	¿Hello! My name's Lucy.	My friends are Luis, Ana, Jorge etc. [friends are]
S95g	Fourth	Hello my name Cristina	Bye Mrs Mr Peter and Helen Bye I love Cristina [Bye, love]
	Fifth	Hello Mr y Mrs Edwards. My name is Cristina	Bye, bye. Cristina.
	Sixth	Hello my name is Cristina Reyes	Kiss
S98g	Fourth	! My name is Macarena	It's love *Firma* Macarena [Love signed Macarena]
	Fifth	Dears Mr and Mrs Edwards and Peter and Helen: My name is Macarena	By, by family: Macarena Ruiz [Bye, bye family]
	Sixth	Dear family Edwards: Hello my name is Macarena	My teacher is *gripe* Avair [My teacher has Aviar flu]

S100g	Fourth	Oh Dear Hello. My name is Ruth Saenz Larrea.	Love Ruth
	Fifth	¡Hello! my name is Ruth Saenz Larrea.	Ruth.
	Sixth	Hellow my name is Ruth I eleven years old. Hellow Mr and Mrs. Edwards and Hellow Peters and Helen.	My grandpa played football and the hockey.

Another trend is observed in the instances of over-extension produced by learners when closing their letters. Overextension is understood here, after Field, referring to L1 acquisition (2004, 197), as follows: "In language acquisition, the use of a lexical item to refer to a wider range of entities than is normal in adult usage." Many researchers have provided examples of lexical over-extension in children's early words in English and Spanish as first languages (Berko Gleason 1993; Clark 1995). However, over-extension has also frequently been observed in the acquisition of English by learners from different L1 backgrounds, such as Swedish (Viberg 2002) and French and Japanese (Collins 2004). This is also true in our study; the most common over-extension instances being parting formulae used to fulfil the function of valedictions (see examples 8, 9 and 10) and, less frequently, the extension of salutations to also cover the valedictory function.

Below, examples 17 to 21 aim to illustrate this use of standard salutations to perform the valedictory function. The salutations from the same letters are provided in order to give the reader a more comprehensive view of these learners' performance.

(17)   **Hello** family Edwards. I'm Miguel [. . .] I like spaghetti, pizza, rice, potatotes, macaroni and for drink: cola, and orange juice. **Dear**: **Miguel**. (S137bP6)

(18)   **Hello**: I'm Samuel A. Pérez. I'm very happy. I "ve got a present for Peter and Helen. My proposit [purpose] is learn English [. . .] **Dear Samuel: Samuel A Pérez**. (S155bP6)

(19)   **I'm Iñigo** I live in xxx [city in Spain] I'm 11 years old [. . .] My teacher of gym is Michel. **Hellow. Iñigo**. (S168bP5)

(20)   **My name is Pedro**, I live in xxx [city in Spain]. My mother is very nice and her name is Julia. My father is very big and his name is Pedro [. . .] **Hi Helen and Peter, Hi**: **Tomas**. (S182bP6)

(21)   **Hello**, My name is Borja. I live in a big house. The house has got five bathroom, a living-room, four betthrooms, stairs and a kitchen. I have a family [. . .] I **love Borja. Dear Ms Mrs Eduarws**. (S213bP6)

Clearly, the learners in these examples reveal knowledge of various salutations and various forms of the same salutations, but, except student 213 (example 21), who uses "I love" ("Love") and "Dear," we cannot be sure whether the overextension of "Dear," "Hello" or "Hi" is due to lack of knowledge about forms of valediction or to uncertainty

as to when and how to use the correct forms. Example 21 provides evidence in this regard: the learner shows that he has incorporated "Hello," "Dear" and "Love" into his L2 lexicon. Furthermore, his use of "I love" instead of "Love" is telling us that he has acquired not only the greeting formula but also the personal construction with the verb "To love," but that these are somehow confused or conflicting, probably because of their similarity in form. Examples 17 and 21 also illustrate the repetition of salutations or valedictions within the same move. Repetition of forms occurs both in salutations and valedictions, and increases over time with respect to this sub-sample.

5. Discussion

Salutations and valedictions can be examined from various angles, and many different approaches to their analysis could no doubt provide rich insights into our data. However, due to space constraints, analysis is restricted to the interpretation of salutations and valedictions as discourse moves—markers of politeness and symptoms of learners' discourse and pragmatic development. In discourse and genre research, salutations and valedictions are indispensable discourse moves (that is, indispensable signals of discursive stances) from the letter-writer's and letter-reader's perspectives, thus their underuse and omission would be regarded as a failure to meet pragmalinguistic and sociopragmatic conventions. Such failure does seem apparent in the longitudinal primary school EFL learner data presented here, and even in the few cases where both a salutation and a valediction were used, instances of inaccuracy and inappropriateness occurred. In this respect, our results differ from the finding of overuse of salutations and valedictions reported by Maier (1992) and Sims and Guice (1992), perhaps because their studies used intermediate-level university EFL students, not beginners or children. In the absence of prior research on the use of salutations or valedictions by young EFL learners, we have looked at Crowhurst's (1990) study of Anglophone Canadian children in the sixth year of primary education, who, like the EFL children in the present study, omitted salutations and ended letters in an awkward way. Compare for instance "Some things I don't like are liver, homework, Mondays and math." as the ending to one native speaker letter (Crowhurst 1990, 16) with examples 17 to 21 above from our corpus. This similarity across cultures and learning contexts suggests similar processes in the acquisition of salutations and valedictions as markers of discourse and politeness in letters for English as L1 and L2 students alike.

We began this paper by asserting, after Duranti (2009) and Spencer-Oatey (2000), the potential of salutations and valedictions to convey addressors' perceptions of and attitudes towards their addressees. This claim is supported by our data, where children reveal that they perceive the addressee, "The Edwards," as a "close" rather than a "distant" English family. In this regard, the frequent repetition of salutations or valedictions can be understood as a token of solidarity: a manifestation of positive politeness, according to Brown and Levinson (1987), but also, following Spencer-Oatey

(2000), as a manifestation of how children perceive their addressees and attempt to include all the members of the Edwards family in their salutations:

(22) Dear Mrs and Mr Edwards: Hello Mr Edwards, Hello Mrs Edwards, and Peter and Helen. I Elisa Las Heras. (S193gP6)

(23) Hello, Mr and Mrs Eduards and hello Peter and Hellen. (S211gP5)

(24) Hello Mr. y Mrs. Edwards, hello Peter and Helen. (S217gP6)

Obviously, by canonical standards, either the omission of a salutation or valediction or the use of an informal formula or a repetition in the same move would be judged to constitute a symptom of discourse and pragmatic failure. One predictable interpretation would be that the primary school EFL learners in the study did not take into account the need to suit the formula to the situation. Supposedly, this was their first letter to an unknown English family; therefore, "Dear" and "Regards" rather than "Hello" or "Kisses" should have been more appropriate. However, even if some children were familiar with the formal formulae as indicated by the appearance of "Dear" in the corpus, most either consciously or unconsciously resorted to informal forms. As a result, we see closeness rather than distance expressed between the learners as addressors and their imagined audiences, as expected.

In addition, in their use of salutations and valedictions, we see learners displaying a positive self-image, full of optimism and warmth. This gives evidence of their desire not only to be accepted by, but also to establish friendly relations with, their addressees. As the examples below show, it is love rather than conventionalities, that primary school EFL learners seem to be most interested in.

(25) I say good bye to you. Good Bye Mr. Edwards and Mrs. Edwards and Peter and hellen KISS FOR YOUR FAMILY GOOD BYE Nerea *FIN* [the end]. (S17gP6)

(26) See you song [soon]. Your friend: William. (S133bP6)

(27) The name of my favourite friend is Carla. What's the name of your favourite friend Peter? And you Helen? Buy [Bye]: Marta. (S18gP5)

(28) In Easter holidays I'm going to go to my village to visit my grandparent. Goodbuy [Good bye]!!! Tell me about you. (S57gP6)

(29) xxx GOODY [Good bye]. It's love my family It's love my family It's love *Firma* [signature] Macarena. (S98gP4)

As the informants in the study were learning English in the formal context of the classroom, the logical inclination would be to attribute their poor performance to lack of adequate instruction. However, no real comment can be made on this here as, while all teachers stated that the learners had received some explicit teaching and practice in letter writing during each of the three years considered, it was unfortunately not possible for us to conduct classroom observation of learners' letter writing practices. We

cannot therefore know the exact amount and nature of the explicit instruction provided. Many studies have provided evidence of the positive effects of explicit instruction on different aspects of EFL learners' pragmatic competence, writing and lexical routines (for instance, Félix-Brasdefer 2008; Zohar and Peled 2008; Ghobadi and Fahim 2009). However, counter-evidence can also be found. For instance, in a study of the effects of instruction on university EFL learners' oral production of formulaic expressions such as "nice to see you," Bardovi-Harlig and Vellenga (2012) found gains for some expressions but not for others. Likewise, with respect to lexical phrases, Li and Schmitt (2008) provided evidence that explicit instruction does not always bear fruit in learning.

In light of existing evidence on the omission and/or use of informal salutations and valedictions in letters by native English-speaking children as well as university EFL learners, the understanding of salutations and valedictions as symptoms of "transitional competence"—that is, as stages in the acquisition of the target forms (Corder 1967)—seems plausible. Through this lens, the analysis of our data reveals a gradual, unsteady progression in the participants' skill in using the native-likeness of salutations and valedictions. Over the three years, the number of learners employing salutations and valedictions together or salutations only rose; likewise there was an increase in the range of formulae used over time. Yet, even by the sixth year of primary, students did not appear to have fully assimilated the letter schema, at least not in terms of the basics of including both a salutation and a valediction.

Besides this slowness and unsteadiness, other interesting data stand out. First, salutations seem to emerge earlier than valedictions. As noted above, over half the learners made use of standard salutations, but only a small percentage employed standard valedictions. In our view, this finding can be explained on the basis of salience. Salutations occupy a predominant position in letters, being the first elements that capture addressees' attention. The use of a salutation to fill the role of a valediction may thus be reflecting a kind of metonymical thinking in children. In other words, at an early stage in the acquisition of pragmatic competence in letter writing, learners may be paying attention to its most predominant elements, such as the salutation and the content of the body of the letter. In our data, this metonymical process is evident in the over-extension of salutations to fulfil the function of valedictions but not (or only rarely) the other way round. Second, our data reveal the existence of individual variation in the process of acquiring salutations and valedictions. Even if learners share the same language-teaching/-learning experience, variation inevitably occurs.

6. Conclusion

This study has examined a longitudinal corpus of letters collected from Spanish primary school EFL learners, an overlooked age group in both L2 discourse research and SLA research generally. We aimed to ascertain whether young EFL learners included salutations and/or valedictions in their letters, and to identify patterns of use that could

provide empirical evidence of the development of these salutations and valedictions as discourse and pragmatic elements (and thus of discourse and pragmatic development more broadly). In light of our results, several conclusions can be drawn. First, primary school EFL learners underuse salutations and often omit valedictions. Furthermore, they tend to use informal formulae for both, even if there is some evidence that they might know other forms. Second, salutations emerge earlier than valedictions, perhaps revealing a reliable order effect in the acquisition of salutations and valedictions as pragmatic elements. Third, the presence of a correct and appropriate salutation or valediction on an earlier occasion does not presuppose its use, correct or otherwise, later on. Finally, as far as the use of salutations and valedictions as markers of politeness is concerned, this study has shown that by means of salutations and valedictions primary school EFL learners display their most positive face and self-concept as addressor, along with positive attitudes and feelings towards their addressees. In this sense, they are being polite in their own way, even if they do not follow the niceties of letter writing conventions. It is evident that EFL primary school children come to the classroom with their own views of the world and their own beliefs and values concerning interpersonal and social relations, and this is clearly projected in their texts.

In Spanish society, in addition to parents and siblings, the family includes grandparents, aunts, uncles, cousins, close relatives and sometimes even neighbours. Although this may nowadays be changing, making time for and maintaining strong relationships with extended family and friends are among the ideals and priorities of many Spanish people. This cultural construct is projected in the way our sample of young EFL learners greet an imagined English family. Young learners' voices and their identities as children are present in the letters they write. Although the pragmatic and communicative competence of the participants in this study was not great, they nevertheless managed to convey positive feelings and attitudes towards their addressees, although admittedly, not in a canonically or conventionally correct or appropriate way.

This study is unique in its attempt to provide a detailed account of the emergence of salutations and valedictions in letters written by primary EFL schoolchildren. Although the sample is not small and although it shares characteristics with other EFL learners in Spain and other countries where EFL is a significant part of primary education, further studies are needed in order to gain a deeper understanding of the acquisition of salutations and valedictions by this group of learners. It would be useful to conduct such studies with samples of similar age and characteristics to the present one but different mother tongues. In particular, our understanding of these matters would benefit from longitudinal analyses of homogeneous samples of EFL learners, aiming to identify similarities and/or differences in the use of salutations and valedictions in the L1 and in the L2. These studies should focus on letters (either in traditional or in email format) but above all on the use of salutations and valedictions in real interactions in daily life. This would allow us to ascertain whether salutations and valedictions develop in a similar fashion in a native and in a foreign language and across different

types of interactions. Also, further longitudinal studies by gender are necessary, as there is evidence of variation in letters written by males and females. Lindgreen and Stevenson (2013) reported gender differences in interactional aspects of personal letters by Swedish EFL learners: girls writing longer texts and using more emphatic elements and more affective language. While important, their study looks only at synchronic (cross-sectional) data. As they observe, some gender research scholars claim that gender is not a fixed variable, but susceptible to change over time. The present study would benefit from extended investigation to determine whether gender differences appear in interactional aspects of letters by primary school children and if they do, whether they vanish, change or remain constant over time.

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Rosa María Jiménez Catalán is Full Professor at the University of La Rioja (Spain). She has published articles and books on issues related to English language acquisition and teaching in primary and secondary school EFL learners. Her current research interests include vocabulary development, learners' lexicon, lexical availability and gender.

Address: Facultad de Letras y Educación. Departamento de Filologías Modernas. Universidad de La Rioja. C/ San José de Calasanz, s/n. 26007, Logroño, La Rioja, Spain. Tel.: +34 941299422.

The Role of Semiotic Metaphor in the Verbal-Visual Interplay of Three Children's Picture Books. A Multisemiotic Systemic-Functional Approach

Arsenio Jesús Moya Guijarro
Universidad de Castilla-La Mancha
arsenio.mguijarro@uclm.es

This paper aims to explore how the use of semiotic metaphors in picture books contributes to children's understanding of the stories. The three picture books selected for analysis were written during the twentieth century and respond to a standard of literary quality: *Guess How Much I Love You* (1994), *Where the Wild Things Are* (1963) and *Gorilla* (1983). The concept of semiotic metaphor as a tool to create ideational meaning is analysed within the framework of Systemic Functional Linguistics and Systemic-Functional Multimodal Discourse Analysis. Kay O'Halloran extends the Hallidayan concept of grammatical metaphor to the semiotic metaphor in order to determine how verbal and visual modes interact with each other in multimodal texts. Like grammatical metaphor, semiotic metaphor also involves a shift in the grammatical class or function of an element. As this process does not take place intra-semiotically, but rather inter-semiotically, the reconstrual produces a semantic change in the function of that element, creating a new way of making meaning and representing reality. The results of the analysis show that semiotic metaphors are essentially used in children's tales to facilitate young children's understanding of the story by making some abstract phenomena related to states of being more concrete and specific.

Keywords: Systemic Functional Linguistics; grammatical metaphor; semiotic metaphor; verbal-visual intersemiosis; picture books

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La función de la metáfora semiótica en la interrelación texto-imagen de tres libros álbum infantiles. Un enfoque sistémico-funcional y multisemiótico

El objetivo de este artículo es explorar como la utilización de metáforas semióticas contribuye a la comprensión de tres cuentos **álbum** infantiles. Los tres cuentos seleccionados para su

análisis son: *Adivina cuanto te quiero* (1994), *Donde viven los monstruos* (1963) y *Gorila* (1983). El concepto de metáfora semiótica como una herramienta para crear significado ideacional es analizado desde enfoques como la Lingüística sistémico-funcional de Halliday y del Análisis discursivo-multimodal. Kay O'Halloran amplía el concepto de metáfora gramatical y lo aplica al modo visual, creando así la metáfora semiótica, con el objetivo de explorar cómo la palabra y la imagen se complementan en textos multimodales. Al igual que la metáfora gramatical, la metáfora semiótica implica también un cambio en la clase gramatical o función de un constituyente. Como este cambio no tiene lugar intrasemióticamente sino intersemióticamente, la reconstrucción da lugar a una variación semántica que genera nuevas formas de crear significado y representar la realidad. Los resultados del análisis demuestran que la utilización de metáforas semióticas facilita la comprensión del mensaje al joven lector de cuentos álbum, dado que a través de ellas se representan fenómenos y estados de carácter abstracto de una forma más concreta y tangible.

Palabras clave: Lingüística sistémico-funcional; metáfora gramatical; metáfora semiótica; interacción texto-imagen; álbum ilustrado

1. Aims and Scope of the Study

Throughout the last decades there has been considerable research on the role and function of visual materials in multimodal texts such as advertisements, picture books, comics, scientific texts and textbooks (Kress and van Leeuwen [1966] 2006; Forceville 1996; Forceville and Urios-Aparisi 2009; O'Halloran 2004, 2008; Unsworth and Cl**éirigh** 2009; Painter, Martin and Unsworth 2013, and Cohn 2013, among others).[1] However, much work still needs to be done to clarify how images and words are combined together as joint contributors to creating meaning in genres where language occurs with other semiotic modes. Since Barthes' three-way classification of text and image relations into (i) relay—text and image contribute equally to the creation of meaning, each making their own contribution—(ii) anchorage—text fixes the meaning of the image making its interpretation clear—and (iii) illustration—the image supports the text and adds details to a message which is essentially expressed through verbal language—(1977, 28-41), other researchers have proposed further taxonomies to characterise the synergy between verbal and non-verbal modes in different genres. In fact, from the late 1990s and early 2000s text and image relationships have been approached from various different perspectives; some of them closely connected with already well-articulated grammatical and discourse frameworks.

Two areas of grammatical description within Halliday's Systemic Functional Grammar (2004), that of clause transitivity—events are organised into processes, participants and circumstances—and that of clause combining relations of expansion and projection, have been greatly influential on the study of text-image interplay in multisemiotic texts (Bateman 2014, 186-187). The former, essentially developed within multimodal studies by Kress and van Leeuwen ([1996] 2006), attempts to show the correspondences between the verbal and the visual participants, processes and their associated circumstances present in the verbal and non-verbal semiotic modes of a multimodal text (such as Halliday 2004, 168-178). The latter concept, dealing with logico-semantic relations and mainly developed in multimodal studies by Martinec and Salway (2005), van Leeuwen (2005) and Unsworth (2007), establishes the way text and images add information to each other by means of relations of expansion and projection (Halliday 2004, 395-445).[2] As Bateman (2014, 117-238) points out, multimodality

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[2] Expansion contemplates three different ways in which words or images can add information to each other: elaboration, enhancement and extension. Through elaboration and enhancement either words or images provide extra details to the information presented in the other semiotic mode. Images, for example, may provide information about spatial configurations, clothing and appearance of the represented participants, etc. (elaboration) or they may specify where, when or how a specific action occurs adding circumstantial information (enhancement). Through extension, text and images contribute more or less equally to advancing the story and move on towards "new episodes, alternatives, commentaries and so on" (Bateman 2014, 88-89). Finally, projection holds a verbal-visual relationship between a process of saying or thinking and what is said or thought. This kind of relationship, if present, is typically expressed in multimodal texts in speech balloons and thought bubbles.

has also been addressed through the lenses of discourse-based approaches (Kong 2006; Martin 1992; Martin and Rose 2003; van Leeuwen 1991, 2005; Liu and O'Halloran 2009), pragmatic frameworks (Stöckl 2004), rhetorical approaches to advertising and visual persuasion (Mann and Thompson 1998; McQuarrie and Mick 1999; Phillips and McQuarrie 2004; Toboada and Habel 2013), and cognitive theory, specifically pictorial and multimodal metaphors (Forceville 1996; Forceville and Urios-Aparisi 2009; Caballero 2009; Hidalgo-Downing and Kraljevic Mujic 2011; Pinar 2013, 2015).

The approaches referred to here have been used to reveal how images and words are combined together to create meaning in multimodal artefacts consisting of verbal and non-verbal modes. The genres analysed range from static images to moving images, from advertisements to textbooks, to films and beyond. This paper is a contribution to the study of the relationship between images and words in the genre of picture books.[3] In particular, I aim to explore how semiotic metaphors contribute to text-image relations in a sample of three picture books written during the second half of the twentieth century.[4] All three are well-known and respond to a standard of literary quality (Townsend 1990; Gamble and Yeats 2002, 101-162; Hunt 2004, 223-622). In the stories selected, text and illustrations both play a fundamental function in the construction of the plot and are arranged in compositional and juxtaposed layouts, which is usually the case in tales consisting of image-text combinations (Cerrillo and Yubero 2007; Moya-Guijarro and Ávila 2009; Moya-Guijarro 2014, 7-17). The books selected for analysis are *Where the Wild Things Are*, written and illustrated by Maurice Sendak ([1963] 2007), *Gorilla*, written and illustrated by Anthony Browne ([1983] 2002), and *Guess How Much I Love You*, written by Sam McBratney and illustrated by Anita Jeram (1994). The first two stories are contemporary classics, that is, works that can be considered models to imitate due to their notable literary quality. They are known to have persevered as a success among children, generations after they were created or written. In addition, I have also chosen a more contemporary tale, *Guess How Much I Love You* (1994), a book that continues to be popular among children and adults, over twenty years after its first publication.

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[3] The image-text combination in picture books has also been addressed from different frameworks. Agosto (1999), Nikolajeva and Scott (2001) and Moya-Guijarro (2014) have proposed several categories to show how images and word complement each other in this genre. The relationships range from symmetry (images and words tell the same message) through complementarity (images and words fill each other's gaps) to contradiction (words and images conflict with each other) and counterpointing (words and images generate meanings which are beyond the scope of each modality in isolation).

[4] The notion of semiotic metaphor adopted here is different from the tropes of verbal, pictorial and multimodal metaphors developed within Cognitive Linguistics (Lakoff 1987, 1993; Lakoff and Johnson 1980; Forceville 1996; Forceville and Urios-Aparisi 2009). Verbal and pictorial metaphors are characterised by their potential to transfer meaning form a source to a target domain and are conceived as modes of thought (Lakoff 1993, 210). Metaphors, therefore, are not primarily linguistic phenomena, but rather are modes of conceptual representation (Forceville and Urios-Aparisi 2009, 19-44). From a different though complementary perspective, O'Halloran (1999, 2003) has developed the concept of semiotic metaphor to account for the parallel or divergent relationships that can be established across verbal and visual modalities in multimodal texts.

The approach adopted to carry out this study is Kay O'Halloran's multimodal discourse analysis (2004, 2005, 2007, 2008) and, essentially, her notion of semiotic metaphor (O'Halloran 1999; 2003). The concept of semiotic metaphor as a tool to create ideational meaning is studied within the framework of Systemic-Functional Multimodal Discourse Analysis (SF-MDA), which attempts to describe how semiotic resources are integrated and combined in multimodal discourses. Using an SF-MDA, O'Halloran analysed visual semiosis in films and the intersemiosis of images and mathematical symbolism in mathematical texts and mathematical classroom discourse (2000, 2004, 2005). O'Halloran was interested in the multimodal phenomenon itself, that is, in the system networks which map the semiotic resources available to generate representational, interactive and compositional meanings (Jewitt 2009, 33).

This focus on the system, and on meaning being the result of choices made from the system, essentially comes from Halliday's social semiotic theory and systemic-functional linguistics (1978, 2004). Indeed, O'Halloran's notion of semiotic metaphor (1999, 2003) is, in fact, an extension of Halliday's grammatical metaphor to expand it in order to determine how images and words integrate across semiotic modes. She starts from the assumption that it is possible to have parallel or congruent representations of visual and verbal information across different semiotic modes, mutually supporting and complementing each other. However, there are also cases, metaphorical in nature, where there is a semantic reconstrual through which additional substantive information that is not present in one of the modes (be it verbal or visual) is provided by the other. This reconstrual often involves a semantic change in the status and function of a verbal or visual element, and creates new meanings that could not have been predictable from one of the modalities alone.

This paper is structured in the following way. After the introduction, in section two the main features of semiotic metaphor are briefly outlined. In section three, I explore the discourse functions of semiotic metaphors in the three picture books selected for analysis. Finally, in the conclusions, the data extracted from the empirical study are interpreted in qualitative and functional terms. This last part makes evident how semiotic metaphors are useful strategies to convey representational meaning through verbal and non-verbal modes in picture books.

2. FROM GRAMMATICAL METAPHOR TO SEMIOTIC METAPHOR

Before starting with the analysis, in this section I will refer to the main features of O'Halloran's concept of semiotic metaphor (1999, 2003), whose foundations, as noted in section one, reside on Halliday's concept of grammatical metaphor ([1985] 1994, 2004). In spite of being a daily reality habitually present in human communication, text, be it verbal or visual, can be manifested as a highly complex linguistic reality. One of the elements that should be studied in order to deal with a text is what Halliday defines as "the principle of grammatical metaphor" ([1985] 1994, 321). In line with

Halliday, Ravelli (1988, 321) defines grammatical metaphor in terms of the transfer of representational material involved in a metaphorical construal and states that: "The situation is similar to that found in (rhetorical) metaphor: there is some kind of transference going on. But it is no longer transfer or referent from the literal to the figurative, between the same grammatical categories, but transfer of representation between different grammatical categories" (Ravelli 1988, 134).

In Halliday's Systemic Functional Grammar, clause transitivity involves the configuration of processes, the participants acting within them, and their associated circumstances. In the language of children and in everyday spoken language typical realisations are frequently used to convey meaning. In them, each word functions "as far as possible in the class in which it first evolved" (Halliday and Webster 2014, 149). This means that in semantic structures, events, participants, qualities of objects, circumstances and logical connections are realised by their typical grammatical functions so that there is a one-to-one correspondence between semantics and the grammatical descriptions of the clause. Prototypically, processes are realised by verbs ('act'), entities by nouns ('cast' as in *the cast of the play*), attributes by adjectives ('brilliant'), circumstances by adverbials ('brilliantly') and prepositional groups ('for a long time') and, finally, logical connections by conjunctions ('because'). A prototypical realisation is found, for instance, in the following clauses, taken from Halliday and Matthiessen ([1999] 2006, 229):

(1) The cast [ACTOR] acted [PROCESS] brilliantly [CIRCUMSTANCE] so [RELATOR] the audience [ACTOR] applauded [PROCESS] for a long time [CIRCUMSTANCE].

Any state of affairs can, though, be expressed in more complex ways, for example:

(2) The cast's brilliant acting [ACTOR] drew [PROCESS] lengthy applause [GOAL] from the audience [CIRCUMSTANCE].

Halliday acknowledges that by the use of grammatical metaphor, experiential content can be repackaged in a different way (2004, 592-593, 626-636). The prototypical realisation is the congruent form, while the others are metaphorical and they occur when the grammatical and semantic realisations of the clause are divergent. Grammatical metaphor is a process by which an inter-stratal tension occurs between discourse semantics and lexico-grammar (Halliday 1998; Martin 2008; Taverniers 2014). Actions and states, as shown in the previous example ('acted'), can be metaphorically encoded as nouns ('acting'), which involves a restructuring of the clause. Processes, attributes and circumstances can also be conceptualised as entities in metaphorical mappings. Even the whole state of affairs, which in the congruent form would be realised by a clause, can be expressed by a nominal group and encoded as an entity in its corresponding manifestations. In turn, a clause complex may be construed

as a single clause, frequently a relational clause of the intensive or circumstantial type. The following utterance, analysed in Butt, Fahey, Feez, Spinks and Yallop (2003, 74), provides an example:

(3) Excessive consumption of alcohol is a major cause of motor vehicle accidents.

In this instance, none of the events of the possible congruent expression found in example 4 below ('drink,' 'drive' and 'cause') are repackaged as processes. Instead, in example 3 the material processes of drinking and causing are packaged as participants ('consumption' and 'cause') and a relational process is used as a linking point between them ('is'). In addition, the information presented in the congruent form through three different processes ('drink,' 'drive' and 'cause') is condensed in a sole clause complex with a higher level of abstraction:

(4) People who drink too much alcohol and drive often cause motor vehicle accidents.

Likewise, Coffin, Donohue and North (2009, 423) offer another clear case of grammatical metaphor, reproduced in example 5, where a nominal group containing a nominalisation, 'the reason for my early return' is used to condense information that would otherwise be expressed through two processes ('come' and 'die') in two different clauses in the congruent realisation (example 6): 'I came back early' and 'because my father died.' The metaphorical form leads to a different, denser organization of the message and allows the writer to establish a causal ('reason') and intensive ('was') relationship between two elements:

(5) The reason for my early return was the death of my father.

(6) I came back early because my father died.

Thus, metaphorical expressions involve a more indirect relation between grammar and meaning and, as such, are more complex at a semantic level than congruent expressions. These alternative realisations of the semantic functions may lead to further adjustments or transfers in the relationship between the semantic roles and syntactic functions in the clause (Downing and Locke 2006, 160-166; Downing 2014, 190-196).

This phenomenon of grammatical metaphor is typically associated with nominalisation, which implies a conversion of what is a clausal process into the syntactic form of a noun, which can then serve as a potential participant in another process. This process usually carries with it an evident decrease in valences of the verb by silencing, generally, some or all of the participants and circumstances of the old verb process. Nominalisation arises as a metaphorical resource that, unlike any other,

allows for a reduction of the amount of information in a verbal predicate. In addition, in functional terms, the repackaging of a clause into a nominal group has a discursive textual function and expands the meaning potential of the language. In the case of scientific discourse, this involves both technicalising and rationalising a given reasoned argument (O'Halloran 2003, 339-340), making it easier, as Halliday and Webster point out, "to build up a structured argument and in so doing to work towards a coherent and powerful theory" (2014, 151).

O'Halloran (1999, 2003, 2008) expands the Hallidayan concept of grammatical metaphor to semiotic metaphor in order to determine how images and words integrate across verbal and visual semiotic modes. These semiotic metaphorical constructions enable writers and visual artists both (i) to create semantic reconstruals and (ii) to account for the expansions of meaning which occur between visual and verbal semiotic resources in science. Semiotic metaphor involves an inter-semiotic stage where a functional element is reconstructed in a different semiotic code. The semantic reconstrual occurs across different semiotic codes and generates a shift in the functional status of an element, which frequently leads to a duplication of meaning (Lemke 1998, 92). As O'Halloran (1999, 348) points out:

> The new functional status of the element does not equate with its former status in the original semiotic or, alternatively, a new functional element is introduced in the new semiotic, which previously did not exist. Thus, like grammatical metaphor, semiotic metaphor also involves a shift in the grammatical class or function of an element. However, the change does not take place intrasemiotically (as in the case of grammatical metaphor), but rather intersemiotically. The re-construal produces a semantic change in the function of that element, creating a new way of representing reality.

As will be seen in the analysis carried outin section 3, these shifts may involve the reconstruction of processes in language as participants in the visual representation or the introduction of new visual participants. It may also involve a shift from clause, process, attributes or circumstance in the textual mode to entities in the visual component.

In accordance with O'Halloran (2003), Kress also assumes that semiotic changes always entail shifts in meaning, essentially when the re-articulation of meaning occurs across different modes (2010, 129). In fact, he adopts the term "transduction" (129) which corresponds to O'Halloran's concept of semiotic metaphor, to signal the moving of meaning-material from one semiotic mode to another, for example, from speech to writing or from writing to film. Like O'Halloran, Kress (2010) assumes that the meaning realised in one mode can be articulated in a different way in another mode and, therefore, the shift may involve a change of meaning. Along with "transduction," Kress also uses the term "transformation" to refer to meaning reconstruals that take place within the same semiotic mode (2010, 129). This may happen, for instance, when we translate a novel from one language into another. Kress (2010, 124). explains

the changes in representation within and across modes, genres and cultures in this way: "To restate: there are two kinds of moving meaning and/or altering meaning: one by moving across modes and changing entities (and usually logics—transduction; the other, staying within a mode) and staying therefore with the same logic, but reordering the entities in a syntagm transformation."

While transformation is not associated with any semantic change, since entities and the processes they operate remain within the same semantic categories, transduction, in contrast, do involve a change in entities and their associated processes.

3. Identifying and Commenting on Semiotic Metaphors

Now the main features of semiotic metaphor have been explained, in this section I shall study the verbal and non-verbal modes of expression used in picture books, taking into account a specific approach to multisemiotics, according to which, semiotic principles operate in and across different modes. These may reinforce each other (i.e., say the same thing in different ways) or, due to their different affordances and constraints, fulfil complementary roles (Kress and van Leeuwen 2001, 38-52; 2006, 79-82; Moya-Guijarro 2014, 38-52). Firstly, I analyse the manifestations of semiotic metaphor to represent narrative reality in the sample texts. Once the metaphors utilised are identified, I discuss the communicative functions they fulfil in their specific stories and the effect they have on conveying representational meaning. Due to space restrictions, only three figures are reproduced here.

3.1. Guess How Much I Love You

The first picture book that is analysed is *Guess How Much I Love You* (McBratney and Jeram 1994). Its plot is simple. The tale is based on the continuous competition between father and son to show how great their love for each other is. Their reciprocal love is measured through spatial distances, determined either according to the different parts of the protagonists' bodies—"'I love you as high as I can reach' says Little Nutbrown Hare, lifting his arms as much as he can"—or through physical actions—"'I love you as high as I can HOP!', laughed Little Nutbrown Hare, bouncing up and down"—or based on the landscape that accompanies the illustrations—"'I love you across the river and over the hill,' said Big Nutbrown Hare." Through verbal and visual strategies, the writer and the illustrator show the young readers the difficulty that comes with quantifying father-son love. In the final phase, when Little Nutbrown Hare seems to have won the competition by revealing that he loves his father as much as the distance that exists between them and the moon, Big Nutbrown Hare discloses that the love he feels for his son is even greater, since it is comparable to the distance that exists between them and the moon, and back: "Then he lay down close by and whispered with a smile, 'I love you right up to the moon—AND BACK.'"

We find the first semiotic metaphor identified in this story in the fourth double spread. The verbal component reads: "'I love you this much,' said Little Nutbrown Hare." The meaning of the circumstance 'this much' in the verbal mode is exemplified through the material process of stretching out the arms in the visual component. Therefore, there is a shift from circumstance (linguistic) to process (visual). In this way, the reader will interpret the visual representation as dynamic (as process) and not stative (a state). This shift increases the complementary nature that is established between words and images in the tale as the reader can assess the true meaning of 'this much' when he or she looks at the illustration (Moya-Guijarro and Pinar 2009, 116). Little Nutbrown Hare loves his father as much as his outstretched arms can measure, a measurement that is easily surpassed by Big Nutbrown Hare in the following illustration, as the extension of his arms is notably bigger than his son's.

Figure 1. I love you this much (McBratney and Jeram 1994).
© Sam McBratney (text) and Anita Jeram (illustrations)
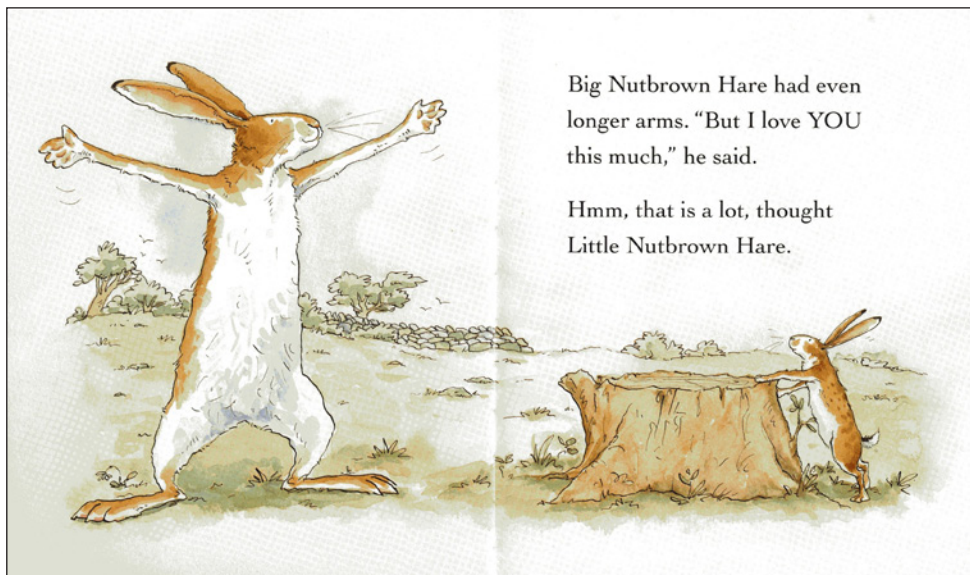
This feature is recurrent throughout the whole story: a total of twelve semiotic metaphors in the thirteen double spreads and two single pages that form the visual component of the illustrated book have been identified. The circumstances, some of them with post-modifying clauses and phrases—"I love you as high as I can reach," "I love you all the way up to my toes," "I love you as high as I can hop," "I love you all the way down the lane as far as the river"; "I love you across the river and over the hills," "I love you right up to the moon and back"—are represented visually as both material and mental processes. In the fifth double spread, for example, the

meaning of "I love you [as high as I can reach]," can only be fully understood through the visual component. Here again there is a shift from circumstance (linguistic) to process (visual) as the young hare is lifting up his arms as far as they can reach. The linguistic element, as high as I can reach, realised as a rank-shifted clause, becomes the major narrative process in the image with the participant hare (O'Halloran, personal communication).[5]

In the seventh illustration of *Guess How Much I Love You* another semiotic metaphor can be identified as the circumstance with post-modifying phrase, 'up to my toes,' in "I love you all the way up to my toes" becomes a process in the visual mode. Here Little Nutbrown Hare is tumbling upside down and is reaching up the trunk of a big tree with his feet. In the previous images, the exemplification of how much one hare loves the other has been depicted through the position of arms (see Figure 1). The hare exemplifying was placed on the left, and the one observing, on the right. However, now at this point a change of orientation is produced as the hind legs are used to represent the textual aspects. In addition, the hare exemplifying is placed on the right hand side of the double spread upside down. This way, the reading of the picture book does not become monotonous, recurrent and predictable.

It seems evident that through the use of semiotic metaphors images and words complement each other so that the reader's attention and the narrative tension are kept alive. By using these complementary relations, images and words contribute differently to the story line, as either the images enhance the meaning of the words, or they expand upon the meaning transmitted by the visual component. Thus, semiotic metaphors seem to increase the complementary nature of the interaction between the verbal and non-verbal semiotic modes in this picture book.

3.2. Where the Wild Things Are

The second picture book selected for analysis is *Where the Wild Things Are* (Sendak [1963] 2007). The tale tells the story of Max, a rebellious and intelligent child who misbehaves at home wearing his wolf costume. He chases his dog with a fork and threatens to eat up his mum after she calls him a "Wild Thing." As a punishment she sends him to bed without supper. The magic starts soon after in his room, where there is a mixture of reality and fantasy. In his mind, Max's room transforms into a forest, and a sea starts to form. On his private boat Max sails away to the land of the wild things, also a product of his imagination. Once there, notwithstanding the monsters' fierceness and threatening acts, Max manages to tame them by staring into their yellow

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[5]   Representational meaning involves the key processes: narrative and conceptual, which are differentiated by the presence of vectors, defined as diagonals which create movement. While narrative processes are characterised by vectors of motion which allow viewers to create a story about the Represented Participants (RPs), conceptual images do not include vectors, rather they represent participants in their more "generalised and timeless essence" (Kress and van Leeuwen [1996] 2006, 79).

eyes without blinking. Then, he is made king of the wild things and dances the "wild rumpus" with the monsters. However, a moment arrives when Max feels homesick and, as a result, he decides to go back to the safety and warmth of home.

As in *Guess How Much I Love You*, in this picture book semiotic metaphors, although fewer (four tokens have been identified in the eighteen double spreads that create the story), are essential to understanding how verbal and non-verbal modes complement each other to convey representational meaning. In this case, the semiotic metaphors are constructed to assign qualities to the main characters in the story, Max and the Wild Things. The wild things, for instance, are said to behave in a wild way ("roaring," "gnashing," etc.), a fact that is constantly repeated throughout the tale. The wild things are, though, also described as scared in the tenth double spread—"and they were frightened and called him the wildest thing of all"—a state that is also shown in the faces of the monsters when they look at Max revealing fear. Finally, Max is described as wild in double spread three—"his mother called him WILD THING"—and as lonely in double spread fifteen—"And Max the king of all wild things was lonely"—both states that are also faithfully depicted in the illustrations. Max behaves like a wild thing while he dances the "wild rumpus" (from double spreads twelve to fourteen) and his face shows a certain sadness when he starts to feel homesick and miss his mother's love in the fifteenth double spread.

On some occasions these qualities are represented in the visual mode through semiotic metaphors. This feature intensifies the complementary character of the inter-animation between pictures and words in this tale, as there is a semantic shift from the linguistic (attribute) to the visual (process) and vice versa. In the tenth double spread, for example, the attribute 'frightened' in "they were frightened," assigned to the wild things, is faithfully echoed through material and mental processes in the illustration: the wild things, scared, are throwing their hands on their heads as a sign of fear. In addition, they look at Max in astonishment, their big yellow eyes seeming to pop out of their heads being especially noticeable. The monsters that are closer to the protagonist appear to be sitting on the floor and watching him attentively. Similarly, the quality that recurrently modifies Max, *wild thing*, is represented in the visual mode in double spread twelve (reproduced here as Figure 2) by the material process of dancing the "wild rumpus." Max mixes with the monsters and behaves like them, all of them expressing themselves according to their desires and giving free reign to their wild instincts. In the case of both Max and the monsters here, the attribute ('wild'), which is linguistic, is represented in the visual mode by action and behavioural processes, producing a semantic shift in the status and function of the attributive constituent.

The figure reproduced here forms part of a series of three wordless illustrations (double spreads twelve to fourteen) in which Max and the monsters dance the wild rumpus, a dance which represents Max's desire to follow his instincts and basic impulses. In them, Sendak uses coloured pen and ink pictures in muted colours. No words are required here to transmit the message to the young child. Max behaves like a wild thing and his tantrum is shown at its highest point, through the process of dancing in the visual mode.

Figure 2. Max and the Wild Things dancing the Wild Rumpus (Sendak [1963] 2007).
© Maurice Sendak (text and illustrations)

3.3. Gorilla

Gorilla by Anthony Browne ([1983] 2002) is the third picture book analysed here. In this case, the story is constructed on the basis of the relationship established between Hannah, the protagonist of the story, her real father, and a gorilla, who acts as a stand-in father. Hannah is a lonely girl who is keen to see a real gorilla. However, her father does not have enough time to take her to the zoo. Nevertheless, the night before her birthday, something amazing happens. During the night, the toy gorilla she has received as an early gift comes to life and takes Hannah to the zoo to see the primates. In the morning her real father also organises a trip to the zoo for her, adding a happy ending to the story.

Like in *Where the Wild Things Are*, semiotic metaphors (five have been identified in eighteen double spreads and a single page) are also used to assign qualities to the main characters in the story. Once again, there is a semantic shift from the linguistic to the visual and vice versa to reflect important aspects of the story, specifically those related to Hannah's, her father's and the gorilla's states. In the last illustration, for example, Hannah is described as happy, an attribute (linguistic) that is also represented visually by the more concrete and tangible material process of walking toward the zoo. Remember that Hannah's true desire is to see a gorilla, a wish which is fulfilled in her real life only when her father takes her to the zoo on her birthday. As the quality of being happy, which is linguistic, is re-construed through the material process of walking to the zoo here, there is an inter-semiotic transfer of ideational material from the verbal to the visual mode. The attribute, happy, which is typically realised by an

adjective in verbal language is now represented as a visual process. Similarly, on the left-hand side of double spread six, reproduced here as Figure 3, the attribute 'frightened' in "Hannah was frightened," is echoed through action processes in the illustration on the verso. Hannah, scared, is shown lying in bed, with a blanket pulled up to her eyes to protect herself from Gorilla—now an alive toy. Material and behavioural processes are visualised here (Gorilla stands over Hannah, he looks at her, Hannah hides) and thus are immediately accessible since they are concrete in nature. In the book, the shift to assigning resultant (interpretative) states of being to Hannah (Hannah was frightened, Hannah has never been so happy) is achieved both linguistically and visually, but through different semantic categories. There is, therefore, an inter-semiotic shift from attributes (linguistic), which in this case are affective in nature, to material/behavioural processes to interpret the state of being of the participants. Hannah's states of happiness and fear, described verbally by adjectives with an attributive function, are reflected in the visual modality in a metaphorical way through the use of narrative images containing action processes (Kress and van Leeuwen [1996] 2006, 43-78). Ideologically, the function of these semiotic metaphors is to guide children's emotional responses to the world around them (O'Halloran, personal communication). For children it is easier to understand material processes, which are concrete in nature, than mental processes of affection, due to the abstraction typically involved in the latter.[6]

Finally, the quality of always being busy, assigned to Hannah' father, is also represented in the illustrations through material processes, establishing once again a shift from the linguistic (attribute) to the visual (process). The state of being busy is reflected in the second double spread through the material process of reading and studying some papers. Hannah's father is at his desk working with some papers by the light of a lamp, and without looking at his daughter he verbalises his state ("I am busy") right at the moment when she tries to establish interaction with him: "When Hannah would ask him a question, he would say, 'Not now. I'm busy. Maybe tomorrow'" (second double spread).

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[6]   While material processes reflect the processes of the external world, mental processes refer to the processes of consciousness. Material processes are typically processes of doing, happening, causing and transferring. However, mental processes are processes of perception (experiencing or sensing), of cognition, of desideration and of emotion and affection. The typical participants associated with material processes are *actor* (usually a human entity acting intentionally) and *goal* (a participant affected by the action). For their part, the typical participants in a mental process clause are *sensor* and *phenomenon*. Added to material and mental processes are those of classifying and identifying, known as relational, which are processes of having, being or becoming, in which a participant is identified or situated circumstantially (Halliday 2004, 248-258). They express intensive (being), circumstantial or possessive relations, and are typically associated with the participants Carrier/Identified and Attribute/Identifier. Finally, although not clearly separate, Halliday (2004, 210-238) distinguishes further categories of processes, which are located at the three boundaries: behavioural, verbal and existential processes. For further information about the typology of processes differentiated in Systemic Functional Grammar, see Halliday (2004, chapter 5).

Figure 3. Hannah is frightened (left-hand side of double spread) (Browne [1983] 2002)
© Anthony Browne (text and illustration)

Hannah was frightened. "Don't be frightened, Hannah," said the gorilla, "I won't hurt you. I just wondered if you'd like to go to the zoo."

The gorilla had such a nice smile that Hannah wasn't afraid. "I'd love to," she said.

They both crept downstairs, and Hannah put on her coat. The gorilla put on her father's hat and coat. "A perfect fit," he whispered.
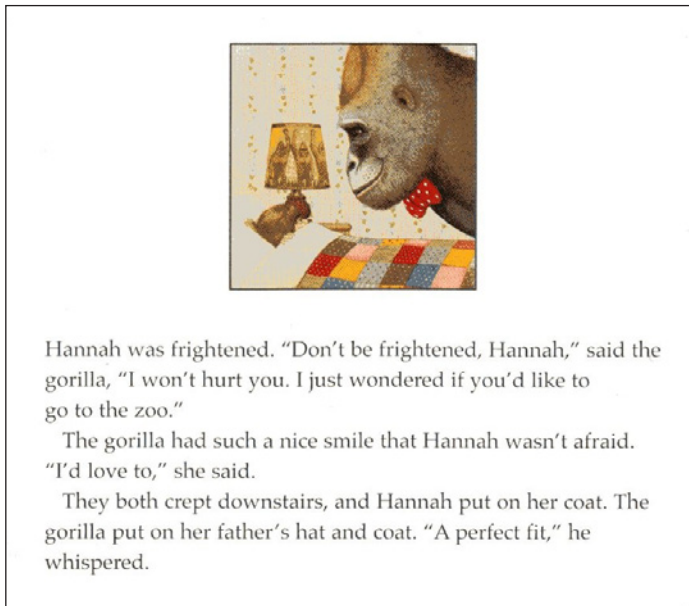
4. CONCLUSIONS

In this study I have analysed how semiotic metaphors contribute to the creation of representational meaning in picture books. The results of the analysis show that semiotic metaphors are essentially used in children's tales to facilitate the understanding of the story by young children. Through semiotic metaphors, illustrators assign qualities to the main characters in children's books, giving a concrete nature and tangibility to states of being that might be abstract for the young reader. We have seen how in *Where the Wild Things Are* (Sendak [1963] 2007), for example, the protagonist, Max, is described continuously in the *verbiage* with the attribute 'wild' due to his bad behaviour at home. The illustrator reflects this state in the visual component through the material process of "dancing the wild rumpus," establishing a shift from attribute (linguistic) in verbal language to action process in images. In a similar way, the state of being frightened (by Max), associated with the monsters in this picture book is represented in the visual mode through the material process of the monsters throwing their hands to their heads as a sign of their fear and respect towards Max, described as the wildest thing of all. The picture book *Gorilla* (Browne [1983] 2002) is also evidence of the utilisation of semiotic metaphors to assign qualities to the main character in the story. Some of the relational processes and their attributes in the verbal language that describes Hannah's states of being (happy, scared) are echoed in the illustration through the use of semiotic metaphors.

Hannah is described in the verbal component as happy when her real father actually takes her to the zoo to see the orangutan and the chimpanzee. This state of happiness, described by the attribute 'happy' (linguistic), is reflected in the illustration through the material process of walking towards the zoo. In addition, Hannah's fear and state of being scared when she realises that the toy gorilla has become real (attribute) are represented in the visual mode through the material process of pulling the blanket up to her eyes.

Another clear example of the use of semiotic metaphors to add specificity to some aspects of the narrative plot and so facilitate the understanding of the message to the young child in picture books is *Guess How Much I Love you* (McBratney and Jeram 1994). Throughout the story, in the textual component, circumstantial elements, such as "this much," "as high as I can reach," "up to my toes," "as high as I can hop," "as far as the river," etc., which quantify the extension of the love Big Nutbrown Hare and Little Nutbrown Hare have for each other, are realised as action and reaction processes in the visual mode (Kress and van Leeuwen [1996] 2006, 43-78). The circumstantial elements referred to are represented in the illustrations by means of material and mental processes of perception. Consequently, young readers see the congruent process (visual) recoded as circumstance (linguistic). Throughout this change the illustrator provides the information that was missing in the verbal mode and, in turn, gives dynamism to the plot. In books, children are more interested in actions than in states or descriptions, which are more static in nature and slow down the development of the plot. In addition, the shift of qualities or states (linguistic) to material and mental processes (visual) makes it easier for children to follow the message transmitted in the tale. Abstract states such as being frightened, being wild or being happy are more difficult to understand than action processes, which are concrete in nature.

The concept of semiotic metaphor has in this study proven to be a useful tool to analyse not only the linkages between verbal and non-verbal elements in scientific discourse as O'Halloran has demonstrated (2003), but also for the study of text-image combinations in picture books. Picture books are composite wholes, essentially made of words and images, and a true understanding of their meaning can only be achieved if both illustrations and language are read in combination and as equally essential parts of the multimodal ensemble. The use of semiotic metaphorical constructions intensifies the complementary character of the inter-animation between pictures and words as there is a semantic shift from the linguistic to the visual mode and vice versa. The young age of the children for whom the tales are written and illustrated seems to determine the verbal and visual intersemiosis of complementarity that the utilisation of semiotic metaphors generates in these picture books. Semiotic metaphor seems to be a useful strategy to create tales that are both easy for young children to understand and, in turn, interesting enough to hold their attention. Writers and illustrators need to know how semiotic metaphors may be exploited to represent the narrative reality through verbal and non-verbal elements in order to facilitate an understanding of the message to their young readers and viewers.

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Arsenio Jesús Moya-Guijarro is a Full Professor in the University of Castilla-La Mancha (Spain). He has published several articles on tourist discourse and picture books in international journals such as *Review of Cognitive Linguistics*, *Word*, *Text*, *Functions of Language*, *Journal of Pragmatics* and *Text and Talk*. Among other books, he is co-editor of *The World Told and The World Shown: Multisemiotic Issues* (Palgrave Macmillan, 2009) and author of *A Multimodal Analysis of Picture Books for Children. A Systemic Functional Approach* (Equinox, 2014).

Address: Facultad de Educación de Cuenca. Universidad de Castilla-La Mancha. Avda. de los Alfares, s/n. 16071, Cuenca, Spain. Tel.: +34 969179100.

Anthony Munday's *Palmendos* (1589) in the Early Modern English Book Trade: Print and Reception

LETICIA ÁLVAREZ RECIO
Universidad de Sevilla
leticiaar@us.es

Anthony Munday's *The Honorable, Pleasant and Rare Conceited Historie of Palmendos* is based on the first book of the Spanish romance *Primaleón de Grecia* (Salamanca, 1512), which was in its turn a sequel to *Palmerín de Olivia* (Salamanca, 1511). *Primaleón* was such a big hit in the Spanish book trade that ten editions were published between 1512 and 1588. This work was translated into Dutch, Italian and French, thus enjoying an extraordinary reception abroad. In 1589, Anthony Munday issued his English translation of the first thirty-two chapters of the French edition, which focused on the adventures of Palmendos, Primaleon's eldest brother. The fact that a different English translation of these same passages was published by William Barley in 1596 illustrates the positive reception this story had among contemporary readers. Its popularity would also account for the publication of a second edition, now lost, in the mid-late 1620s, and of two further editions in 1653 and 1663. This article studies the printing history of Anthony Munday's *Palmendos* and examines Munday's position as a professional author/translator in the Early Modern English book trade. The role of Hispanic chivalric literature in the late sixteenth and seventeenth century London book market is also analyzed.

Keywords: chivalric literature; Early Modern English; translations; book trade; Anthony Munday; *Palmendos*

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El *Palmendos* (1589) de Anthony Munday en el mercado editorial inglés de la Edad Moderna: impresión y recepción

The Honorable, Pleasant and Rare Conceited Historie of Palmendos de Anthony Munday está basado en el primer libro del libro de caballerías español *Primaleón de Grecia* (Salamanca, 1512), que, es, a su vez, la continuación de *Palmerín de Olivia* (Salamanca, 1511). *Primaleón*

fue todo un éxito editorial en España, con diez ediciones publicadas entre 1512 y 1588. El libro, que se tradujo al holandés, italiano y francés, obtuvo también un éxito extraordinario en Europa, lo cual explica que Munday decidiera traducir del francés los treinta y dos primeros capítulos en los que se narraban las aventuras de *Palmendos*, hermano mayor de Primaleón. El hecho de que una traducción diferente de los mismos capítulos realizada por William Barley saliera al mercado en 1596 es una clara muestra de la recepción positiva que tuvo esta historia entre los lectores ingleses. Esta popularidad justifica, además, que a mediados-finales de la década de 1620 se publicara una segunda edición, de la que no ha sobrevivido ninguna copia, y que dos nuevas versiones vieran la luz en 1653 y 1663. En este artículo se aborda la historia de la publicación de *Palmendos* y se reflexiona sobre la posición de Munday como autor/traductor profesional en el mercado editorial inglés de la Edad Moderna. Se considera, además, el papel de la literatura caballeresca de origen hispánico en el mercado del libro londinense de finales del siglo dieciséis y principios del diecisiete.

Palabras clave: libros de caballerías; inglés moderno temprano; traducciones; mercado editorial; Anthony Munday; *Palmendos*

The Honorable, Pleasant and Rare Conceited Historie of Palmendos[1] (Munday 1589; STC 18064) is based on the first book of the Spanish romance *Primaleón de Grecia*, first published in Salamanca on 3 July 1512 (Wilkinson 2010, 16739). This romance was in its turn a sequel to *Palmerín de Olivia*, also printed in Salamanca one year earlier (16737). The work, which narrates the adventures of Palmerin's two sons, Primaleón and Polendos,[2] soon became a best-seller in Spain, ten editions being printed between 1512 and 1588 (16740, 16742-16743, 16780-16784), and numerous translations into other continental languages. An Italian version by Mambrino Roseo appeared in 1548 (EDIT16), while a French translation by François de Vernassal was published in 1550 (Pettegree, Walsby and Wilkinson 2007, 44731), with ten subsequent reprints issued in Paris, Antwerp and Lyons (44732-44736, 44743, 44752; USTC 56185). Henry Thomas also mentions a Dutch translation by Felix Van Sambix issued in Rotterdam in 1619 under the title *Het Vierde Boeck Van Primaleon van Griecken* (1916, 141).

Towards the end of 1588, Anthony Munday translated Vernassal's French version and issued his English *Palmendos*, which entered the Stationers' Register on 9 January 1589 (Arber 1950, II, 513). Munday turned the French-Spanish work into two books and so his *Historie of Palmendos* comprised the first thirty-two chapters of his French source, focusing only on the adventures of Palmendos and his quest in Constantinople. The remaining chapters, which deal with the deeds of Palmerin's second son, appeared separately as *The First Book of Primaleon of Greece* in 1595 (STC 20366).[3]

Munday's decision to make two books out of one was not new, for he had already done something similar in his *Palmerin d'Oliva*, published in 1588 (STC 19157). Such arrangement somehow indicates the status these translations began to acquire in the London book market as profitable leisure items. Munday himself muses on the profit to be made out of those works, in his preface to the *First Part of Palmerin*

    [2] The name "Polendos" was first changed into "Palmendos" in Jean Maugin's French translation of *Palmerin de Olivia*—see *Palmerin d'Olive* (Paris, 1546; Pettegree, Walsby and Wilkinson 2007, 40395) sig. Dd6v. François de Vernassal emulated Maugin and used this name in his French version of *Primaleón*. Anthony Munday did the same in his English translation.

    [3] One can only speculate about Munday's reasons for putting off the publication of *Primaleon of Greece* until 1595. During this six-year period, he translated and published the first book of *Amadis of Gaul* (1590; STC 541) and the second part of *Gerileon of England* (1592; STC17206); he composed, though never published, both his comedy *John a Kent and John a Cumber* (c. 1590) (Collier 1851, v-ix) and his play *Sir Thomas More* (c. 1592-1594). He also translated from the French several anti-Spanish tracts—*Declaration of the Lord de la Noue, vpon his Taking Armes for the Iust Defence of the Townes of Sedan and Iametz* (1589; STC 15213), *The Coppie of the Anti-Spaniard* (1590; STC 684.5) and *The Masque of the League and the Spaniard Discouered* (1592; STC 7)—and other political treatises as *Archaioplutos: Or the Richess of Elder Ages* (1592; STC 23867) and *The Defence of Contraries* (1593; STC 6467). He also Englished the Greek Platonic dialogue *Axiochus* (1592, STC 19974.6). These other commitments may have prevented the publication of *Primaleon of Greece* at an earlier stage. For a chronological bibliography of Munday's works published in the period 1589-1595, see Hamilton (2005, 201-202).

d'Oliva (1588): "A booke growing too bigge in quantitie, is profitable neither to the minde nor the pursse: for that men ar now so wise, and the world so hard, as they looue not to buie pleasure at unreasonable price [since] a man grutcheth not so much at a little mony, payd at severall times, as he doth at once" (sig. *4ʳ).

Munday advertises his translation as an entertaining piece to be read in one's spare time, which associates this type of work with the nobility or the leisured classes. However, the author's insistence on arranging his translations into different books so as to sell them more cheaply points to middle-class readers, more concerned with money, but equally keen on leisure books. By linking pleasure and money, he seems to be helping to shape a new, more specific type of readership.

His aim at making his works accessible to middle-class readers would account not only for the textual segmentation but also for the quarto editions and the use of black letter (a format he would repeatedly employ in his translations of Spanish chivalric romances). According to Sánchez-Martí, "publishing books in quarto reduced production costs, thus allowing a wider distribution among the middle classes, the cornerstone of the romance book trade in early modern England" (2014, 195). The black letter also reveals his interest in reaching a wider reading public, as it was the main font employed in romance and other popular genres (Sánchez-Martí 2014, 195; Bennett 1965, 253; Wilson 2009, 120).[4] The fact that Munday's translations were often advertised as entertainment pieces contributed to their early association with the popular literature category, a label they would not lose for centuries.

Munday's *Palmendos* was printed by John Charlewood (d. 1593), an experienced printer and bookseller, who published all of Munday's works up to 1593. Charlewood, who had actively complained against the patent system imposed by the Stationers as it highly limited the options of finding non-patented material to publish (Phillips 2013, 129), had become one of the major printers of romances in the late sixteenth century. That would explain his close collaboration with Munday, who practically monopolized the English market for translations of Spanish chivalric books. That collaboration also points to Charlewood's instinct to identify profitable literary modes, and to his special ability to engage a faithful audience. Munday's (1589) letter to the reader in his first edition of *Palmendos* is quite revealing as it attests to

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[4] The fact that he addresses his introductory letter to "the courteous Reader" (sig. ϖ4ᵛ) may also be significant. Phillips is certainly right when considering such references as being the means to engage middle-class readers (2013, 141). However, Munday's possible appeal to a noble audience, given the Elizabethan courtly taste for chivalric culture, and the dedications of his early translations to the seventeenth Earl of Oxford (*Palmerin d'Oliua*) and Sir Francis Drake (*Palmendos*) should also be taken into account. By the late 1580s Drake had already become a national hero in England due to his travels to the New World and, above all, because of his multiple raids against Spanish ships and Spain's dominions in America. Knighted by Queen Elizabeth in 1581, he had become the Vice-Admiral of the English navy that would defeat the Spanish Armada in 1588. In dedicating his *Palmendos* to Drake, Munday was partly acknowledging the interplay between chivalric romance and Elizabethan colonial or imperial discourse, thus allowing for different readings of his translation. The fact that colonial enterprises involved people from all social ranks may also attest to the ability of Munday's translation to reach a wider audience.

the close relationship he tries to create with his public, and the links between this book and those that came immediately before and after in the series:

> Hauing finished this History of Palmendos, I commit the same to thy fauourable censure [. . .] hope I thou wilt accept it friendly, as thou hast done heretofore my works of the like matter. To make any commendation therof to thee, I will not, first reade thy fill thereon, and after iudge as thou findest occasion: yet with thy wonted fauour, to encourage me in proceeding in translation of Primaleon, which by the next Tearme I hope will be accomplished.

Although his prolific production has been largely criticized by traditional scholarship (Thomas 1916, 124; 1920, 249; Crane 1919, 16; Hayes 1925, 57; Wright 1928, 123-131; Miller 1959, 9; Patchell 1966, xii, 17), recent studies on Munday stress his contribution to a new concept of authorship in late sixteenth-century England (Phillips 2013; Wilson 2013a, 2-4). Munday negotiated, and often submitted to Charlewood's and his other publishers' demands as to the tempo set for the writing, publishing and reading of his texts, with a clear intention of making a living out of his literature. However, such references to preceding and upcoming books in the series had also often appeared in the French editions of the Spanish romances that Munday used for his own translations (Wilson 2013b, 216-217; Braden, Cummings and Gillespie 2010). He was in fact importing to English lands methods already employed by the French translators he was partially emulating. By so doing, he was relating his translation to prestigious continental models and, at the same time, helping to shape the English book market to meet new demands.

His allusions to money, serial reading and time production in the aforementioned letter to the reader must be viewed not just as Munday's attempt to present his work as a simple commodity, but as his means to negotiate the status of his book with his publishing agents and readers. In fact, his concern with the accuracy of his text points to his professional interest in selling a high quality work. The series of stop-press corrections that can be found in the different copies suggests that Munday revised his first edition of *Palmendos* before publication in order to suppress all possible mistakes. That first edition could then be regarded as a liminal space in which the literary, commercial, entertaining, and even didactic, interests of author, publisher and readers alike are all satisfied.

At John Charlewood's death in 1593, his widow married printer and bookseller James Roberts (b. in or before 1540, d. 1618?), who took over Charlewood's shop and stock of books up to 1606, when he sold them to William Jaggard before retiring (Kathman 2006, n.p.). Joseph Ames's transcription of a manuscript note listing all volumes in Roberts's stock shows that, at some stage between 1593 and 1606, there were still seven copies of "The History [*sic*] of Palmendos and Primaleon" available (Ames 1749, 342). That might explain why *Palmendos* was not reprinted, as was the case of most of Munday's chivalric translations, in a second run from 1595 to 1619.

Interestingly enough, a different English version of the French *Primaleon* was issued by William Barley in 1596, under the misleading title *The Delightful History of Celestina the Faire* (STC 4910), for which he had obtained a license on 24 February 1591 (Penney 1954). Despite its title, Barley's work was in fact a different translation of the chapters dealing with Palmendos's adventures in François de Vernassal's French version. Barley was apparently trying to disguise his work, and so changed the title and character names, and started translating at the second (and not at the first) paragraph of his French source. However, he did not plagiarize Munday, he simply adopted a different translation method. Barley was fined, both before and after 1596, for publishing without a license (Arber 1950, I, 555; II, 823), and his printer Abel Jeffes was imprisoned on 3 December 1595 for disorderly printing (Brault 1960, 304-305); their decision to issue this translation suggests their desperate need to make money.

There was apparently no new edition of Munday's *Palmendos* up to 1653 and, as Thomas Hayes states, such an absence is quite puzzling, since the book must have been quite popular (1925, 71).[5] The fact that the Epistle to the Reader in the 1653 and 1663 editions is signed "A. M." (Munday's initials) reinforces Hayes's argument that there must have been another, now lost edition, issued before Munday's death in 1633. Helen Moore, however, disagrees with Hayes and insists that, for its "style and sentiments" the Epistle must have been written in the 1650s "in order to present *Palmendos* in terms similar to those used in the translations of French heroic romance popular at the time" (2010, 339). Moore adds that the terminology employed by the author of the Epistle— "gracefulness of discourse," "sublimity of conceits" and "fecundity of language" (1653, sig. A3^{r-v})—"is that of the mid- rather than early seventeenth century" and that the writer's description of his romance as "the very Quintaessence of Romancy" (Munday 1653, sig. A4^{r}) seems to date the composition of this Epistle in the 1650s, when this term became fashionable owing to its relationship with the French romances mentioned above (Moore 2010, 339).

There seems no easy solution to this enigma. On the one hand, if Moore's views are accepted, the "A. M." signature in the Epistle may be considered a mere marketing device employed by the 1653 and 1663 publishers, who would then be suggesting that their editions had been penned by Munday himself. If, as Hayes suspects, this letter could have been part of a lost edition issued before Munday's death (1925, 75), then it may be dated after 1625, when Charles married the French Princess Henrietta Maria and French influence was stronger in England. The fact that the first entry of the word "romancy" registered in the *Oxford English Dictionary* (Murray et al. [1884-1928] 2015, s.v.) dates from 1621 (Mary Wroth's *Urania*, 504), with the same meaning as that used by the writer in this Epistle, would also support Hayes's hypothesis, and thus point to Munday's romance as a predecessor of those

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[5]   Francis Meres's inclusion of *Palmendos* in his *Palladis Tamia* (1598, sig. 268^{r-v}) together with other romances, such as *Amadis de Gaule*, *Palmerin d'Oliva*, *Primaleon of Greece*, *Palladine* and *The Mirror of Knighthood*, attests to its popularity among contemporary readers.

that became popular in the 1650s and 1660s.[6] Munday and his agents' decision to publish this edition in the late 1620s could be explained by Barley having issued his *Celestina the Faire* in 1596, thus discouraging any other works on the same story for some length of time.

The 1653 edition of *Palmendos* was printed by Elizabeth Alsop, to be sold from her own house in Grubstreet. Elizabeth was the widow of Bernard Alsop, an important printer and bookseller active up to his death in 1653. In 1616 Bernard Alsop had been in partnership with Thomas Creede, whom he then succeeded in 1617 after inheriting the latter's printing materials on his death (Plomer 1907, 3-4). Alsop and Creede had published the second and third editions of *Palmerin d'Oliva* (1615, 1616; STC 19159; 19159a) and the third edition of *Palmerin of England* (1616; STC 19163). Alsop's widow's publication of *Palmendos* in 1653 again reinforces the theory of a lost edition, presumably published by Creede and Alsop, or by Alsop alone, late in this second run, even though there is no reference in the Stationers' Registers to any transfer of rights from Charlewood or Watersonne to any of the aforementioned printers.[7]

As no copy of the supposedly lost edition has been preserved, it is not possible to evaluate whether the 1653 work is a new edition or simply a reprint of the "lost" work. However, when compared with the 1589 version, some important conclusions may be drawn. First, there are many alterations, which underlines the editor's intention to intervene in the original text. Second, the editor seems to have made an attempt at "improving" the 1589 text, as the new edition is advertised as "Newly Corrected and Amended" on its title page, and a considerable number of changes in spelling, punctuation and syntax are introduced. And third, the omissions, paraphrases and summaries in this edition suggest that the new editor was also interested in making certain parts clearer and more attractive to contemporary readers, thus adapting the text to their taste.[8] Her tendency to modernize certain archaic words also reveals this same purpose. However, the fact that most changes do not seem to follow a regular pattern and that opposing types of alterations may occur simultaneously in the text, point to the main problem this edition presents, namely, its lack of consistency.

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[6] The similarity of the titles of the 1653 and 1663 editions (*The Famous History of Palmendos Son to the Most Renowned Palmerin D'Oliva*) to that of the 1619 edition of *Primaleon* (*The Famous and Renowned Historie of Primaleon of Greece*) may also support the existence of an early seventeenth-century edition.

[7] Simon Watersonne was an English bookseller active in London from 1584 to 1634. He sold the first edition of *Palmendos* printed by Charlewood in 1589.

[8] For instance, highly descriptive passages are often simplified by means of summaries. This technique is especially employed in chapter twenty-one, which includes the first encounter between the hero and the heroine, and the dialogue that follows. In the 1589 edition, this chapter is highly descriptive and lyrical as it focuses on the emotions and intimate relationship of both characters. It also recreates the setting (the castle where Francelina, Palmendos's beloved, has been imprisoned for many years) as a *locus amoenus*. On the contrary, the editors of the seventeenth-century editions seemed more interested in the narrative action, which they seem to regard as the main source of entertainment. Hence they omit or shorten long passages that may be deemed distracting, or merely boring, literary discourses dwelling in Petrarchan and Neoplatonic conventions which were already outdated by the mid-seventeenth century.

The 1653 edition was reprinted ten years later with very slight changes, basically consisting in correcting a few errata and reducing the physical space of the text. Its publisher, Thomas Fawcett, was probably a son of Thomas Fawcett, business partner to Bernard Alsop (Hayes 1925, 71), from whom he must have obtained the text. This reprint was to be sold by Francis Coles, quite celebrated at the time for publishing ballads, another extraordinary popular genre when in print. This work is even shorter than its predecessor, for the 1589 book consisted of 199 leaves, whereas the 1653 and 1663 versions had 192 and 176 leaves respectively. The publishers' intention to make the text shorter, and therefore, cheaper, is especially clear in this last version since its chapter titles are compressed, and there is very little space left between chapters, while the poems and letters that appear throughout this version are hardly separated from the rest of the text. Although its quality seems to be poorer than that of the 1653 version, it includes two beautiful engravings, each featuring a chivalric knight on horseback bearing the inscriptions "Bellcar" and "Palmendos," respectively (Munday 1663, A1r, Z4v).[9] No engravings of this kind are found in the earlier two versions although the fact that neither of them contains a dedication or postscript and that both are much shorter and less ornamented than the 1589 version indicates that they were very likely cheap editions issued basically for commercial reasons. The very existence of the 1663 edition attests to the popularity of its nearest predecessor, as no reprint would have been made if there had been sufficient copies of the 1653 work in stock.

The publication of these seventeenth-century editions of *Palmendos* suggests that the text enjoyed some popularity in the second half of the century, as was the case too of other chivalric translations. A copy of the 1653 edition has been located in Sir William Clarke's (1623/4-1666) library, in a bound volume also containing a 1650 version of *The Honour of Chivalry* (*Don Bellianis*) and a copy of the 1661 edition of *Parismus*.[10] Clarke, a prominent administrator during the Civil War and Secretary-at-War in the Restoration (Henderson 2008, n.p.), held an important collection of pamphlets and books, among which there were numerous works of prose fiction. For Guyda Amstrong, the presence of these works illustrates "the ownership of such books by a highly literate, but non-literary-specialist audience" (2013, 95). The presence of another copy of the 1653 edition of *Palmendos* in the catalogue of the Earl of Bridgewater's library (Collier 1837, Preface; 204-205) gives further support to Amstrong's thesis. John Egerton (1579-1649), the First Earl of Bridgewater, who began this important collection in the early seventeenth century, had died in 1649, so the *Palmendos* volume mentioned above must have been most likely acquired by his son, John Egerton, Second Earl of Bridgewater (1623-1686), a politician and a "patron of works of learning" who devoted himself to augment his

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[9] Bellcar is the name of the second main hero in the book. At the end of the book there is a list of thirty-six "Histories" (both prose fiction and drama, in quarto and octavo) that could be bought at Coles's shop "at the Lamb in the Old Baily."

[10] This volume would later be gifted to Worcester College with the whole of Clarke's collection by his son George Clarke (1661-1737) on his death in 1736 (Armstrong 2013, 96-97).

father's collection (Espinasse 2007, n.p.).[11] The fact that these copies of the 1653 edition of *Palmendos* were present in the libraries of such reputed figures demonstrates that the consumption of popular chivalric literature also extended to the social and cultural elite.

However, despite the vogue for chivalric works in the second half of the seventeenth century, except for the examples above, it has not been easy to find records of contemporary English libraries having any *Palmendos* volumes among their holdings.[12] The only evidence for the existence of a copy of the 1589 edition of *Palmendos* has so far been found in a manuscript catalogue of Dr. John Webster's (1611-1682) books in the archives of Chetham's Library in Manchester (MS.A.6.47).[13] In his thorough introduction to Webster's library, Peter Elmer states that this manuscript is "almost certainly a copy of an original draft, composed by Webster himself, probably for the purpose of evaluating his estate" (Elmer 1986, 15).[14] His collection consisted mostly of works on medicine, theology and history, but it also included 148 ancient and modern literature volumes, among which forty-one were prose romances and fiction in different languages (English, French, Spanish and Italian), many of them published in the 1640s and 1650s.

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[11] Despite his royalist sympathies (Espinasse 2007, n.p.), Egerton held important local offices in the 1650s. In the Restoration, he improved his political position both in the Parliament and the Privy Council. Fiercely anti-Catholic and sympathetic to Puritan dissenters, he sided with the Whig party during the Exclusion Crisis and afterwards (Espinasse 2007, n.p.).

[12] A total of 123 catalogues, included in the *List of Catalogues of English Book Sales* and in the *Early English Books Online*, have been consulted by the author in an attempt to locate a copy of *Palmendos*. However, no entry relating to any *Palmendos* edition has been found in any of them. No reference has been identified either in any of the eight volumes edited by R. J. Fehrenbach and E. S. Leedham-Green in their *Private Libraries in Renaissance England* (1992-2014), containing 162 book lists from the inventories of books donated to Oxford University between 1507 and 1653. Few English translations of Spanish romances are found in those catalogues and those which are basically refer to mid- and late seventeenth-century editions. A 1664, a 1679 and two 1673 volumes of *Don Bellianis of Greece* have been located, as well as a 1640 edition of *Amadis de Gaule*, a copy of the 1637 edition of *Palmerin d'Oliva* and two volumes of the 1664 and 1610 editions of *Palmerin of England*. Five undated books of *Bellianis*, *Palladine of England*, *Palmerin d'Oliva*, *Palmerin of England* and *Primaleon of Greece* feature in three of the catalogues. For the undated *History of Palmerin d'Oliva*, *The Famous History of Primaleon of Greece* and *Prince Palmerin of England, 3 Parts*, the 1640 volume of *Amadis* and the 1679 copy of *Bellianis*, see *Catalogus Librorum* (1692, fol. K1r-v). For the undated *Palladine of England*, see *Bibliotheca Curiosa* (1697, Miscellaneous books in quarto, n. 176); for the 1664, 1673 and 1692 copies of *Don Bellianis*, see Shelton (1692, 27), Millington (1687, 56), Kidner (1677, 17) and *A Catalogue of Vendible Books* (1689, fol. 46A). For the 1637 volume of *Palmerin d'Oliva*, see *A Catalogue of Choice English Books* (1687, 14). For the 1610 and 1664 volumes of *Palmerin of England*, see Greville (1678, 61) and *A Catalogue Containing Variety of English Books in Divinity, History, Travels, Romances, Poetry*, etc. (1686, 19).

[13] A schoolmaster and polemicist, he was born at Thornton-on-the-Hill in Yorkshire. He worked as a chemist, a doctor and a teacher. In 1632, he was ordained minister and sent to the parish of Kildwick (Yorkshire), being deprived of his living in 1637 probably for his radical sympathies. He became well-known during Oliver Cromwell's Protectorate for his attacks against the established church, the clergy and the universities. By the late 1650s he felt deeply disappointed by the English revolution and so he declared his loyalty to the new monarch after the Restoration. By the 1670s he had clearly abandoned his previous religious radicalism. Webster's learning and scientific interests are attested by his own works on multiple disciplines, such as religious controversy, witchcraft, chemistry and mineralogy (Clericuzio 2004, n.p.).

[14] The fact that this catalogue was originally written for private use and never reached a wider public through print might explain why Webster included *Palmendos* and other chivalric works, in contrast with the scarcity of references to this kind of literature in printed seventeenth-century book-sale lists.

Webster's catalogue is relevant in this study since it includes a first edition of *Palmendos* (Elmer 1986, 150; entry number 957) with an estimated value at the time of one shilling and eight pence. In a 1950 article, Francis R. Johnson concludes that book prices remained fairly constant from 1560 to 1635 within the range of 0.40 to 0.55 pence per sheet with a growing tendency to move to 0.55 pence by the end of that period (1950, 89-90). After the sudden rise in book prices by 1635, the average jumped to 0.70 and 0.75 pence per sheet at the end of the decade (1950, 90). The price paid for the 1589 edition of *Palmendos* according to Webster's catalogue would suggest its purchase in the 1640s as its cost per sheet is slightly higher (0.80 pence) than those paid per sheet for printed books in earlier years.[15] The volume must have been new, first hand, and most probably unbound, as no information about binding, which would have increased its price, is given in the catalogue.[16]

One can only speculate about Webster's reasons for holding an impressive prose fiction section in his library given his professional activity as a doctor, his puritan background and the overwhelming presence of works on natural philosophy (647 volumes) and theology (397 volumes) among his holdings. His learning and love of reading seem to suggest that his interests went beyond the mere preservation of books, and that most of those volumes were actually read and enjoyed by their owner (Elmer 1986, 37).[17] Their presence in his library attests to the recreational use of this literature in the mid- and late seventeenth century. The prices paid for the volumes also reveal their progressive commodification in the circuits outside the London book trade. Unfortunately, it seems that none of the copies included in Webster's catalogue has survived, which renders the analysis of the aforementioned *Palmendos* volume utterly impossible.

Some further information about the circulation of this first edition of *Palmendos* in the seventeenth century is also provided by a manuscript inscription found in one of the surviving copies of *Palmendos* (1589), now in the Bodleian Library (Vet. A1. e.110). The earliest inscription is situated at the left top corner of the first fly-leaf added at the back of the book (verso). Written in black ink, it reads "returne nine shillings | Rob J Pollard." The price and reference to the bookseller help locate this copy as early as the mid- to late seventeenth century. Robert Pollard was in fact a London bookseller working in the period 1655-1658 (Plomer 1907, 148). The purchaser must have noted the price, which differs considerably from the amount paid for the aforementioned volume at John Webster's library, which cost one shilling and eight pence.

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[15] The first edition of *Palmendos* contained ninety-nine leaves in twenty-five sheets. The estimated price in Webster's catalogue is one shilling and eight pence (twenty pence) for the volume, which amounts to 0.80 pence per sheet.

[16] Johnson only considers the prices of new books. He does not work with second-hand volumes. This amount contrasts with that of a first edition of *Palmerin d'Oliva* (Elmer 1986, 149; entry number 953, 4s). Though the volume was considerably larger than that of *Palmendos* with 176 leaves in forty-four sheets, the average price paid per sheet (around one shilling) differs from that paid for *Palmendos*.

[17] This hypothesis also applies to the book collectors aforementioned, Clarke and Bridgewater.

Margaret Willes, who has analyzed notes by Lord Heberton on his purchase of books in the early seventeenth century, concludes that quarto format volumes cost between two and ten shillings bound, "with the number of pages and the presence of pictures as determining factors" (2011, 115). These data agree with the prices paid for some works of prose fiction in these years according to Francis R. Johnson's article.[18] Thus, in the late 1650s, twenty-five years after the increase in book prices of 1635, the selling of the Bodleian 1589 copy of *Palmendos* for nine shillings would be quite plausible, particularly since it was bound.[19] The production of two further, cheaper editions of *Palmendos* in 1653 and 1663 attests to the contemporary interest in the story and to this economic revaluation of the first edition, seventy years after its publication.

Despite their lasting popularity, contemporary criticism of chivalric romances had increased since the early seventeenth century, when the chivalric mode became a clear object of parody and satire by authors such as Ben Jonson (1572-1637), Francis Beamont (1584-1616), William Vaugham (1575-1641) and Thomas Shelton (d. 1620). Despite the subsequent boom of chivalric literature in the 1650s-1670s, such prejudices did not wholly disappear, and sometimes became even more virulent. For instance, in *The Essex Champion* (1690), a mock chivalric romance in the mode of *Don Quixote*, William Winstanley recreated a scene not unlike that of Chapter VI in Cervantes's work: "Next (said the curate) here is Palmerin d'Oliva in three parts, Primaleon of Greece in three parts, Palmerin of England in three Parts and Palmendos in one [. . .] By my say, said Thomassio, these Palmerins and Amadisses were notably cutting and slashing blades, which made a great disturbance in the world, but we shall reconcile them all in one fire together, notwithstanding they were such big fellows in their time" (1690, 339-340).

In the original *Don Quijote*, and also in the 1612 and 1620 English versions by Thomas Shelton (STC 4915, 4916), the only book from the *Palmerin* and *Amadis* series which is cast in the fire is *Palmerin d'Oliva*. Neither *Primaleon* nor *Palmendos* are even mentioned, while *Amadis de Gaule* and *Palmerin of England* are in fact praised, and so they avoid burning. In Winstanley's text, the complete destruction of all the volumes from both cycles and the detailed allusion to the different parts comprising each book reveal a more prejudiced view than that of their sixteenth- and early seventeenth-century detractors.

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[18] Johnson mentions, for instance, two bound copies of a 1619 English translation of Cervantes's *Persiles and Sigismunda* (STC 4918; 399 leaves) for which two shillings and eight pence and two shillings and ten pence were paid (1950, 99, entry 110). He also refers to two editions from 1580 and 1585 of *The Mirror of Knighthood* (STC 18860, 179 leaves and 18862, 258 leaves), an English translation of Ortuñez de Calahorra's chivalric romance, for which four shillings were paid, unbound (1950, 107, entry 366). Henry Plomer refers to a "Palmeryn, 2 parts", sold for two shillings and four pence sometime before 1585 (1916, 328). According to Ronald Crane, this reference must be to *Palmerin of England*, since the first edition of *Palmerin d'Oliva* was not published until 1588 (1919, 39).

[19] The book cover is made of blind tooled original calf leather. The front and rear covers are framed in blind by triple fillets. There are five raised-bands across the spine with no decoration or title inscription. Fore-edges are stained in red. Front and rear paste-downs are made of plain cream paper and are now in very poor condition. The binding of the volume is quite simple and must not have been very expensive originally, although it would have contributed to increasing its value in the late 1650s.

Consequently, the small number of references to such chivalric volumes in contemporary sale catalogues are not surprising. *Palmendos*, like many other English translations of Spanish books of chivalry, was still far from being given proper literary status.

To conclude, the publication history of *Palmendos* covers a span of seventy-four years. Though, apparently, there were only three editions of the book, published in 1589, 1653 and 1663, it has been demonstrated here that the printing history of this work must in fact have been much more complex than a simple three editions suggests. According to Sánchez-Martí, forty-eight percent of the prose fiction works published from 1559 to 1591 were reprinted within twenty years (2014, 206), and this was indeed the case for all of Munday's chivalric translations, except *Palmendos*. William Barley's decision to publish a different translation of the same chapters of the original French text in 1596 could explain why *Palmendos* was not reprinted in the second run of Munday's chivalric translations (1595-1619). The Stationers Company had limited the number of copies per edition to 1250-1500 (Arber 1950, II, 43), so an average of 2,500-3,000 copies related to *Palmendos* (Munday's and Barley's) were accessible to English readers by the late 1590s and that would have restricted any further publication of the same story. The fact that only three copies of *Palmendos* and four copies of *Celestina the Faire* have survived may indicate that both works were heavily read. Moreover, if the hypothesis of the existence of another edition of *Palmendos* issued in the 1620s is accepted, the number of copies in circulation would have increased considerably.

That the book must have been popular through the seventeenth century is also attested by the publication of the 1653 and 1663 editions, by the presence of *Palmendos* volumes in a number of reputable libraries of the period, and by references to this work by other contemporary authors. The history of the book, however, ends at this point. No further edition or reprint appears after 1663. By the turn of the eighteenth century, the remaining copies of the 1589, 1653 and 1663 versions entered the circuits of the leading antiquarians and book collectors. *Palmendos* also featured in the catalogues of the main book sellers throughout the eighteenth century and, most of the nineteenth, which point to the interest this story still aroused among literary scholars and to its progressive commodification as rare material.

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Leticia Álvarez-Recio is lecturer of English Literature at the University of Seville. She has published *Fighting the Antichrist. A Cultural History of Anti-Catholicism in Tudor England* (Sussex AP, 2011) and a number of articles on sixteenth- and seventeenth-century English literature. She is a member of a research team that works on the English translations of Early Modern Spanish chivalric books (ref. FFI2011-22811).

Address: Departamento de Literatura Inglesa y Norteamericana. Universidad de Sevilla. Calle Palos de la Frontera, s/n. 41004, Sevilla, Spain. Tel.: +34 954551555.

"He Is Not English, He Is Not a Novelist; And How Far Is He Even Likeable?" On the Critical Reception of Arthur Koestler's *Thieves in the Night*

ZÉNÓ VERNYIK
Technical University of Liberec, Czech Republic
zeno.vernyik@tul.cz

This paper deals with the immediate critical reception of Arthur Koestler's *Thieves in the Night* (1946). Through a comparative analysis of reviews published at the time of the book's appearance, it aims to show that the said reception was in many cases neither fair, nor focused on the book's literary values. More specifically, in comparing the novel's American reception with its British counterpart, and focusing on the various fallacies and biases, predominantly in the latter, this work aims to draw attention to the fact that the present-day obscurity of this commercially successful novel might be due, at least partially, to the often angered and biased reaction to the topic of the book, and its explicit criticism of British foreign policy, rather than a result of the book's qualities themselves.

Keywords: Arthur Koestler; reception; foreign policy; Palestine; 1946

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"No es inglés, no es novelista; ¿Y hasta qué punto es agradable?" Reflexiones sobre la recepción crítica de *Thieves in the Night* de Arthur Koestler

Este artículo es una revisión de la valoración del libro de Arthur Koestler *Thieves in the Night* (1946) por parte de varios críticos literarios. Mediante el análisis comparativo de distintas reseñas publicadas en el momento de aparición del libro, se intenta demostrar que en muchos de los casos la recepción no fue justa ni tampoco se centró en los propios valores literarios del libro. Así, se comparan las percepciones americanas de la novela con las británicas, poniendo especial énfasis en diversas falacias y singularidades que aparecen especialmente en las segundas. Es importante recalcar el hecho de que el ostracismo actual de la novela, de notorio éxito comercial en su momento, puede ser debido a una reacción encolerizada e injusta dada su crítica explícita a la política exterior del gobierno británico, en lugar de analizar el libro en sí mismo.

Palabras clave: Arthur Koestler; recepción; política exterior; Palestina; 1946

Nowadays, Arthur Koestler (1905-1983) is almost solely discussed as the author of *Darkness at Noon* (1940). This is in complete contrast to his reputation in his lifetime as "one of the most versatile and protean writers of the twentieth century" (Wainwright 1983, quoted in Scammell 2010, 566) and to his success with readers.[1] While the suggestion that the rest of his literary production simply "seem[s] rather dated now" (Scammel 2010, xix) might provide an easy explanation, it is just as likely that the controversial character of those texts and "Koestler's disregard for conventional sentiment and disdain for received opinion" (567) is also to blame, or at least this could have strongly contributed to the reception of his books at the time of their publication. Thanks to his books' attacks on most sides, factions and schools, he became "an intellectual outlaw" and this led to a "steady erosion of his reputation" (567).

To support this, the present paper deals with the immediate critical reception of *Thieves in the Night* ([1946] 1949). Through a comparative analysis of reviews published in the late 1940s, it aims to show that the reception was in many cases neither fair, nor focused on literary values.[2] More specifically, it shows that while the novel's American reception was relatively balanced, its British one was overwhelmingly negative and frequently nothing but an angered and biased reaction to its topic and its explicit criticism of Britain's policies in Palestine in the 1930s and early 1940s. By focusing on this phenomenon, this short essay aims to draw attention to the fact that the book's present-day obscurity might, at least partially, be a result of this skewed reception, rather than the book's qualities.

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[2] The basis of the analysis is Koestler's own collection of the book's reviews. These documents are accessible as part of the Koestler Papers held at the Special Collections Centre of the University of Edinburgh, checked against the newspaper and journal content of EBSCO, Proquest and JSTOR databases, as well as compared to Koestler's available biographies, to ensure that the coverage is as complete as possible. While one can never say with full conviction that no item could have possibly been left out, there are nevertheless ample grounds to consider that the overview is reasonably representative: it provides a critical assessment of a total of thirty-three reviews, published between October 25, 1946 and January 1948, thirteen of which are British, and twenty American. I am aware of the existence of two further reviews of the novel, the first by Leon Dennen in *The New Leader* (1946) and another by Robert Lowett in *The Humanist* (1947). While I will do all within my means to rectify this shortcoming in the future, I do not think that the absence of these two reviews would change the general picture in a significant way. It is also worth noting that the labels "British" and "American" always refer to the nationality of the authors, and not the place of publication. Although in almost all cases these categories overlap, there are two texts where they do not. The reason for this is that both Raymond Mortimer (1946) and Anne Fremantle (1947) discuss the book in terms of the author's nationality from a specifically British point of view, discussed below.

The novel is admittedly controversial enough to call forth bitter and overheated reactions. First of all, its events take place in the period between 1937 and 1939, in a very turbulent period of the British Mandate of Palestine:

> The 1936-1939 Palestine revolt against the British Mandate was a direct outcome of the dramatic increase in Jewish immigration during the first three years of Adolf Hitler's reign. From 1933 to 1936, more than 130,000 Jews arrived in Palestine [. . .] The decision of the [British] Conservative government to retreat from its support for Zionism was manifested in the White Paper of May 1939. Among other provisions, this document set a quota of 75,000 Jews for five years, after which further immigration would be conditional upon Arab consent. (Kochavi 1998, 146)

It is easy to see that with hundreds of thousands of refugees escaping from certain death on the one hand, and Britain's wish to keep the situation in Palestine under control by "appeasing the Arabs" (146) through curbing "drastically the scope of this immigration" (146), the novel is touching upon a topic that must have been sensitive primarily because Jewish immigration to Palestine remained a point of contention for all sides for the next seven years (146-153), which includes the year the novel was published.

In addition, the story is about the transformation of a liberal pacifist, Joseph, into a terrorist, a sensitive enough topic in itself, and even more so at the time of the book's publication. It appeared after Black Saturday (29 June 1946), "during the course of which approximately 2,700 Jews were detained" (153). As Michael Scammel explains: "Black Saturday, as it came to be called, was a British riposte to Jewish sabotage of the colonial infrastructure, especially the destruction of eight road and railroad bridges linking Palestine to its neighbors, but it led in turn to one of the worst atrocities of the British Mandate, the blowing up of the King David Hotel in Jerusalem by the Irgun" (2010, 278).

While a book about becoming a Jewish terrorist is clearly topical after such an incident, it admittedly touches a raw nerve. Even more so, if it is written in the uncompromising way Koestler's is; the text showcases the complete range of opinions on all sides, including the most extreme, mostly without any commentary, except for the reaction of other characters, often biased and extreme in themselves.

Koestler's support for the Zionist cause was also well-known by the reading public, since it was something that he openly expressed. He was a reporter working for the *News Chronicle* dispatched to Palestine in 1937, where he wrote three long articles (Scammel 2010, 145-147) in which he "insisted that the need for a Jewish homeland was more urgent than ever" (147). In 1944, he "joined the Palestine Luncheon Club" (235) and also "attended meetings of [the] Anglo-Palestine Committee" (236). The aim of the latter was "to oppose the British white paper of 1939" (236) already mentioned in Kochavi's quote above. In fact, shortly before the book's appearance in stores, he published two articles in *The Times* and one in *Life*, the latter "openly defend[ing] the Irgun and the Stern Gang" (276).

Yet, the heated and sensitive political atmosphere at the time of the book's publication, and Koestler's public image as a militant Zionist are not sufficient reason, in my opinion, to condemn the novel to the status of a bad or dangerous book, much less warrant the neglect that later monographs on and biographies of Koestler show towards this little known piece of fiction.[3] To start with, even the number of reviews published is telling: more critical attention was paid to the book in the United States (twenty reviews) than in Britain (thirteen), quite the opposite of what one would expect based on the political situation described above. This might be partially explained by the fact that the novel was published first in America, early in October 1946, and only at the end of the same month in the United Kingdom (Hamilton 1982, 119; Scammell 2010, 281). The difference in publication date was however so short, and was caused simply by the shortage of paper in Britain at the time (Scammell 2010, 281), that this alone could not possibly cause a significant difference in the critical attention the book received in the two countries. Even less so, considering that in Britain, "some 20,000 copies had been sold a day or two after publication" (Hamilton 1982, 119), a fact that would call for a notable presence in the review sections of British dailies and magazines. This is not to mention that the book was published by a major British publishing house, Macmillan, and was written by an author living in Great Britain who considered himself, above all else, and regardless of his Austrian-Hungarian-Jewish roots, British. As he himself put it in a letter to Upton Sinclair, dated February 25, 1957, "please don't call me a Hungarian author. I am Hungarian-born, but British by naturalization and my books since 1940 have been written in English" (*The Koestler Archive*, MS2382, folder 1, 29).

In order to be able to provide a general picture of the reception, I created a scale of five categories from *overwhelmingly positive* (+2) to *overwhelmingly negative* (-2), the remaining values being *generally positive* (+1), *neutral* (0) and *generally negative* (-1). The two extremes of the scale stand for reviews that contain few or no statements contradicting the otherwise strongly negative or positive assessment, while balanced reviews, with an even mixture of praise and criticism are situated at the origin. Reviews were assigned the intermediate values of +1 and -1 where it was easy to detect whether they were negative or positive in their final judgment of the novel, yet they nevertheless contained a mixture of praise and criticism. Table 1 shows a complete list of the reviews I have analyzed, with their respective values in accordance with the above categorization. Using these categories, it is easy to visualize the main lines of the critical reception in the two countries in question.

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[3] It is important to stress here that Koestler's actual relationship to Zionism was much more complex and much less positive than his articles might make one think. For more information about this, see Avishai (1990).

Table 1. A list of the reviews analyzed and their position on the scale of categories

BRITISH REVIEWS	
Fyvel, T.R. "To the King David Hotel." *Tribune*, Oct 25, 1946	+1
J.M.D.P. "Mr. Koestler." *The Manchester Guardian*, Oct 25, 1946	+1
Morgan, Charles. Untitled. *The Sunday Times*, Oct 27, 1946	-1
Unnamed, "New Novels." *The Scotsman*, Oct 31, 1946	+1
Crossman, R.H.S. "The Anatomy of Terrorism." *The New Statesman and Nation*, Nov 2, 1946	0
Quenell, Peter. "If You Kick This Book Across The Room—You Will Probably Read It Later." *Daily Mail*, Nov 2, 1946	-2
Holme, Christopher. "Zion." *The Observer,* Nov 3, 1946	-2
Mortimer, Raymond. "Arthur Koestler." *The Atlantic Monthly,* Nov 1946	-2
O'Brien, Kate. "Fiction." *The Spectator*, Nov 29, 1946	-1
Bowen, Elizabeth. "Books Reviewed." *Tatler*, December 4, 1946	+2
Fremantle, Anne. "What Comes Naturally." *Commonweal,* Feb 28, 1947	-2
Unnamed, "A Story of Life in Palestine." *Quiver,* August, 1947	+1
Pritchett, V.S. "Koestler: A Guilty Figure." *Harper's Magazine*, January, 1948	0
AMERICAN REVIEWS	
Prescott, Orville. Untitled in "Books of the Times." *The New York Times*, Oct 29, 1946	-2
Pick, Robert. "The Story of Ezra's Tower." *The Saturday Review*, Nov 2, 1946	+2
Watts, Richard Jr. "Koestler's Novel of Zionism." *The New York Times*, Nov 3, 1946	+1
Unnamed, "Thieves in the Night." *The Washington Post*, Nov 3, 1946	+2
Brady, Charles A. "Bren Guns in the Holy Land." *America*, Nov 30, 1946	+1
Greenberg, Clement. "Koestler's New Novel." *Partisan Review*, Nov-Dec 1946	-2
Soskin, William. "Bad Conscience Hurts Novelists." *The Washington Post*, Dec 4, 1946	0
Hilbrook, Roy. "Thieves in the Night." *Current History*, Dec 1946	-1
Rahv, Philip. "Jews of the Ice Age." *Commentary*, Dec 1946	+1
Chamberlain, John. "The New Books." *Harper's Magazine*, Dec 1946	+2
Unnamed, "Thieves in the Night." *Jewish Forum*, January 1947	+1
Glazer, Nathan. "The Parlor Terrorists: Koestler's Fellow Travelers and their Politics." *Commentary*, Jan 1, 1947	-2
Fitzsimons, M.A. "Reviews." *The Review of Politics*, Jan 1, 1947	-2
Unnamed, "Thieves in the Night." *The Presbyterian*, Jan 25, 1947	+1
Goldberg, David (Rabbi), "Thieves in the Night." *The Interpreter*, Feb 1947	-1
Leek, J.H. "Koestler Too Close to His Subject Here." *The Daily Oklahoman*, Feb 23, 1947	-1
Unnamed, "Palestine Problem." *The Cresset*, March 1947	0
Voss, Carl Hermann, "Thieves in the Night." *The Clergyman*, March 1, 1947	+2
Conner, John. "Thieves in the Night." *Leatherneck*, Apr 1947	0
Tracy, Henry C. "The American Scene in Fiction." *Common Ground*, Spring 1947	+2

As Figure 1 shows, of the total of twenty American reviews, five are very positive (25%), five are generally positive (25%), three are neutral in tone (15%), three are mildly negative (15%), and four are at the extreme negative end of the spectrum (20%). The British situation is considerably different: only a single review is at the positive extreme (7.69%), four are generally positive (30.77%), two are neutral (15.38%), a further two are mildly negative (15.38%), and four are completely negative (30.77%). It is quite apparent that the results lean slightly towards a positive reception in the United States, and much more noticeably towards a negative one in Britain. It is also visible that whereas the number of extremely negative and extremely positive reviews in the United States is almost equivalent, the number of extremely negative British reviews is four times higher than those completely in favor of the novel. Although the percentage of neutral reviews is practically the same in both countries, the biggest share is formed by positive reviews in the United States, but negative in the United Kingdom. While this difference could be due to many different factors, for example the percentage of conservative critics in the two countries, or a difference between the tastes of the two literary markets, my claim is that it has primarily to do with the book's controversial handling of sensitive topics, and in particular with its open criticism of British policies and decisions.

Figure 1. The immediate critical reception of *Thieves in the Night*
in the United Kingdom and the United States
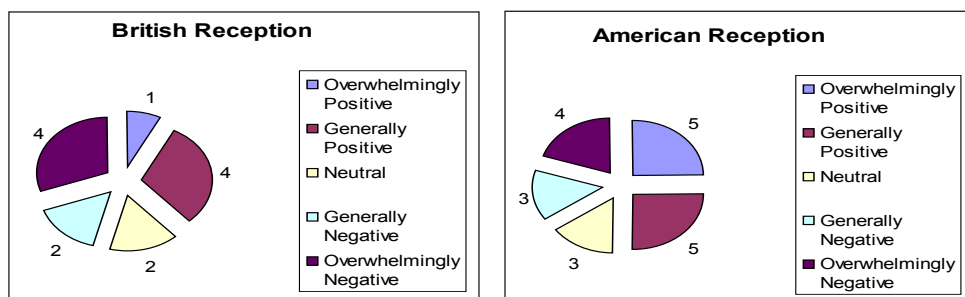
Possibly the most controversial of all issues the novel covers is terrorism. Many of the reviews revolve around this phenomenon and its moral consequences, most of them taking it for granted that the book is an apology of terrorism, or even openly terrorist propaganda. Peter Quenell (1946), for example, condemns the novel for showing Joseph's transition from a leftist intellectual to a terrorist: "Joseph, who under the influence of a militant friend was already wobbling that way, graduates from agricultural Communism to 'para-military' terrorism. We leave him as the member of a gang which, among its other activities, expresses the ultra-Zionist point of view by tossing bombs into crowded Arab marketplaces. *Joseph appears to approve; at least, he does not dissent*" (Quenell 1946, n.p.; my emphasis).

The critic's problem is not so much the portrayal of terrorism in itself, but that the protagonist is not fighting against it, or at least condemning it, but is rather actively supporting it. The primary reason for his disapproval is that the book allows for the existence of a protagonist who "believes that assassination is justifiable, collective vengeance is justifiable" (Quenell 1946, n.p.). Christopher Holme shares this view, and because of the novel's portrayal of the intellectual development of a terrorist, considers it an apology: "The book, ruthlessly revealing the mentality of the Jewish terrorist, and taking the reader through all the arguments by which he seeks to rationalise his actions has a nightmarish quality" (1946, 3), resulting in a story of which the "purpose, apparently, was to explain, *even justify*, the Jewish terrorist" (3; my emphasis); again, the critic is making the unsubstantiated claim that the description or explanation of the making of a terrorist in itself equals support of and for terrorism. While T. R. Fyvel's view of the novel is not negative, he nevertheless agrees that the book is "justifying the group of Jewish terrorists who deliberately choose to sacrifice not only their lives, but even their pacificist ideals" (1946, 15).

The view that a book is terrorist propaganda and therefore bad literature, is of course not exclusive to British commentators: M. A. Fitzsimons likewise considers the book "a tract for terrorists" (1947, 109) simply because it raises questions and expresses "doubt of man's psychological motivations" (109) without actually answering such questions and countering the doubt with some sort of certainty. In Fitzsimons' opinion, "searching, unanswered doubt prepares the way for activism which is the twin of nihilism. Thus, we meet the opponent of totalitarianism as the apologist of terrorism" (109). A statement truly puzzling to make, since if all texts that raise more questions than they answer were to be considered terrorist propaganda, most literary and philosophical writings could be categorized as such.

These reviews demonstrably fall victim to several fallacies. For one, they confuse the portrayal of a phenomenon with its support, although the two are not necessarily the same. One can, in fact, suppose that had the novel been condemnatory of terrorism, these reviewers would have praised it. At least, comments such as "Joseph appears to approve; at least he does not dissent" (Quenell 1946, n.p.) or "to explain, even justify, the Jewish terrorist" (Holme 1946, 3) point in that direction. Yet, the objective but distanced, or even sympathetic portrayal of shocking acts and views without a critical attitude is well-known in modern art. Referring to Pier Paolo Pasolini's *Salò o le 120 giornate di Sodoma* (1975), Bret Easton Ellis's *American Psycho* (1991), Truman Capote's *In Cold Blood* (1965) or Anthony Burgess's *A Clockwork Orange* (1962) would be anachronistic, but Charles Baudelaire's portrayal of the drunkard who murdered his wife in "Le Vin de l'assassin" (1857), Georges Bataille's descriptions of sexual transgressions and violence in *L'histoire de l'oeil* (1928) or Randall Jarrell's unsentimental portrayal of the cruelty of war in "The Death of the Ball Turret Gunner" (1945) might be mentioned. What is common in these texts is that their refusal to criticize the controversial issues they portray does not make

them their supporters, nor does it lower their artistic value or endanger their position in the canon. Quite the opposite: if anything, the honest and unexplained portrayal of excess without extra commentary only makes it more tangible for the audience.[4]

Of course, the very issue of discussing the morality of supporting, or not condemning, terrorism leads to another potential fallacy: by judging the work on the merits of its ethical lesson, rather than on its artistic qualities, the reviewers indulge in moral criticism. This, as Richard A. Posner argues, is erroneous because "the proper criteria for evaluating literature are aesthetic rather than ethical" (1997, 2), and thus, a "work of literature is not to be considered maimed or even marred by expressing unacceptable moral views" (2) and this remains the case even if "the author appears to share" (2) those views. Likewise, René Wellek and Austin Warren (1949) emphasized that although all literary works should meet Horace's criteria of *dulce et utile*, this second category is not to be taken as a call for works to have a moral lesson to teach:

> The usefulness of art need not be thought to lie in the enforcement of such a moral lesson as Le Bossu held to be Homer's reason for writing the *Iliad*, or even such as Hegel found in his favorite tragedy, *Antigone*. "Useful" is equivalent to "not a waste of time," not a form of "passing the time," something deserving of serious attention. (1949, 20)

Another, related charge is that the novel is supposedly a piece of propaganda. The implicit presupposition behind this is that it is impossible for a text to qualify as a work of art and be a piece of propaganda at the same time: such a view is an either-or dichotomy. As Roy Hilbrook writes, "the book is so strongly Zionistic [. . .] that it loses force as a novel and becomes a tract" (1946, 512). Likewise, although he acknowledges that the book "does not contain a dull page" (Mortimer 1946, 135), Raymond Mortimer nevertheless assesses *Thieves in the Night* in a fundamentally negative manner because rather than being a novel, "[i]t is a masterpiece of propaganda" (135). In a similar vein, Osmar White on the one hand acknowledges that "[g]ood fiction—as distinct from great fiction—is essentially the product of a condition of society. Fiction with the quality of verisimilitude is, therefore, always more or less propagandist. If it is to bear the stamp of truth, it must plead a cause" (1947, n.p.). Nevertheless, he then goes on to claim that this should be taken as a relative, not an absolute truth, so being open about one's ideological position, and possibly trying to convince the reader of it, is only allowed to a certain extent: "there are limits beyond which a sincere artist will not go" (White 1947, n.p.). Unfortunately, he fails to define where those limits are, although he makes it clear that *Thieves in the Night* is located on the wrong side of that border.

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[4] In fact, some of the contemporaries of these critics were perfectly aware of the distinction between portrayal and support. John Conner (1947, 59), J.M.D.P. (1946, 3), Donagh MacDonagh (1946, 6) and Elizabeth Bowen (1946) agree, in their different wordings, that the book is, to quote the latter, "a ruthlessly analytical, unheated novel," in which "Mr. Koestler has lifted his subject on to a universalised human plane" (Bowen 1946, n.p.).

One of the main reasons for Anne Fremantle's offhand dismissal of the book as an "appallingly bad novel" (1947, 494) is also that she sees it as "naïve propaganda" (494) as opposed to I. F. Stone's *Underground to Palestine* (1946)—another book she reviews in the same article—which, in her opinion, gets "pretty close to being literature" (Freemantle 1947, 494) simply because the author of that novel, unlike Koestler, "only record[ed] as a reporter what he heard and saw" (494). Peter Quenell also seems to second this opinion, since he explicitly distinguishes novels of ideas from books with a possible intent to convince the reader ideologically: "'Thieves in the Night' [*sic*] is not the new novel of ideas to which we had been looking forward so much as a mess of propagandist potage" (1946, n.p.).

But however self-evident many of the novel's reviewers take it to be that a work of art cannot be a piece of propaganda, this opinion is more of an illusion than a generally accepted position. A brief look at the Western canon provides ample evidence that various texts, both literary and filmic, have a stable position within it, even though their propagandistic intentions are fairly obvious. It has been a heated debate in Shakespeare criticism, for example, as to what extent his historical plays were written with an active political agenda in mind—see Womersley (1989) or D'Amico (1992). Likewise, one could mention the institution of art patronage often having a distinctly political nature—see MacLean (1993) or Murray (1983)—and literary history is also aware of poets and bards working at courts creating works that showed the patrons or their political agenda in a favorable light (Parry 1952). For more contemporary examples, one could mention Sergei Eisenstein's *Battleship Potemkin* (1925), an undisputed film classic, albeit a clear case of communist propaganda, or from the other end of the political spectrum, Leni Riefenstahl's *Triumph des Willens* (1935). One could similarly cite W. E. B. DuBois who claimed that "all Art is propaganda and ever must be, despite the wailing of the purists" (1926, n.p.), a milder version of which is shared by René Wellek and Austin Warren:

> In popular speech, [the term propaganda] is applied only to doctrines viewed as pernicious and spread by men whom we distrust. The word implies calculation, intention, and is usually applied to specific, rather restricted doctrines or programs. So limiting the sense of the term, one might say that some art (the lowest kind) is propaganda, but that no great art, or good art, or Art, can possibly be. If, however, we stretch the term to mean "effort, whether conscious or not, to influence readers to share one's attitude toward life," then there is plausibility in the contention that all artists are propagandists or should be, or (in complete reversal of the position outlined in the preceding sentence) that all sincere, responsible artists are morally obligated to be propagandists. (1949, 26)

Another typical ground for rejection was the factual inaccuracy of historical events or the reviewer's disagreement with the novel's interpretation of them. Nathan Glazer (1947) scolds the author since, in his opinion, "the documentation, both 'news' and

fiction is really a fraud. The terrorist organizations [. . .] are not made up of Social-Democrats and members of collective colonies [. . .] Terrorist action on February 27, 1939 did not scare Britain out of giving Palestine to the Arabs; Koestler's news account on pages 244-8, which purports to prove so, is an artful fabrication" (1947, 56). Raymond Mortimer takes a similar stance when he emphasizes that the book "is a novel only in form; and any criticism of it is bound to be concerned chiefly with the accuracy and completeness of the picture it presents" (1946, 134), of which he goes on to "correct" in detail (134-136). R. H. S. Crossman likewise rejects the claim that the book would be a novel, and agrees that it is fair to judge it on the basis of the correctness of the portrayal of historical events, even if he himself does not do so: "*Thieves in the Night* is not a well constructed novel, and its only plot is the intellectual development of the hero [. . .] This strengthens the impression that it is a piece of reporting which can fairly be discussed on its merits as a picture of Jewish life in Palestine. On my second reading I barely resisted the temptation to underline inaccuracies and examples of one-sided reporting" (1946, 321).

However, these charges seem puzzling rather than substantial, and even more so on closer inspection. Novels being a fictional genre, readers routinely expect the story to be made up by the author, either in part or in total. The fact that a novel is historical is not enough reason to suspend this expectation: many historical novels feature non-existent people, situations, places or other details. It would be extremely naïve to reject *The Scarlet Letter* (1850) just because there was no historical Hester Prynne who had to wear a scarlet "A" on her bosom, or because Ann Hutchinson, the alleged historical inspiration, behaved differently and had a different life—see Colacurcio (1972)—yet this is what Nathan Glazer does when he scolds Koestler for using "artful fabrication" (1947, 56). Putting aside the issue of the problematic nature of the statement that the book is "a novel only in form" (Mortimer 1946, 134) or "not a well constructed novel" (Crossman 1946, 321), one cannot help but question the claim that if something is not, properly speaking, a novel, it automatically warrants its judgement on the basis of its factual accuracy in its portrayal of historical events. Taken at face value, one could imagine that novels have some specific license over other genres, since following this logic, the novel could get away with factual inaccuracies the others could not. Nevertheless, and however unfortunately phrased, it is most likely that neither of the reviewers is making such a claim. Rather, it may mean that, in their opinion, if something does not qualify for their criteria of quality literature, it should be judged as a piece of non-fiction. Another rather puzzling claim since it is not hard to see that bad fiction is still fiction. Or, finally, it may also be a reference to the book's technique of collage: the story is interwoven with newspaper cuttings and official government documents, or at least what passes for such texts. In this case, the reviewers' position is that the novel uses parts of published texts, many of them not fictional, and thus it can no longer be taken to be fiction. Such a statement is, again, indefensible, as it would disqualify a huge portion of modernist and post-modern literature, simply for daring to use collage.

It is untenable that the use of external texts disqualifies a novel from being a literary work of art, and the (non-)fictionality of such borrowed passages or even whole pages is in no way related to this. Art history, just like literary history, even knows examples of extreme cases where the whole text or object is borrowed, yet it gains the status of art through recontextualization. István Örkény's "Mi mindent kell tudni" (1968) is a verbatim reprint of the backside of a bus ticket, while Marcel Duchamp's *Fountain* is the exhibited version of a urinal, to mention just two such striking examples. As Jurij Lotman puts it, "Puškin includes an authentic legal document, a court decision, in the text of Dubrovskij. If removed from the novel, these pages would represent a legal text [. . .] Once it is included in a text with another artistic function, it itself acquires an artistic function to such an extent that, although it was formerly an authentic legal text, it is perceived as an artistic imitation of a legal text" ([1966] 1988, 120). In other words, no matter where the borrowed piece comes from, the fact that it *is* used in a literary work of art makes it literature.

Many of the reviews get so carried away by their discussion of "the facts" that they do not even talk about the novel, but about the situation in Palestine in the 1930s and/or 1940s. Thus there are long passages that have nothing to do with the assessment of the qualities of *Thieves in the Night*. Anne Fremantle feels justified in sermonizing about the responsibility of Christendom, using Koestler's book (and others she reviews in the same article) as a platform:

> Europe, and copying her, America, has always turned its sadism and its masochism onto its minorities, its nonconformists, and on to [*sic*] the stranger within its gates, be that stranger Jewish, Negro, Indian or Japanese. But this form of "doing what comes naturally" is leading mankind where it led the lemmings—those rats who marched hundreds of miles to mass suicide by drowning in the sea. We cannot afford to let the lower passions, present in us all, become explicit in our Bilbos and our Webbs. We all have our fascist moments—as Koestler shows in his novel [. . .] —but we must get the better of these for our own sakes. And however stupidly or badly the Jewish terrorists are behaving it is our fault, collectively, as Christians. (1947, 494)

Raymond Mortimer likewise discusses a whole set of what he considers factual inaccuracies, under the guise of assessing the book. As he himself admits, "I have felt obliged to point out certain gaps in the picture presented by Mr. Koestler" (1946, 136). I provide just one example here, the rest are similar in character: "Mr. Koestler takes it for granted that we have the moral right to impose on the Palestinian Arabs immigrants on a scale we should not consider admitting ourselves. The Jews now number roughly one third of the population of Palestine. It is as if England had admitted fourteen million, and the United States forty-five million, during the last twenty-five years" (136). Yet, these comments have little to do with Koestler's novel, and such philosophizing should neither take up the place of actual assessment, nor influence it.

Another common problem is the identification of the book's protagonist, Joseph, with its author, yet another decision that remains fundamentally unsupported. The mildest form of this is Anne Fremantle's warning that Koestler "might have done better to stick to the first person into which his Joseph occasionally drops" (1947, 494), instead of keeping the focalizer-protagonist separate from the author. Raymond Mortimer is more explicit: "Joseph himself is not altogether credible as a character [. . .] It is difficult to believe in [his] background, because Mr. Koestler uses him so often and so freely as a mouthpiece for his own opinions and emotions" (1946, 134). For Peter Quenell, "[t]he chief character, Joseph, is a mere ventriloquist's dummy" (1946, n.p.), while for R. H. S. Crossman, "the personality of the hero is dominated by that of the author" (1946, 321). Beyond the problem that it is not made clear what, if anything, these critics base their judgements on, their preference to consider the protagonist-narrator, Joseph, as identical with, or closely related to Arthur Koestler, ignores the basic distinction between the biological author and both the implied author and the narrator. Considering that this distinction was made after the publication of these reviews, this is a pardonable slip, but not something that does not deserve correction. As Wayne C. Booth explains, "[e]ven the novel in which no narrator is dramatized creates an implicit picture of an author who stands behind the scenes, whether as stage manager, as puppeteer, or as an indifferent God, silently paring his fingernails. This implied author is always distinct from the 'real man'" ([1974] 2004, 139). And considering the fact that the narrator of Koestler's story is, in most cases, Joseph, the protagonist, his position becomes a step further removed from that of the biological author: "many novels dramatize their narrators with great fulness [sic], making them into characters who are as vivid as those they tell us about (*Tristram Shandy*, *Remembrance of Things Past*, *Heart of Darkness*, *Dr. Faustus*). In such works the narrator is often radically different from the implied author" (140).

But the most common, and probably most typical point of contention, at least for reviewers from the United Kingdom, is the novel's criticism of British policies in Palestine. Peter Quenell goes as far as to start his treatment of the novel with his disapproval of its critical attitude towards the way the British managed Palestine:

> THREE types of reader [sic] will be stirred, more or less violently, by Arthur Koestler's new novel, *Thieves in the Night*. American Anglophobes will receive it with glee as yet another damning exposure of British villainy and inefficiency. People in this country who have relations in Palestine, and every week expect to hear that they have been shot, or bombed, or mined, may kick it furiously across the room [. . .] Lastly, there are readers like myself who regard Arthur Koestler as an uncommonly intelligent writer and will be disappointed and dismayed by this, his latest, effort. (1946, n.p.)

The reviewer, before even starting to discuss what the book is about, effectively, though indirectly, charges it with: (1) hatred for the British, (2) total insensitivity toward the personal tragedies of British families, and (3) being unintelligent. He

is, however, by no means alone in his opinion. R. H. S. Crossman also criticizes the novel in a similar vein: "Has he accepted the casuistry of 'the British intern us without charge. That justifies us kidnapping them?'" (1946, 321). And this question is not left as rhetorical: "Koestler is convinced that the terrorists who follow the example of the Irish and the Boers have chosen the correct tactics in dealing with Britain, and that Doctor Weizmann has chosen the wrong ones" (321-322); a conclusion which is, in the reviewer's view, obviously a fallacious one. Roughly the same sentiment is repeated by Raymond Mortimer in his review, though more explicitly and in more words:

> But can he really think that it is right (or even politic) for Jews to murder the British soldiers and administrators who have the misfortune to be sent to Palestine? No people has treated its Jewish citizens better than the British. Even the social discrimination against them that elsewhere sometimes shows itself—for instance, in clubs—has no place in England. And for a year the British were alone in fighting the people who included in their war aims the total extermination of Jewry. They do not ask for gratitude: they were fighting, like all their allies, first and foremost in self-defense. But they might have expected not to be assassinated by those who but for them would have been consigned to the gas chambers of Buchenwald. (1946, 136)

It is interesting to see how an article that should be focusing on the merits (or weaknesses) of a novel lapses into first a defense of British behavior, and then into an emotionally manipulative denial of a people's right for self-defense if that act means fighting against people who saved them previously.

But if rejecting a book because it criticizes British policy seems unprofessional, channeling the resulting frustration into open personal attack is even more so. One cannot help feeling that the hostility of such reviews has more to do with the reviewer being upset about the novel's criticism, than with the qualities of the book itself. Anne Fremantle, for one, closes her discussion of the novel by scolding the author for "writing from the aloof security of his Welsh farm, where he enjoys the hospitality of the country he so virulently attacks" (1947, 494). She seems to be implying that as an immigrant writer working in Britain, he has no right to criticize the British, a way of thinking analogous to that used by Raymond Mortimer (1946), quoted above, who refuses that right to the Jews on the basis of the fact that many of them were saved by British soldiers (in a different time and place). And the very same logic is followed by Peter Quenell:

> And lest you should be distressed by the picture of this talented middle-aged novelist roaming around Palestine at the risk of his life and limbs, I am happy to be in a position to calm and reassure you.
>
>   A biographical note printed on the dust-cover (which also records how he was rescued by British agency first from a Spanish prison, then from a French concentration camp) informs us that Arthur Koestler is now enjoying the royalties and cultivating mutton in the studious seclusion of a North Wales sheep-farm. (1946, n.p.)

The elements used are identical: a personal attack on the biological author based on his immigrant status and postulating that it is not appropriate, or even allowed, in such a position to criticize the policies made by politicians of the majority culture. Yet, perhaps the strongest attack on Koestler based on his non-English identity is by Raymond Mortimer. In fact, he goes so far as to start his treatment of Koestler's novels (but first and foremost *Thieves in the Night*) with the following few lines, before even discussing the basic features or the plot of the novels: "'Of living English novelists I like Koestler the best.' This was said to me recently by a friend in France, where *Darkness at Noon* has, in translation, enjoyed a sensational success. 'He is wonderfully living,' I answered, 'but he is not English; he is not a novelist; and how far is he, as a writer, even likable?'" (1946, 132). A very strong set of hostile statements to start with, and he continues in a similar vein. Without providing examples to support his statement, he claims that Koestler, as an author who was not born English, and was "[b]ilingual by education" and "had to learn a third language in which to write," fell short of native English writers, because his English, unlike Joseph Conrad's, had "no personal flavor. Finding a page torn out of one of his books, you might guess it was Koestler by the content, but never by the rhythm or the choice of words" (132). His reason for disliking Koestler's fiction is no less outrageous, "I find Mr. Koestler's writings dislikable because they neglect the necessity or even the existence of gardening" (133), unlike the products of cultures he considers to have "old governments" since those supposedly make it possible for their citizens, "except when menaced by foreign powers, [to] give themselves, their day's work done, to such enjoyments as their temperaments require, making music or love, fishing or studying" (132). As opposed to this, in Mortimer's opinion, Koestler supposedly "treats ordinary, peaceable enjoyment as trivial or even discreditable" (132), a claim that he does not support with examples from the author's writing, and one that is more than dubious considering the numerous scenes in Koestler's *Thieves in the Night* devoted to Joseph's love life, people playing chess or singing.

The most telling part of this forced opposition between Koestler and "old governments" is that these are identified as "American or British, Swiss or Swedish, whether republican or monarchist makes no difference" (Mortimer 1946, 132): that is to say, the author is situated as a rootless newcomer, opposed to the traditional and stable culture of Britain and other potentially Germanic cultures. This act of situating Koestler as a rootless outsider, in opposition to British culture, is in fact something that Mortimer himself admits. In his view, Koestler's "loyalty is to no abiding place on earth" (136), "an expatriate who has become an exile" (133), someone who "is not merely independent," but who, in Mortimer's view "is, or feels, isolated" (133). This is in shocking contrast to Arthur Koestler's self-identification as a British writer. In fact, a similar attack on Koestler as an outsider who cannot compete with the superiority of British culture appears in a less explicit form in V. S. Pritchett's treatment of Koestler's literary production when he claims that simply because "we

ourselves—see *Passage to India*, George Orwell, etc.—have a robust tradition of satire at the expense of our own people, Koestler's looks thin and conventional" (1948, 91).

These reactions, although neither professional nor correct, are nevertheless understandable. After all, *Thieves in the Night* truly criticized British policies in Palestine, and "[f]aced with a threatening outsider the best mode of defence is attack" (Kearney 2003, 65). When the book is critical of British policies, it does not only make a political statement or a critical remark. It goes further, in its forcing of the British subject, from an external position, to be critical about British policies, it also asks for self-scrutiny, and this is what ignites the attack: "[s]trangers [. . .] represent experiences of extremity which bring us to the edge. They subvert our established categories and challenge us to think again. And because they threaten the known with the unknown, they are often set apart in fear and trembling" (3). This is also why, in Pritchett's article, British works of self-satire are robust, while Koestler's is immediately marginalized as "thin and conventional" (1948, 91). And this is what Mortimer is also discussing in his unwarranted and puzzling soliloquy about the importance of gardening and Koestler's presumed ignorance of it (1946, 133). And since "the price to be paid for the construction of the happy tribe is often the ostracizing of some outsider" (Kearney 2003, 26), it is not surprising to see how much energy Mortimer devotes to proving that Koestler is "not English" (1946, 132), but "an expatriate who has become an exile" (133).

The situation is doubly interesting, because, as mentioned above, Koestler identified himself as "British by naturalisation" a person whose "books since 1940 have been written in English" (*The Koestler Archive*, MS2382, folder 1, 29). And these words are very close to Benedict Anderson's since they mention naturalization and language: "from the start the nation was conceived in language, not in blood," so "one could be 'invited into' the imagined community. Thus today, even the most insular nations accept the principle of *naturalization* (wonderful word!), no matter how difficult in practice they make it" ([1983] 1991, 145). This explains then, why Mortimer had to mention Koestler's lack of originality in English (1946, 132) while classifying him as an outsider (133): the nation is "a community imagined through language" (Anderson [1983] 1991, 146), so in order to relegate him to the position of the alien, Mortimer had to deny Koestler his ability to use English properly.

Of course, beyond all these fallacious critical remarks, many of the reviews also voiced charges that do relate to the novel as a literary work of art. Their less frequent, and mostly general and textually unsupported character, along with the limitations of an academic article, forces me to postpone tackling them to another paper. I am fully aware that the injustices of the reception in the 1940s cannot be fully proven until this part of the work is also done. Nevertheless, even this brief overview of the most typical and atrocious problems can help in drawing attention to a work that with its portrayal of an individual's route to terrorism, as well as its focus on the politically complex issue of handling a massive wave of refugees, could not be more topical these days.

A discussion of Koestler's *Thieves in the Night* gains even more importance, however, once one notes that besides Mark Levene's *Arthur Koestler* (1984), published a year after Koestler's death, only one other monograph has been devoted to a discussion of his literary output. This latter volume, Elisabeth Prinz's *Im Körper des Souveräns: Politische Krankheitsmetaphern bei Arthur Koestler* [In the Sovereign's Body: Arthur Koestler's Political Metaphors of Disease] (2010), however, has a highly specific focus: Koestler's use of illness as a political metaphor, which severely limits its relevance for any analysis that deals with the author's less directly political work, or focuses on non-political aspects of his production. Furthermore, although the title might lead one to believe that it deals with the whole *oeuvre*, it is in fact limited to only three of Koestler's novels: *Darkness at Noon* (1940), *Arrival and Departure* (1943) and *The Age of Longing* (1951).

While there has been a certain resurgence of interest in Koestler since the turn of the century, most of the recent output is formed by biographies. David Cesarani's *Arthur Koestler: The Homeless Mind* (1998), Christian Buckard's *Arthur Koestler: Ein extremes Leben 1905-1983* [Arthur Koestler: An Extreme Life 1905-1983] (2004), László Márton's *Koestler, a lázadó* [Koestler, the Revolutionary] (2006) and *Koestler asszonyai* [Koestler's Women] (2012), and Michael Scammel's *Koestler: The Indispensable Intellectual* (2010) are all cases in point.

Granted, there are two further monographs that attempt something beyond writing yet another biography. However, even these—Mihály Szívós's *Koestler Arthur: Tanulmányok és esszék* [Koestler Arthur: Studies and Essays] (2006) and Robert E. Weigel's edited collection, *Arthur Koestler: Ein heller Geist in dunkler Zeit* [Arthur Koestler: A Bright Mind in Dark Times] (2009)—mostly deal with non-literary issues, such as Koestler's scientific output, or his political and philosophical views.

In terms of academic articles, the situation is even worse. The only publication on Koestler's literary output beyond *Darkness at Noon* is Matthias Weßel's essay (2015) in which he postulates that English characters play a crucial role in bridging the gap in Koestler's (and Neumann's) novels between the experience of the average British reader and the plot of these texts.

While *Thieves in the Night* is briefly tackled in Weßel's paper from his specific perspective, this is the only text to date, other than the present article, which deals with a possible interpretation of this novel. All the other sources mention it only in passing, if at all, and do nothing but repeat the opinions of the original reviewers from the 1940s without any critical assessment or attempt to surpass them. Thus, my article can be considered a necessary first step towards discussing the book on its own terms.

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Zénó Vernyik graduated from the University of Szeged and Masaryk University and holds a PhD in Comparative Literature. He is an Assistant Professor in the English Department of the Technical University of Liberec, Czech Republic. His primary research interests are the *oeuvre* of British writers of Hungarian origin (primarily Arthur Koestler and George Mikes), modern and contemporary American and British literature, spatial theory, and the representation of cities in literature. He has also published articles on Australian cinema and Belgian literature.

Address: English Department, Faculty of Science, Humanities and Education, Technical University of Liberec. Studentská 1402/2, 461 17 Liberec, Czech Republic. Tel.: +420-485-354-251.

"But What's One More Murder?" Confronting the Holocaust in Philip Kerr's Bernie Gunther Novels

ANTHONY LAKE
Khalifa University, Abu Dhabi, United Arab Emirates
anthonylake1@yahoo.co.uk

Philip Kerr's Bernie Gunther series of Nazi Germany-set historical crime novels use irony in the exploration of themes of complicity, guilt and redemption in relation to the Holocaust. The use of irony enables Kerr's protagonist Bernie Gunther to confront and describe the Holocaust and establish his sense of selfhood as an anti-Nazi. However, it does not empower him to resist the Nazis actively. Bernie seeks to confront the Holocaust and describe his experiences as an unwilling Holocaust perpetrator when he led an SS police battalion at Minsk in 1941. Later, his feelings of guilt at his complicity with the Nazis in the Holocaust haunt him, and he seeks redemption by pursuing justice to solve conventional murders. The redemption that Bernie Gunther pursues is called into question in the ninth novel in the series, *A Man Without Breath* (2013), when the possibility of active resistance to the Nazis is revealed to him when he witnesses the Rosenstrasse Protests in Berlin in 1943. This revelation raises the questions of agency and choice, and forces an ordinary German like Bernie Gunther to confront the possibility that he might have actively opposed the Nazis, rather than allow himself to become their accomplice.

Keywords: detective fiction; Holocaust; Philip Kerr; irony; guilt; redemption

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"¿Qué supone un asesinato más?" Afrontando el Holocausto en las novelas de Philip Kerr sobre Bernie Gunther

En las novelas policiacas de Philip Kerr sobre Bernie Gunther, ambientadas en la Alemania Nazi, el autor recurre con frecuencia a la ironía para explorar temas como la complicidad, la culpa o la redención en relación con el Holocausto. El recurso a la ironía por parte de Kerr permite a su protagonista, Bernie Gunther, enfrentarse y describir el propio Holocausto y construir su propia identidad frente al nazismo. Sin embargo, la ironía no le otorga la

suficiente fortaleza para enfrentarse activamente a los Nazis. Bernie trata de afrontar el Holocausto describiendo sus experiencias a cargo de una compañía de las SS en la ciudad de Minsk en 1941. Posteriormente se ve perseguido por sentimientos de culpabilidad por su renuente complicidad en el genocidio y busca su propia redención resolviendo homicidios convencionales que le permiten aplicar justicia. Sin embargo, en la novena entrega de esta serie, *A Man Without Breath* (2013), se cuestiona el proceso de redención de Bernie Gunther, cuando le surge la posibilidad de enfrentarse de forma activa a los Nazis, como testigo de las protestas de Rosenstrasse en el Berlín de 1943. Esta revelación le hace plantearse cuestiones relacionadas con la voluntad y la capacidad de elección, a la vez que lleva a un alemán corriente, como él, a afrontar la posibilidad de actuar frente a los Nazis, en lugar de convertirse en su cómplice.

The first of Philip Kerr's Bernie Gunther series of Nazi Germany-set detective novels appeared in 1989 and since then the series has grown to eleven titles, with the two most recent, *The Lady from Zagreb* published in 2015 and *The Other Side of Silence* published in 2016. The series has become a wide-ranging fictional exploration of Nazi Germany between the early 1930s and 1945 and beyond into the Cold War years of the 1950s. The Bernie Gunther novels offer an exploration of the possibilities of justice in the world the Nazis created. This was a world in which, under the laws of the Third Reich, crime and justice were entirely re-defined and it became legal to murder people by the thousand. A scene in the ninth title in the series, *A Man Without Breath* (2013) illustrates the point well. Bernie Gunther finds himself confronted with a situation in which a German soldier is prosecuted and hanged for the rape of a Russian woman in one village on the eastern front, whilst a short distance away, SS special police battalions are perpetrating genocide. This is the world in which Bernie Gunther solves everyday murders with only his dogged attachment to the pursuit of justice to insulate himself against the atrocities that surround him. As Brian Diemert remarks: "in this society, integrity and truth lie in the individual's personal code, his or her own ethical position" (2002, 336). However, even Bernie's personal code and his commitment to the job of solving murders and giving justice to their victims cannot protect him from becoming complicit with the Nazis in the perpetration of their crimes. As a detective with the Berlin *Kriminal Polizei* (*Kripo*) he had become an unwilling member of the SS after the police force was absorbed into the SS in 1936. Bernie's only defence against the regime and the role he must play in it is his critically ironic eye, which as narrator of the stories, he casts over the society the Nazis have created.

The Holocaust is a constant presence in the novels, hovering just behind the stories, showing itself now and then through indirect references and allusions. In two of the novels, however, as we will see below, it is brought into the foreground. An attempt to approach the Holocaust in a series of historical crime novels raises some searching questions. As Holocaust historian Saul Friedlander reminds us, "the question of the limits of representation of Nazism and its crimes has become a recurrent theme" (1992, 2). The already vast and ever-growing secondary literature on the Holocaust has come to be characterized by two opposing types of approach: one that asserts that the Holocaust is knowable and can thus be represented and eventually understood, and a second that asserts that it is unique and beyond representation. Michael Rothberg distinguishes between realist and anti-realist approaches to genocide in Holocaust studies (2000, 3-5). The realist tradition in the scholarship of the Holocaust insists that the Holocaust is knowable and Rothberg identifies historians most strongly with the realist approach. The anti-realist approach proposes that the Holocaust is not knowable, as Rothberg puts it, at least within "traditional representational schemata" (2000, 4). The anti-realist approach, he says, has "flourished in more popular discourses, in some survivor testimony and pronouncements, and in many literary, aesthetic and philosophical considerations of the 'uniqueness' of the Shoah" (4).

Ruth Franklin uses much the same opposition in her characterization of conflicting approaches to the Holocaust, but where Rothberg speaks of realist and anti-realist, Franklin opposes realist with the less neutral "mystical" (2011, 4-5). Franklin offers a detailed summary of the history of the scholarship and criticism of Holocaust writing and argues strongly for the view that the Holocaust is knowable and should be approached in fiction. In the same vein, the Holocaust historian Yehuda Bauer goes so far as to assert that what is "totally unsatisfactory is an attempt to escape historical responsibility by arguing that this tragedy is something mysterious that cannot be explained. If this were true, then the criminals would become tragic victims of forces beyond human control. To say that the Holocaust is inexplicable, in the last resort, is to justify it" (2002, 38). If we accept Bauer's argument, attempting to explain and understand the Holocaust gains the weight of an ethical imperative. Bauer says elsewhere in the same essay that creative genres of writing can contribute to the understanding and explanation of the Holocaust (2002, 22-23).

Bauer and Franklin assert much the same position and these positions find further support in the work of other recent commentators on Holocaust literature. Katharina Hall, for example, in her discussion of Holocaust-set crime and detective fiction argues that the importance of memorialization and the need to disseminate knowledge about the Holocaust make popular genres of fiction an ideal vehicle to further each of these ends. Hall employs the novel approach of looking at reviews by readers on Amazon of novels like Joseph Kanon's *The Good German* (2001) to show how many of these readers express the view that reading novels like Kanon's has increased their knowledge and understanding of the Holocaust (2011, 60-61).[1] That *The Good German* has also been made into a Hollywood film—by Steven Sodenbergh in 2007—only strengthens the effect that Hall describes. Kerr's Bernie Gunther series enjoys the same bestseller status as *The Good German*, so the same argument may be applied. The theoretical questions of representation remain, but the need to continue to seek to promote knowledge and understanding of the Holocaust finds a valuable vehicle in popular genre fiction that reaches a wide readership.

A fruitful critical approach may be found in looking at the techniques and strategies that particular novels use to approach the Holocaust. With that in mind, it is not unreasonable to begin by asking, given the compromises forced upon Bernie Gunther and the paradox of a detective who solves homicides against a background of genocide: can crime and detective genre fiction, with their conventional formulas of unremarkable homicide, mystery, detection and solution approach so enormous a crime as the Holocaust? Diemert sees the attempt to write about the Holocaust through the medium of classic detective fiction as problematic because the genre has traditionally, he claims, been a historical, and the postmodern re-invention of it "self-consciously places itself

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[1]   Hall acknowledges that Amazon reviews have their limitations as a scholarly resource. However, as she also says, such reviews offer an "invaluable resource for researchers seeking to gain an insight into a variety of ordinary readers' reactions to the text" (2011, 65).

in a world apart that is the world of indeterminacy, language, and discourse" (2002, 332). Robert Eaglestone suggests that "holocaust fiction is highly intertextual and uses anterior sources much more self-consciously than other genres" and this is true of many of the Bernie Gunther novels (2004, 107). For example, the eighth book in the series, *Prague Fatale* (2011) is a locked room murder mystery which borrows key details of the "whodunit" element of its plot from Agatha Christie's *The Murder of Roger Ackroyd* (1926), a piece of pastiche that supplies the novel's postmodern credentials. However, despite its relationship with classic detective fiction, Holocaust fiction and the textual idioms of the postmodern, the series is historically engaged and many incidents and events in the stories are weaved around real historical events, and real historical persons feature among the series' characters. Diemert goes on to ask, "can genre fiction, detective fiction or science fiction, bear the weight of the Holocaust?" (2002, 333). This article will argue that in the case of the Bernie Gunther series, detective fiction is indeed equal to the task. It will do so by discussing how Kerr makes use of irony, how he explores collective and personal guilt and considers the possibilities of redemption for the detective hero. The uses of irony in the series are linked with the theme of redemption through Bernie Gunther's personal code, which drives him always to solve one more murder, to ensure that some kind of justice is done.

However, the use of humour in representing the Holocaust raises further questions. The types of irony used by Bernie in the novel range from throwaway sarcasm, when he is making quips about the Nazis, to the much darker irony employed when he is forced to confront the Holocaust head on. Kerr's appropriation of Raymond Chandler's idiom of noir crime writing, laced as it is with sardonic irony works with powerful effect when Bernie is making fun of the Nazis, but it is tested to its limits in attempting to confront the Holocaust. This should not come as a surprise, for the use of humour to represent the Holocaust is a delicate and thorny matter, but there are numerous precedents for it. Mark Cory discusses various instances of its use. He suggests that Holocaust literature calls for an "expanded taxonomy (of humour) appropriate to an aesthetics of atrocity" and suggests that one function of such expansion is to "define the boundaries of our moral response to the Holocaust" (1995, 35). Kerr's use of different types of irony in the Bernie Gunther series can be taken as just such an expansion of the taxonomies of humour as Cory describes. Cory goes on to discuss Art Spiegelman's *Maus* (2003) and argues persuasively that the use of comic illustration creates a distancing effect. Bernie Gunther's use of irony functions in different ways to create similar defamilarizing effects.[2]

Kerr remarked in an interview for *The Daily Telegraph* that the idea for the Bernie Gunther character was born when he started to wonder what might have happened if Chandler had gone to Germany rather than the United States when he left England

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[2]   There are precedents for the use of humour in Holocaust Literature and three of the most notable are Tadeusz Borowski's *This Way for the Gas, Ladies and Gentlemen* (1992), Imre Kertesz's *Fatelessness* (2004) and Piotr Rawicz's *Blood from the Sky* (2003).

(Clements 2012, n.p.). The appropriation of the Marlowe persona and the use of the noir idioms that Chandler developed in his portrayal of the criminal underworld of the Los Angeles of the 1930s and 1940s enables Kerr to give Bernie Gunther Philip Marlowe's hard-boiled wise-cracking attitude and ironic eye, through which he views the Nazis and their crimes. In the Berlin Noir trilogy which opens the series, irony is a source of sardonic humour and a distancing mechanism, such as when Bernie quips in the sixth book, *If the Dead Rise not*, "a Nazi is someone who follows Hitler. To be anti-Nazi is to listen to what he says" (Kerr 2009, 73). The first part of this discussion will consider Bernie's uses of the ironic world view that his creator has appropriated from Chandler and its development from sardonic commentary on the Nazis into a tool of critique through which the series can confront the Holocaust directly. This will lead to a consideration of the questions of guilt and redemption that are raised at the end of *A German Requiem* (1991), the final novel of the Berlin Noir trilogy, and continues through the novels that follow it, right up to the most recently published titles. Bernie struggles with his conscience as he becomes increasingly troubled by the memory of the degree to which he became the unwilling accomplice of his Nazi masters. Finally, it will consider the implications for Bernie's search for redemption in *A Man Without Breath* (2013)—the ninth book—through the suggestion that active resistance against the Nazis might have been a stronger possibility than he has hitherto believed throughout the series.

The novels in the series to date can be divided into three phases, with the seventh, *Field Grey* (2010), providing a retrospective look over the whole of Bernie's progress through the Nazi years. The progress of the series mirrors its movement through types of irony to its search for redemption for its detective hero. The first three, which appeared between 1989 and 1991: *March Violets* (1989), *The Pale Criminal* (1990) and *A German Requiem* (1991)—the Berlin Noir trilogy—cover the years 1936 to 1947. *March Violets* is set in 1936, *The Pale Criminal* in 1938 and *A German Requiem* in 1946 and 1947. There the series ended until fifteen years later when in 2006 Kerr began to add more titles. The next three—*The One from the Other* (2006), *A Quiet Flame* (2008) and *If the Dead Rise not* (2009)—deal with the post-war years of 1949 to 1954. This middle group maintains the Chandleresque mode of the earlier three novels, but also adds the more introspective tone of redemption narrative. This middle group is followed by *Field Grey* (2010). This is also set after the war but pursues the redemption narrative back through time to the war years and the crimes for which Bernie seeks atonement. The four most recent titles break with historical chronology and return to the war years. *Prague Fatale* (2011) is set in 1941 and *A Man Without Breath* (2013) in 1943, while the tenth title in the series, *The Lady from Zagreb* (2015) is set in 1956, with long flashbacks to 1942 and 1943. *The Other Side of Silence* (2016) is set in 1956 with flashbacks to 1938 and 1944-5. In *Prague Fatale* and *A Man Without Breath* the redemption narrative remains, but irony returns to drive the stories. *The Lady from Zagreb* takes Bernie to the Balkans, where he witnesses scenes like those he had seen on the Eastern front, and these scenes

remind him of his guilt at what he did at Minsk. In these latest novels, the irony is of a darker and more critical type than that found in the opening Berlin Noir trilogy and it is used to confront the genocide directly.

The measure of historical fiction, for many readers, lies in the historical accuracy it achieves in its representation of the historical events around which it weaves its fictional stories. Detective fiction that seeks to approach Nazi Germany and the Holocaust needs to establish both historical authority through the accuracy of its representation of history, and credibility in the belief that the genre is equal to the task of writing about them. Like Diemert, Katharina Hall wonders if this is possible. She asks if detective fiction can make "credible the idea of a Nazi detective carrying out a murder investigation and upholding justice while working for a criminal state in which murder is ubiquitous and the law corrupt" (2013, 292). The Bernie Gunther novels show how detective fiction is indeed able to make this scenario credible in a number of ways, and the first is by positioning its detective hero as an outsider in Nazi Germany. Bernie knows as early as 1931 that he could never become a Nazi. This is illustrated in *Field Grey* (2010, 541-542) where Bernie explains that he attended the Eden Dance Palace Trial because he was interested in the defendants in relation to another murder. On November 22, 1930 a group of *Sturmabteilung* (SA) Brownshirts had attacked a leftist workers' meeting at the *Tanzpalast Eden* in Berlin. Their trial took place in May 1931, and the German Jewish lawyer Hans Achim Litten was acting for the prosecution on the case. In an attempt to force Adolf Hitler to admit under oath that his National Socialist Party sanctioned Brownshirt violence, Litten called him as a witness. The violence of the Brown shirts and Hitler's dishonest testimony turn Bernie against the Nazis.[3]

The establishing of its detective hero as an outsider in Nazi Germany is a quality that the Bernie Gunther series has in common with the work of other authors of Nazi Germany-set historical detective fiction. In Robert Harris's counter-historical novel *Fatherland* (1992), which imagines a 1960's Europe in which Nazi Germany had won the war, Xavier March, the detective protagonist, investigates the murder of a high-ranking Nazi official. His investigation leads him to uncover the great secret of the Reich: the Holocaust. John Russell in David Downing's John Russell and Effie Koenen series (2007-2013) is an Anglo-American journalist-turned-spy living in Berlin between 1938 and 1941, when America entered the war, and returning in 1945 when the war ends.In Rebecca Cantrell's Hannah Vogel series (2009-2012), Hannah is a crime reporter who is marginalized; in part because of her left wing political sympathies and her connections to the decadent underworld of Berlin Weimar culture, but most of all as an unmarried working woman in a society that insisted that women should be housewives and mothers. In Joseph Kanon's *The Good German*

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[3]   The Eden Palace Trial is also referred to in *If the Dead Rise not* (2009, 57). After the Nazis came to power, Litten was persecuted and imprisoned. He committed suicide in Dachau concentration camp in 1938 (Hett 2008).

(2001), Jake Geismar is an American war correspondent who worked in Berlin before the war, and goes back there in its immediate aftermath, turning amateur detective to solve the murder of an American army lieutenant. Finally, in Luke McCallin's Gregor Reinhardt series (2013-2016), Reinhardt is an *Abwehr* officer—the German Military Intelligence—and former *Kripo* detective, unsympathetic to the regime, who is connected with the German resistance, a group of high ranking *Wehrmacht* officers who seek to overthrow Hitler. The inside-outsider stance of these characters does not ensure that their lives are not shaped by Nazi policy, nor does it enable them to escape complicity with the regime, but it locates them at a remove from the society around them and enables them to cast an oppositional and critical eye over the worlds they inhabit.

A scene in book eight, *Prague Fatale* (2011), highlights Bernie's outsider status and his refusal to give in to the new justice of the Third Reich when he insists on solving the murder of an SS officer he knows is a mass murderer. *Prague Fatale* begins in Berlin with Bernie recently transferred out of his SS special police battalion that had been active at Minsk and contemplating suicide as a result of the mass murder of Jews he has witnessed there. However, it is precisely his knowledge of the genocide against the Jews of Eastern Europe that prevents him from going ahead and killing himself. The novel's setting moves to Prague when Bernie is summoned by Reinhardt Heydrich to investigate a murder at his headquarters there. Its action is played out in the autumn of 1941 during the early months of Heydrich's tenure as *Reichsprotektor* of Bohemia and Moravia.[4] In *Prague Fatale*, along with *A Man Without Breath* (2013) which follows it in the series, the ironic, outsider's voice is employed to confront the Nazis and the Holocaust more directly than had been the case in the earlier novels. In *Prague Fatale* the genocide is no longer merely rumour; it has come closer through Bernie's own involvement in it, and his irony can no longer place it at a distance. The dynamics of justice in conventional crime and detective fiction that drive Bernie are very different from the twisted forms of justice that characterized life under the Nazis. In an example of the kind of situation that Hall refers to when she asks if crime fiction can achieve credibility for a police detective working to solve murders for the murderous Nazi state, irony is put to the more serious purpose of speaking of the genocide. Half way through the novel, as he investigates the murder of SS *Kapitän* Albert Küttner, Bernie asks himself why he would investigate the murder of a young SS officer who has murdered hundreds, if not thousands of Latvian Jews, Gypsies and other so-called undesirables: "A mass murderer who'd been murdered. What was wrong with that? But how many had I killed myself? There were the forty

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    [4]   Reinhardt Heydrich (1904-1942), was one of the main architects of the Holocaust. He was SS-*Obergruppenführer und General der Polizei* (Senior Group Leader and Chief of Police) and chief of the Reich Main Security Office—including the Gestapo, *Kripo* and SD. He was also *Stellvertretender Reichsprotektor* (Deputy/Acting Reich-Protector) of Bohemia and Moravia, making him the most senior Nazi in what was then occupied Czechoslovakia. Heydrich was assassinated by Czech partisans in the spring of 1942.

or fifty Russian POWs I knew about for sure—nearly all of them members of an NKVD death squad. I'd commanded the firing squad and delivered the coup de grace to at least ten of them as they lay groaning on the floor" (Kerr 2011, 209).

Bernie's use of irony here works by creating a juxtaposition that brings Küttner's role in the genocide and his murder together. In their juxtaposition, they pose a question about the nature of justice under the Nazis. The Holocaust comes yet closer when Bernie turns his critical eye back on himself and remembers his own role in the genocide at Minsk, suggesting that he sees Küttner as no guiltier than he feels himself to be. The questions Bernie asks here about the merits of solving Küttner's murder and about his own involvement in genocide go unanswered, as he abandons his line of thought and concludes that he has to investigate this murder because he has no choice. He has been ordered to do it by Heydrich and he must do his duty.

The moral conundrum of whether or not justice will be served by solving Küttner's murder returns in a later scene. Bernie's criminal assistant, Kurt Kahlo, asks him "but what's one more murder?" as they continue to work the case (2011, 275). Like Bernie, Kahlo knows that Küttner has recently been active in the Ukraine with an SS special police battalion murdering Jews in their thousands. Consequently, Kahlo sees no point in investigating his murder and suggests that they may as well just go through the motions of their police work, drag things out for as long as they can, and extend the period over which they can enjoy the comforts and privileges that their sojourn at Heydrich's castle affords them. Kahlo's belief that investigating Küttner's murder is futile seems wholly valid, and being murdered seems an appropriate fate for such a man. For Bernie, however, the question 'what's one more murder?' is not so easy to dismiss and his response to Kahlo is an ambiguous "maybe" (2011, 275). He says 'maybe' because he again remembers his own actions at Minsk where, like Küttner, he was also active with an SS special police battalion. However, it is what Bernie does, rather than what he says here, that discloses his true position. He does not find Kahlo's position morally acceptable. He goes ahead and investigates the murder properly, eventually revealing in a further ironic twist that Heydrich himself was the killer. Bernie's ruminations on the justice, the moral dimensions and the irony of solving the murder of a mass murderer bring the Holocaust close, but it is still only spoken of, and remains elsewhere and not present. It is not until the next book in the series, *A Man Without Breath* (2013), that Bernie is forced to turn his irony to face the Holocaust directly.

The events of *Prague Fatale* (2011) take place only a few months after Bernie had been at Minsk and it is in the light of his experiences there that he refuses to accept Kahlo's advice. Bernie's insistence on investigating this murder properly is his way of holding onto normality in the face of the Holocaust by continuing to pursue justice. It is also the beginning of his path towards the redemption he seeks. Here, Bernie's attempts to come to terms with his role in the Holocaust and the problem of representing the Holocaust in fiction become closely connected with each other. If

Bernie is to find redemption, he must confront what he has seen of the genocide and his role in it. To do this he needs to find a way of describing it. However, the possibility of representing the Holocaust is a vexed question, as has been noted above. This issue was already addressed in *March Violets* (1989), the first book in the series. Heydrich sends Bernie on an undercover mission to Dachau, where Bernie's task is to spy on a safe cracker imprisoned there. He begins his description of the place by asking "how do you describe the indescribable?" ([1989]1993, 229). Bauer, as we have already noted above, argues that if the Holocaust belongs to human history, it is imaginable, and thus it can be described (2002, 14-22). He also suggests that art, and therefore this novel, can play a role in explaining and understanding it (2002, 23). However, if the camps themselves are beyond Bernie Gunther's power of description, he must approach the Holocaust by other routes if he is to describe it. In an early scene in *A Man Without Breath* (2013), which begins in March 1943, Bernie's irony is confronted with an even more demanding challenge than in *Prague Fatale*, as Bernie investigates the murder of two German soldiers at Smolensk in Russia and the recently discovered mass graves of Polish Army officers massacred by the NKVD at nearby Katyn Forest.[5] Bernie is now working for the *Abwehr* as a war crimes investigator and again he speaks ironically when he remarks: "By the winter of 1943, you found your laughs where you could, and I don't know how else to describe a situation in which you can have an army corporal hanged for the rape and murder of a Russian peasant girl in one village that's only a few miles from another village where an SS special action group has just murdered twenty-five thousand men, women and children" (2013, 9).

In the juxtaposition that Bernie makes between these highly incongruent events two very different forms of "normality" come into close proximity and highlight the problematic nature of the concept of normality itself. The first is the normality of peacetime, when rapists are prosecuted and punished. The second is the normality of life under the Nazis which, as Christopher Browning writes, "itself had become exceedingly abnormal" (2001, xvii). Diemert suggests that in historicizing Nazi atrocities, Kerr risks normalizing them and making them acceptable (2002, 347). However, to historicize them is not to normalize them, but to ensure that they are placed within human history, as Bauer insists they must be, so that they may be explained and understood. Normality, however, remains a highly fraught concept in the context of Nazi Germany. Hannah Arendt describes the problems that arise out of the attempt to define the word "normal" in the study of Nazi Germany when she says of the position of the prosecution at the trial of Adolf Eichmann that "their case rested on the assumption that the defendant, like all 'normal persons,' must have been aware of the criminal nature of his acts, and Eichmann was indeed normal insofar as he was 'no exception within the Nazi regime.' However, under the conditions of the Third Reich only 'exceptions' could be expected to react 'normally'" ([1963] 2006, 26-27).

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5   For a detailed account of the Katyn Massacre and its legacy, see Allen Paul (2010).

Thus, a person who remains 'normal' in Nazi Germany on Arendt's terms, is a person who resists the new abnormal norms of Nazi society. Bernie, in his opposition to the Nazis, is one of Arendt's exceptions, and his exceptional status as one who continues to try to act normally in the midst of extreme abnormality enables him to make sense of a place where normality and extreme abnormality sit side-by-side.

Franco Moretti says that "detective fiction, through the detective, celebrates the man who gives the world a meaning" (1988, 155). Bernie is the man who must give meaning to the world by finding a way to give meaning to the conviction of a rapist just a few miles from the scene of sanctioned mass murder. He must hold onto his personal code of pursuing justice regardless of the corruption, criminality and mass murder that surround him. Diemert suggests that there are places and circumstances, such as Minsk and Smolensk in the Bernie Gunther novels, where the search for a particular murderer is rendered "absurd" (2002, 334). Bernie's juxtaposition of the hanging of the German soldier for rape in one village and the mass murder of Jews a few miles away tests detective fiction to the limits of its power to describe the Holocaust. The use of irony to do this is a rhetorical move that asks a question, though the question is not a rhetorical one. It demands an answer and the answer to the question will determine whether or not the series is able to describe the Holocaust. Irony provides the only lens through which Bernie can make sense of this scenario. Without it, the scene would be as indescribable as Dachau was to him in *The Pale Criminal* ([1990] 1993). In the execution of the rapist, Bernie sees justice being done in the normal way, but it happens in the highly abnormal environment of genocide. Bernie's critically ironic eye enables him to establish the credibility of detective fiction as a means of writing about the Holocaust. His refusal to abandon his personal code and the pursuit of justice, even amidst the state-sanctioned mass murder of Jews, ensures that it is the genocide and not the conviction and execution of the rapist that is rendered absurd (and thus not normal) through their juxtaposition. Bernie's irony in this way helps him and the reader make sense of the scene, the normal and the highly abnormal are fused into a powerful image in which the unimaginable horror of the Holocaust becomes imaginable by presenting it as absurd. As narrator, Bernie Gunter has found a way of describing the Holocaust and made it imaginable, and thus in Bauer's terms, placed it within human history.

Bernie's irony in the novels, however, has not protected him from becoming not only complicit, but actively involved in the genocide, even if his involvement is brief and unwilling. The series is a fictional case study of how Nazi policy and political terror shaped the lives of all Germans; as Tom Lawson says, "the ordinary German population were in a very real sense both victims and perpetrators of a regime which did not confine its terrorism to Jews, as well as bystanders to anti-Jewish policy" (2010, 89-90). Bernie's feelings of guilt lead him to seek redemption and a redemption narrative cannot use irony, but requires a more serious and introspective tone. This new tone develops in the trio of novels that follows the Berlin Noir trilogy—books four to six

in the series, *The One from the Other* (2006), *A Quiet Flame* (2008) and *If the Dead Rise not* (2009)—and grows until it becomes the keynote of book seven *Field Grey* (2010). Bernie's haunting memory of the role he had to play in the genocide at Minsk pervades the novels, though the story of what he had to do there is revealed only in fragments through a number of the books. The telling of this story is complicated by the break with historical chronology in the series' two most recent titles. Eaglestone identifies complex time structures as characteristic of writing about the Holocaust (2004, 57). The decisive details are revealed in *Field Grey*, which in order of publication precedes *Prague Fatale* (2011) and *A Man Without Breath* (2013) in the series, even though in historical time it comes later, being set in 1954, thirteen years later than *Prague Fatale* and eleven after *A Man Without Breath*. It is the most reflective of the novels and it contains flashback sequences to various moments in the 1930s and 1940s, as it traces the story of Bernie's involvement in the genocide. The discussion here will follow historical chronology rather than order of publication, to show how what happened at Minsk becomes the defining experience of Bernie's life and contributes to the development of his character in the years that follow. The story unfolds slowly, first in brief references and later in greater and greater detail. Bernie's transfer from the SS special police battalion that he commanded is mentioned at the beginning of *Prague Fatale*, and more details are added at the beginning of *A Man Without Breath*, as these novels return to the war years and write between the lines of the original Berlin Noir trilogy, adding more detail to Bernie's story and filling gaps in his history. The events that led to his request for a transfer are narrated in fragments in books three, four and six, respectively: *A German Requiem* (1991), *The One from the Other* (2006) and *If the Dead Rise not* (2009), each adding more detail until the full story is finally revealed in *Field Grey* (2010), where Bernie is interrogated by American Military Intelligence at Landsberg Prison in Bavaria as a suspected war criminal. It is here that Bernie tells the story of his war experiences and makes his confession, giving his statement to two American military lawyers. Bernie is fully exonerated by the Americans on all charges. However, even though the Americans are satisfied that Bernie is not a war criminal, Bernie himself is not so sure.

Ian Kershaw distinguishes three distinct reactions to Nazi antisemitism among ordinary Germans: latent antisemitism, passive complicity and indifference (2008, 4-7). Bernie's role in the genocide at Minsk takes his involvement far beyond Kershaw's passive complicity and into active involvement. The first reference to Minsk appears in *A German Requiem* (1991). Bernie is at the Central Cemetery in Vienna and the military salute at a funeral he is attending reminds him of how he "had been summoned by the sound of gunshots [. . .] and had seen six men and women kneeling at the edge of a mass grave already filled with innumerable bodies" ([1991] 1993, 612-613). Then, twenty or so pages later, there is a brief reference to his request for a transfer to the front (634). Later, there is a very brief account of how he ended up in the SS, and he explains that "having no stomach for the murder of women and children," he asked again for

a transfer to the front (698). In *The One from the Other* (2006) the spectre of Minsk is raised once more in Bernie's consciousness. While he is working on a case involving a missing war criminal, he recounts his Minsk experiences to a Catholic priest, Father Gotovino, who is involved with helping fugitive Nazis escape from Germany (2006, 131-135). His thoughts return to Minsk again in *If the Dead Rise not* (2009) when Bernie is in Cuba in 1954 and recalls how he was framed for the murders of two women in Vienna in 1949. He says to himself: "not that I had murdered them [. . .] I haven't ever murdered a woman. Not unless you counted the Soviet woman I'd shot during the long, hot summer of 1941—one of an NKVD death squad who'd just murdered several thousand unarmed prisoners in their cells. I expect the Russians would have counted that as murder" (2009, 294).

A little later, when stopped at a military checkpoint outside Havana, Bernie sees the bodies of two men shot by security forces, and he has another flashback to Minsk in 1941, and this becomes the most detailed account so far. It is the first in which Bernie focuses explicitly on his own guilt about the Holocaust. He and his men executed all thirty members of an NKVD death squad that had just burned a prison full of white Ukrainian prisoners, killing all of them. The squad consisted of twenty-eight men and two women, most of whom were Jews and war criminals themselves. Bernie himself delivered the *coup de grace*, as he put it, to two of them, including one of the women (2009, 320). He then goes through the means he had of justifying it. It was war, the relatives of the prisoners had begged them to do it, and shooting them was less cruel than the burning to death to which they had subjected the prisoners, but to Bernie "it still felt like murder" (2009, 320).

Field Grey (2010), besides being the account of Bernie's war experiences, also includes the story of his association with Erich Mielke, the head of the East German *Stasi*.[6] The story of this association further underlines for Bernie the degree to which the Nazis have shaped his life. He is used, initially unwittingly, by the Americans in an attempt to capture Mielke. Bernie and Mielke have a long history and an ambiguous relationship, in the course of which Bernie has saved Mielke's life three times. The third of these rescues comes near the end of the novel when Bernie double-crosses the Americans so that Mielke can evade capture. Bernie states that he has nothing left from before the war but a broken chess piece, the head of a black knight. The reference to this black knight develops into an extended metaphor for the role Bernie has had to play under the Nazis. He says "the way I'd been played over the years I sometimes think a black pawn would have been more appropriate" (2010, 522). When Erich Mielke asks him why he has helped him to escape from the Americans, Bernie says "for twenty years I have been obliged to work for people I didn't like,"

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[6] Erich Mielke (1907-2000) was a German secret police official who worked for the Soviet Union and East Germany. He was one of two German communists who shot and killed two Berlin police officers in 1931. He escaped capture and prosecution by fleeing to the Soviet Union where he was recruited by the NKVD. He was head of the East German *Stasi* from 1957 to 1989.

and that now he simply wants to "read the newspaper and play chess" (2010, 561). Playing chess, Bernie will continue to be a black pawn, and Mielke a black knight.

The full irony of Bernie's situation is finally disclosed in this novel when the identity of the saviour who got him out of Minsk is revealed during his interrogation by the Americans. Bernie had been appalled at what he found himself involved in there, and desperate to escape further involvement, he made use of his friendship with his former commander and old friend from his *Kripo* days, the historical SS *Gruppenführer* and head of *Kripo* Arthur Nebe.[7] Bernie asked Nebe for a transfer to the front, where he expected to be killed. The transfer was granted, but instead of ending up at the front, Bernie is sent back to Berlin to work for the Wehrmacht War Crimes Bureau, where his job is to investigate both Russian and German atrocities. Bernie learns that his transfer was not simply a favour from his friend Arthur Nebe, for Nebe was in fact acting under orders from Reinhard Heydrich. Thus Bernie finds himself in the spectacularly ironic position of having been saved from having to participate any further in the worst of Nazi atrocities by one of the very worst of the Nazis and the chief architect of the Final Solution. More than once, Bernie refers to Heydrich as Mephistopheles, and this pact with the Devil on Bernie's behalf makes him Heydrich's favourite detective, sometime bodyguard and errand boy. Irony has turned full circle and ensnared its own master.

The exploration of Bernie's guilt in the books dealing with the post-war years, and the revelation of how he escaped from Minsk in *Field Grey* (2010), is followed in *Prague Fatale* (2011) and *A Man Without Breath* (2013) with a return to the war years as Bernie continues to rake over his past in search of redemption. Anna Richardson discusses the relationship between detective narrative and Holocaust narrative and argues that unlike mystery fiction, which offers the restoration of the social order through the solving of the mystery, the "reader of the detective story is instead offered consolation through the redemption of the detective" (2010, 169). It was argued above that his adherence to his personal code of pursuing justice even in the midst of genocide enabled Bernie to use irony to describe the Holocaust. A scene in *Field Grey* (2010) describes how his refusal to abandon the pursuit of justice, the solving of one more murder, offers Bernie the possibility of a path towards personal redemption. Bernie remembers a fellow prisoner at a prisoner-of-war camp in Ukraine, who was sentenced to twenty years hard labour and correction for calling Stalin a "wicked, Godless bastard" (2010, 330). Bernie wonders if the man is alive or dead, assumes that he is dead and decides he must get some sort of justice for him, for "that's the debt we owe the dead. To give them justice if we can. And a kind of justice if we can't" (331). If he can solve one more murder and give the dead justice in a world of mass murder and genocide, Bernie can

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[7] Arthur Nebe (1894-1945) was head of the Berlin *Kriminal Polizei* and a member of the SS, having joined the Nazi party in 1931. He led *Einstatzgruppe* B, which perpetrated mass murder in Ukraine and Russia. In 1944 Nebe was involved in the 20 July plot to assassinate Hitler. He was captured and executed in Berlin at *Plötzensee* Prison on 21 March 1945. In the Bernie Gunther series, Nebe survives the war and, living under an assumed name, is a member of the Org, a secret organization of ex-SS members.

retain his hope of redemption. However, he will never be able to solve enough murders to achieve redemption because no amount of murders solved can be sufficient penance for his guilt about the mass murder he was involved in. This guilt is augmented when a further twist is added to his story which questions the degree of agency that Bernie might have had to take greater control over his own fate. This last twist in the tale asks the reader to question the possibility of the redemption that Bernie seeks.

Throughout the series, Bernie is presented as a man who has had little choice. *A Man Without Breath* (2013) introduces the possibility that Bernie might have done something more than remain silent beyond his wisecracks and the casting of his ironic gaze over the Nazis. A scene at the novel's beginning confronts Bernie with the possibility that resistance might have been possible. It suggests to him that he, and ordinary Germans like him, might have had greater agency than he thought to stand up to the Nazis. The scene is based on the historical Rosenstrasse Protests that took place in Berlin in February and March 1943. It is another example, like the Eden Place Trial, where Bernie realizes he could never be a Nazi, of Kerr's use of a real historical event at a key moment in his character's story. A group of Jewish men married to German women were interned under the terms of the *Fabrikaktion* that came into force on 27 February 1943.[8] Among them is a friend of Bernie's called Franz Meyer. The men are released following protests outside the prison by their families, and those who had already been deported to the east were brought back to Berlin. The deportation of the privileged Jews broke the law and the success of the Rosenstrasse Protests saw real justice and a rare act of goodness being done. Bernie asks,

> What was happening here? What was in the minds of the government? Was it possible that after the huge defeat at Stalingrad the Nazis were losing their grip? Or had they really listened to the protests of a thousand determined German women? It was hard to tell, but it seemed the only possible conclusion [. . .] But if the protest really had worked, it begged the question, what might have been achieved if mass protests had taken place before? It was a sobering thought that the first organized opposition to the Nazis in ten years had probably succeeded. (2013, 28-29)

There had been no mass protests before this episode, but this incident, and the notion that resistance might have been possible in earlier times, exacerbates Bernie's feelings of guilt. And the redemption that Bernie sought through solving one more murder is questioned. It asks readers to look back and think again about the whole series and

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[8]   The *Fabrikaktion* (Factory Action) is the term for the roundup of the last Jews for deportation. 1,800 of the 6,000 men arrested and interned prior to deportation were so-called *Stoltzfus* or privileged Jews, a category exempt from deportation and other anti-Jewish measures through being married to German spouses hitherto employed as officials of the *Reichsvereinigung der Juden in Deutschland*, the Jewish organization officially recognized by the German government for the purpose of controlling the Jewish population. For a full account see Stoltzfus (2001).

question the degree to which its protagonist and narrator might have resisted rather than become not only complicit with, but actively involved in the Holocaust. In this light, the possibility of consolation for the reader through the detective's redemption that Richardson describes is called into question.

Another scene, a little later in the novel, appears to offer an explanation of why Bernie did not resist with more than a critically ironic eye. It concludes the sequence of the novel that began with the Rosenstrasse Protests, and like that scene, it throws further doubt on the possibility of reader consolation through the redemption of the detective. Early in the novel, Bernie is at the Jewish Hospital, where his friend Franz Meyer lies gravely injured after a bomb has hit his house during the party his family threw to celebrate his release from imprisonment after the Rosenstrasse Protests. Bernie thinks to himself that it is simply luck that it is Franz and not he himself who is lying in the hospital bed. He smiles at this, and the Gestapo officer standing next to him asks, "'what is amusing?' Bernie says 'I was just thinking that the important thing in life—the really important thing after all is said and done—is just to stay alive. Dobberke, the Gestapo officer asks, 'is that one of the answers?,' and Bernie replies, 'I think perhaps it's the most important answer of all'" (2013, 37). Just to stay alive is a motive that makes perfect sense, but as an answer it elides all of the moral questions the novels have explored. Those questions, in place since the end of the original Berlin Noir trilogy, however, remain.

If the desire to survive is the most important thing, it is a desire that focuses on personal motivation, and Bernie reflects on the relationship between personal and collective guilt. It is only such reflection that might offer an alternative explanation to the desire to survive. It will also be an explanation that does not sidestep the problem of guilt. Bernie must rise to this final challenge. Diemert sees Bernie Gunther's search for redemption in terms of a "potential sacrifice of self as a necessary step towards atonement for his own sin of silence" (2002, 245). Diemert's suggestion throws light on Bernie's seeking of death on the eastern front and his thoughts of suicide after his transfer from Minsk. However, it is not through death, but through insistence on understanding guilt as personal rather than collective that Bernie continues to pursue his hope of redemption. Moretti addresses this same distinction when he claims that "detective fiction [. . .] exists expressly to dispel the doubt that guilt might be impersonal, and therefore collective and social" (1988, 135). Bernie speaks of this opposition when he meditates on Germany's guilt and his own, at the end of the third book, *A German Requiem* (1991), when he says: "but it is certain that a nation cannot feel collective guilt, that each man must encounter it personally. Only now did I realize the nature of my own guilt—and perhaps it was really not much different from that of many others: it was that I had not said anything, that I had not lifted my hand against the Nazis" ([1991] 1993, 733-734).

This assertion is a direct challenge to the more commonly held view on Holocaust guilt and remembrance, which is expressed by, among others, Bernhard Schlink, when

he says: "when we speak of guilt about the past, we are not thinking of individuals, or even organizations, but rather a guilt that infects the entire generation that lives through an era—and in a sense the era itself" (2010, 1).

Bernie's challenge to the belief in collective guilt and his assertion that guilt must be encountered personally does not mean that there is no such thing as generational or national guilt. Rather, it means that within the guilt that is attributed to and belongs to the Nazi generation, there can only be the possibility of collective redemption if guilt and culpability are faced personally by each member of that generation. The Bernie Gunther novels explore this question through their uses of irony in the attempt to describe the Holocaust. When that irony reaches the limits of its representational power, the series turns its attention to its protagonist's guilt about his role in the Holocaust. The series then introduces a redemption narrative that explores the possibility of achieving personal redemption after the Holocaust in a society in which no individual was able to escape the taint of the Nazis and everyone became complicit with the crimes they perpetrated. In the aftermath of that, Bernie Gunther is the detective who wished to oppose the Nazis, but ended up their accomplice. If he is to achieve the personal redemption he seeks, he must redeem the criminal and murderer the Nazis have turned him into, and become again the detective who solves murders and restores justice. His insistence that each man must encounter his guilt personally and his identification of his guilt as his failure to lift a finger against the Nazis means that he will always have to solve one more murder, because only one more will never be enough. Through its exploration of the uses of irony the Bernie Gunther series offers an example of how crime fiction can confront the Holocaust. However, the very irony that enables that confrontation also calls into question the possibility of the protagonist's redemption.

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Dr. Anthony Lake is Assistant Professor in the Department of Humanities and Social Sciences at Khalifa University, Abu Dhabi, UAE. He gained his DPhil in English Literature at the University of Sussex in 1997. He has taught at universities in the UK, Turkey, Jordan and the UAE. His current research is concerned with the representation of the Holocaust in contemporary historical crime fiction. His publications include articles on Sir Walter Scott, Lord Byron and E. M. Forster.

Address: Department of Humanities and Social Sciences. Khalifa University. PO Box 127778. Abu Dhabi, United Arab Emirates. Tel.: +971 50 716 8753.

The Rise and Fall of the Horse Dreamer
in Sam Shepard's Drama

ANA FERNÁNDEZ-CAPARRÓS TURINA
Universitat de València
ana.fernandez-caparros@uv.es

Whereas several theatrical works show Sam Shepard's longstanding fascination with horses, none of them until the premiere at the Abbey Theatre in 2007 of *Kicking a Dead Horse* had brought a dead equine to the stage. The striking stage image of the cadaver of a horse dominating the stark setting and the figure of the horsekicker is critically assessed in this article, establishing a comparison with its kindred predecessor, the dreamer of horses in *Geography of a Horse Dreamer* (1974). Beyond the most obvious connection between these plays, the fact that actor Stephen Rea played the main role in them both, their evolving representation of the animal and the characters' engagement with it all deserve critical attention as they become a metaphor which reveals the transformations in Shepard's latest style of theatre. The trope of the horse dreamer is associated with creative freedom. The dramatization of the loss of American dreams in both plays reveals their divergent stance on human imaginative potential and also on the creative process, as the "style of dreaming" is closely related to the style of writing.

Keywords: Sam Shepard; horses; dreams; imagination; animal studies

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El ascenso y la caída del soñador de caballos
en el teatro de Sam Shepard

Varias obras teatrales escritas por Sam Shepard muestran la fascinación del dramaturgo por los caballos. Sin embargo, en ninguna de ellas hasta el estreno de *Kicking a Dead Horse* en el Abbey Theatre en 2007, había aparecido el cadáver de un caballo como el que domina la austera escenografía de este monólogo teatral. La impactante imagen teatral del caballo y de la figura del pateador son analizadas en este artículo comparándolas con aquella otra figura clave en la obra de Shepard a la que remiten, el soñador de caballos de

Geography of a Horse Dreamer (1974). Más allá de la conexión más explícita entre estas dos obras, el hecho de que en ambos estrenos Stephen Rea interpretara el papel protagonista, la transformación en la representación del animal y en el modo en el que el personaje se relaciona con éste merecen atención crítica, pues se erigen en una metáfora de cómo ha evolucionado el estilo teatral de Shepard desde los setenta hasta el siglo XXI. El tropo del soñador de caballos está asociado a la libertad creativa en la obra de Shepard y, por ello, la pérdida de los sueños americanos que ambas obras dramatizan revela posiciones divergentes frente a la imaginación humana y frente al proceso creativo, pues el estilo de soñar refleja estilos diferentes de escritura.

1. Introduction

> Of all the damn things—all the things you can think of—the preparations—endless lists. All the little details, right down to the can-opener and the hunk of dental floss you throw in just for the heck of it—All the forever thinking about it night and day—weighing the pros and cons—Last thing in the world that occurs to you is that the fucking horse is going to up and die on you!
>
> (Sam Shepard, *Kicking a Dead Horse*)

The very first words uttered by Hobart Struther in Sam Shepard's dramatic monologue *Kicking a Dead Horse*—"Fucking Horse. Goddamn" (2007, 10)—set the tone of what, at the beginning of the performance, looks like a ferocious and uncontrollable rant delivered in an emotionally extreme situation. These words, however, do something else: they place an animal at the centre of the dramatic conflict. The magnificent creature's blunt presence alongside the play's protagonist unmistakably reinforces this perception. Several theatre works—*Geography of a Horse Dreamer* (1974), *True West* (1980), *Simpatico* (1994)—and the 1988 film *Far North* had previously shown the American playwright's longstanding fascination with horses, but none of them until the opening in 2007 of *Kicking a Dead Horse* had brought a dead equine to the stage. Lying bare amidst a light giving the effect of "a distant, endless horizon in flatlands" (Shepard 2007, 9), the body of the dead animal, laid out on its side and with "all four legs pointed stiffly towards the upstage wall" (9), dominates the stark setting originally designed by Brian Vahey, and becomes a privileged nodal point within the scenic field. The fallen horse, the man in his mid-sixties and the huge dark pit downstage centre with mounds of fresh earth on either side of it compose a powerful stage image whose impact acquires an extraordinary relevance in Shepard's *oeuvre*.

Kicking a Dead Horse was first performed on the Peacock Stage of the Abbey Theatre, Dublin in March 2007. Whereas the interpretative talent of the Irish actor playing the role of Hobart Struther, Stephen Rea, was unanimously celebrated after his performances in Dublin and those following at London's Almeida and New York's Public Theatre, the play's dramatic potential was, on the contrary, questioned from its premiere onwards. The play builds up much of its strength from its opening tableau, but "nothing in the play really improves upon that starkly eloquent initial image" (Isherwood 2008, n.p.). The horse cadaver and the cowboy-turned-gravedigger were considered by theatre critics too literal a metaphor for the death of the American West. As Miriam Felton-Dansky noted in her review for *Theatre Journal*, meaning, which had been buried in the best of Shepard's work "often literally, under layers of dirt or in America's forgotten backyards", was here "no longer oblique but deliberately transparent" (2009, 107).

In spite of the straightforwardness of the symbolism associated with this theatrical image, what animal life brings to the stage in *Kicking a Dead Horse* deserves further examination. As I will argue in this article, the evolving representation of horsemanship in Sam Shepard's drama becomes a crucial trope signalling a profound transformation in the playwright's latest style in the theatre. The dead animal inevitably embodies a demise and acts as the catalyst for a deeply felt elegy. But what the elegy is ultimately for might not actually be the loss of the "particularly contested space" (Kollin 2007, xi) of the American West and the shifting meanings associated with it, but rather the loss of the ability to keep *dreaming* of it. The dead weight of the horse annihilates the fulfilment of the envisaged adventure of "setting out like Lewis and Clark across the wild unknown" (Shepard 2007, 19) that had caught Hobart Struther's imagination in the planning stage of his trip. However, despite his initial rage towards it, it is not the horse's passing that is eventually condemned by the protagonist as the reason for his failure, but his own image-making ability: his condition as "fantasist," to use a Shepardian term (Shepard 1984, 27). Within Shepardian poetics, the body of the dead horse has an added dimension, for it wipes out and brings to an end what for decades had constituted an enduring concern and exploration for Shepard: the envisioning of American dreams, an enterprise as delusive as it was full of potential in its heuristic force. As Michael Billington hinted in his review of the production at the Almeida Theatre, "superbly performed by Stephen Rea, the piece may not tell us anything radically new about Shepard, but it feels like the end of a lifetime's journey" (2008, n.p.).

Relying on the critical paradigm of zooësis, which studies the full array of animal representational practices, Una Chaudhuri suggests that despite its looming large and literal on the stage, the horse cadaver in *Kicking* is a powerful presence, one that contributes to a key program of zoontology: challenging the anthropocentric structures that dominate both Western thought and theatrical practice (Chaudhuri 2009, 522). Like those in Edward Albee's *The Goat, or Who is Sylvia?* ([2002] 2004) and Martin McDonagh's *The Lieutenant of Inishmore* ([2001] 2003) the human/animal relation presented in Shepard's play manages to produce what Calarco (2008, 118) calls an "interruptive encounter" (quoted in Chaudhuri 2009, 522), that is, a relationship or an engagement going beyond the ordinary. Indeed, the death of the Other might be the most interruptive event we could be faced with. In Shepard's play the passing of the animal both interrupts and impossibilitates the dreamed "quest for AUTHENTICITY" (Shepard 2007, 12) that Struther had envisaged. According to Chaudhuri, the death of the horse eventually "propels, the living human who confronts it into a self-examination in which the contours of personality give way to those of ideology" (Chaudhuri 2009, 523) and she also convincingly argues that the animal Hobart Struther contends with also "activates in him an unexpected animality of his own" (523). The unexpectedness of this particular engagement with the animal will be the starting point of the investigation presented here, though what will be addressed directly are the implications within Shepardian poetics of

conceiving a character who is defined primarily as a horse kicker, and who must be thus inevitably associated with its kindred predecessor, the horse dreamer in *Geography of a Horse Dreamer*.

Many are the connections between the two plays and their protagonists: despite their deep concern with American imagery and myths, both *Geography* and *Kicking a Dead Horse* were conceived to be first performed outside the United States, in London and in Dublin respectively; but it is, above all, the casting of Irish actor Stephen Rea, who played both the role of Cody in the production of *Geography* at the Theatre Upstairs space of the Royal Court in 1974 and the part of Hobart Struther in *Kicking* that creates the strongest connection between these dramatic works. *Kicking a Dead Horse* (2007) was in fact written for and dedicated to Rea, and with it, thirty-three years after the premiere of *Geography*, Shepard was deliberately turning the once visionary transatlantic dreamer of horses into a hopeless and marooned abuser, and radically reconsidering and dismantling the imagery that had once defined his theatre. As simple as it may appear, the engagement with the horse becomes in both plays a more complex trope than it appears at first sight, for it is deeply associated with human imaginative potential. In order to understand the significance and the implications of the connection established by Shepard between horse dreaming, horse kicking, imaginative freedom and loss of inspiration, I propose an analysis that, in its intent to critically assess the relationship between the animal and the human that these plays pose, is grounded within the critical frame of Animal Studies and relies deeply on the cultural meanings attributed to horses, especially in American culture. On the other hand, given the metacreative discourse these related works contain, I also build upon certain philosophical and literary conceptualizations of dreams. The combination of these critical perspectives, prompted by the texts themselves, offers a deeper understanding of these works' complexities and a fresh perspective upon Shepard's evolution as a playwright, for one's style of dreaming, these plays suggest, is intimately connected to one's style of writing.

2. THE ART OF HORSE DREAMING AND ITS LOSS

> For the wild horse is, in a sense, a domestic invention, giving us a way of imagining what it would be like to be free and to wander with the herd in the field of our dreams.
>
> (J. Edward Chamberlin, *Horse*)

> A poem of dreams is a poem of loss. (Herschel Farbman, *The Other Night*)

Given the metaphorical potential of the theatrical medium, either the evocation of horses or their stage presence acquires a powerful symbolical meaning. A majestic creature, the horse has always held a special position in the hierarchy of the animal

kingdom. The spirit of horses, Chamberlin (2006) has argued, is a spirit that haunted human imagination thousands of years before they were valued for their speed and strength, as the Paleolithic paintings and carvings in the caves of Lescaux, Niaux, Pech Merle, Cosquer and Cougnac demonstrate. Until the twentieth century, the horse was central in almost all human occupations: hunting, agriculture, transportation, commerce and warfare. But despite its demise as a workforce when the whole world changed in the early twentieth century, the perception of this animal's extraordinary sturdiness has remained. The physical alliance of man and horse "extends to a special symbolical relationship for, in mastering the art of equitation, man invests himself with precisely those attributes of grace and power for which horses are known" (De Montebello 1984, 7).

In 1998 Kevin Sessums asked Shepard about his passion for horses and the playwright explained that "if you get up on a horse and see what kind of ground you can cover and all the rest of it, you'll see that there is a completely different feeling from being earthbound. There's just an amazing sense—not so much of power, but you are just in a different relationship to the earth" (Sessums 1998, 76). In his cultural history of how the horse has shaped civilization, Chamberlin suggests that maybe our fascination with horses began with what comes "naturally to them, like finding their way home in the dark" (2006, 252), a skill that has something to do with their eyes but also with something more mysterious, comparable to migrating birds finding their way home across continents and oceans every year, "[o]r did we become fascinated with horses when they fulfilled one of our oldest dreams, flying in the air even as they remained earthbound, just like us?" the author insists (Chamberlin 2006, 252). The feeling of flying while remaining close to the ground is precisely what makes Kevin Sessums compare Shepards' plays to a sort of Pegasus, as they are, he believes, "[s]weaty animals with nostrils and flanks, yet they seem to be able to sprout wings and take off. They contain a hooved spirituality" (Sessums 1998, 78). While this reading could be applied also to most Shepardian male characters, the identification of imaginative flight with a horse running in search of home was only fully articulated in *Geography of a Horse Dreamer* (Shepard [1974] 1984). In it the act of dreaming was for the first time quirkily professionalized and romantically identified with genius. In making horses the object of dreaming, thus delineating a specific object of the dream, and in connecting imagining, horse riding and creative freedom, the play was also spatially mapping out the potential powers derived from freely riding the imagination with the vast territory that can be covered on horseback, and moreover, culturally marking this activity as a truly American enterprise.

The theatre of Sam Shepard has been, from the beginning of his career as a playwright in the 1960s, populated by daydreamers and fantasists: Stu and Chet playing cowboys and indians in the unpublished *Cowboys* (1964) and in *Cowboys#2* (1967); Stu in *Chicago* (1964), sheltered in a bath tub yet reveling freely in an

imagined pool of water full of exuberant and ominous marine life; the apocalyptic visionaries transforming fireworks into an out of control nuclear spectacle in *Icarus's Mother* (1965); or Kosmo and Yahoodi in *The Mad Dog Blues* (1971) bringing to the stage their pop-culture visions, to name a few examples. Experimenting under the freedom provided by New York's Off-Off-Broadway scene, the playwright let his characters fantasize on stage, making them simply narrate, at the beginning, what they imagined and envisioned. With this simple strategy he intuitively found an ideal resort to opening an unlimited space in which to depart from the dissatisfaction of the familiar, to pursue adventure and experiment with form. The performance of these bizarre characters was often infantile musing but it was found appealing by young audiences and, crucially, by several theatre critics such as Michael Smith, Elinor Lester and Elizabeth Hardwick. Most importantly, their frenzied reveries enabled these fragmented characters to enact, at least temporarily, the "imaginative ideal" (Klinkowitz 1980, viii) that characterized the *zeitgeist* of the era and to affirm the demands that so characterized the mid-sixties counterculture: achieving a sense of possibility against the givenness of things and getting out on the edges of the only frontier left in America, a person's own mind and senses.

In the early seventies Shepard moved to London and premiered three major plays as playwright in residence at the Royal Court Theatre between 1971 and 1974: *The Tooth of Crime* (1972), *Action* (1974) and *Geography of a Horse Dreamer* (1974). The latter has been generally considered the minor of the three, a naive metaphor for the conflict of the artist caught "between personal vision and social exploitation" (Wetzsteon 1984, 14). Yet, regardless of its nature as a work playing for "more modest stakes" (Chubb [1974] 1981, 199) than *The Tooth of Crime*, as the playwright recognized, with it Shepard fashioned a compelling character, the horse dreamer, whose symbolic resonance is captivating. Like other expansive characters of American literature, it was a character bathed in the myths of American history, carrying, in Richard Poirier's words, "the metaphoric burden of a great dream of freedom—of the expansion of the national consciousness into the vast spaces of a continent and the absorption of those spaces in ourselves" (1966, 3).

Described in the published edition as a "mystery in two acts" (Shepard [1974] 1984, 277) and fantasizing a "melodramatic *film noir* scenario" (Callens 2007, 227), *Geography of a Horse Dreamer* deals with Cody, an American man named after Buffalo Bill and gifted with the ability to predict the outcome of horse races, an artistry so valuable and precious as to become an unmatchable source for profit, potentially worth "a quarter of million bucks in a day" (Shepard [1974] 1984, 281). Kidnapped by a gang of British gamblers, the professional dreamer is held blindfolded and with his arms and legs handcuffed to the bedposts of a hotel bed in some unidentified place in Great Britain. In the first act, "The Slump," Cody's natural gift as a horse dreamer has faded and the impatience of his bodyguards, Beaujo and Santee, who receive orders from the mysterious and absent Fingers, grows and grows as they seem

unable to find a way for Cody's inspiration to come back. It is only when the captive attunes himself to his new surrounding environment that he manages to dream again the winners: this time, however, they are greyhounds competing at London tracks.

The play has generally been read as a clear theatrical translation of the playwright's biographical circumstances at the end of his English sojourn, "a thinly disguised metaphor for Shepard's frustration" (Bottoms 1998, 98) lacking the allusive richness of his best work. For DeRose, it put forward a transparent stage allegory: "Cody represents Shepard, the artistic cowboy genius who wishes to return to his old home and ways but who has been kidnapped by commercial entrepreneurship and forced into creative slavery" (1993, 60). *Geography of a Horse Dreamer* is indeed, after *Melodrama Play* (1968) and *The Tooth of Crime* (1972), a further variation on the theme of their creator under the pressure exerted by the market. But if it can be read as a fictional fantasy reflecting the author's anxieties, the strong cultural self-awareness Shepard derived from being an expatriate in Europe also produced an acute meta-theatrical awareness at whose centre stands the complexity of dreaming things. Shepard's subject is also, as Brenda Murphy notes, the artist's imagination and "the danger of 'messing with it'" (2002, 126). Against limited biographical interpretations, the latter shift in emphasis in the critical perception of the work draws attention to the play's unprecedented concern with and yearning to understand the writer's imagination and its process.

That Shepard should conceive a dreamer of horses in order to explore the artist's imagination is of utmost importance. Not the least of the play's achievements was to intuitively conflate a conception of dream as movement with the evoked image of galloping horses, as the spirit of a horse is also "embodied in movement" (Chamberlin 2006, 33). Horses, the longed for object of Cody's revelatory dreams, are never seen on the theatrical space. Shepard relies instead on his predilection to use words as "living incantations," that is, on language's capacity "to evoke visions in the eye of the audience" (Shepard 1977, 53) to summon them as dreamed entities. Before the opening "in the darkness the sound of horses galloping at a distance is heard" (Shepard [1974] 1984, 279), stage directions indicate. After that, "a slow motion color film clip of a horse race is projected just above Cody's head on the rear wall" (279), which lasts for a short time until the protagonist wakes up with a yell and the action starts.

The play is from the very beginning a lament for a loss, identified primarily as a loss of the internal space "where the dream comes" (Shepard [1974] 1984, 283) and the animal once emerged: "a huge blue space", as Beaujo, one of the bodyguards, explains, where "in the distance you'll see'em approaching the quarter mile pole. The thunder of hooves. Whips flying. The clubhouse turn" (288). This space, as Cody argues, "It's gotta be created [. . .] It's very delicate work, dreaming a winner. You can't just close your eyes and bingo! It's there in front of you. It takes certain special conditions. A certain internal environment" (285). The plot seems to suggest that the external environment plays also an essential role as a source of inspiration, and

that the limitations imposed upon Cody's physical mobility and a shabby immediate environment are accountable for the loss of the dreamer's gift as they fail to provide a proper housing for expanded states of consciousness.

Cody's rare gift for visionary revelation in night dreams is naively perceived by his captors as a holy gift. While divination in sleep was already regarded by Aristotle as something to be neither lightly dismissed with contempt, nor given confidence, the Greek "philosopher, however, stressed" the "unreasonableness" of combining the idea that "the sender of such dreams should be God with the fact that those to whom he sends them are not the best and wisest, but merely people at random" (Barnes 1984, 736). For all the seeming ingenuity found in *Geography*—derived from conceptualizing the experience of the dreamer and connecting it firstly with divination and secondly with the nineteenth-century Romantic conception of genius, described in the text as his being "capable of living in several worlds at the same time" (Shepard [1974] 1984, 305)—the correlation established in the play between the loss of dreams with the loss of artistic inspiration is concomitant with twentieth-century dream theories associating dreaming with a kind of writing—from Freud's description of the dream as a "pictographic script" ([1899] 1953, 277) to Maurice Blanchot's conceptualization of the space of the dream as "the *other* night" ([1955] 1989, 163-170; emphasis in the original). Interestingly, in a letter dated 1972, Shepard wrote to Joseph Chaikin: "I've come down to the understanding that what I've done up 'til now has been in sleep. All my writing seems to have the same value as any product from any sleeping person" (Daniels 1989, 5). Standing in opposition to the figure of the sleeper, the fact that the writer should rather choose a dreamer to raise a deeper awareness of the creative process endorses Blanchot's understanding of the dream as a kind of nocturnal waking and an extreme restlessness, "in the heart of oblivion [. . .] memory without rest" ([1955] 1989, 164), or, as Herschel Farbman explains, "a resistance to sleep in the very heart of sleep" (2008, 3), thus ultimately and essentially, a deferral of death.[1] The uneasiness of the loss of the dream, a dream that will never be witnessed by any other person, also becomes a perfect expression of the anxiety of the writer, since only fiction, Farbman (2008) argues, can represent the space that opens up behind the closed eyes of the sleeper, the space where her/his heart wakes.

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[1] Complete sleep would be death. Farbman explains, in his interpretation of Blanchot's conception of the dream, that "the impossibility of complete sleep thus defines sleep in opposition to death, which it closely resembles. The dream is the very image of this impossibility" (2008, 3). If, as he further argues, the *1001 Nights* in which Scherezade's stories "keep the sultan awake and the storyteller alive, can be read as an allegory of the death-deferring function that dreaming performs every night, for everyone" (Farbman 2008, 3), in Shepard's *Geography of a Horse Dreamer* Cody's loss of the desired dream space is precisely what provokes a death threat for him.

3. The Horse Kicker

> But maybe all it ever is, is blinded by the dreaming of what may have become.
> (Sam Shepard, *Kicking a Dead Horse*)

Both the title of *Kicking a Dead Horse*, and the explicit violence exerted repeatedly upon the body of the animal on the stage by Stephen Rea as Hobart Struther seem in direct opposition to his performance as the romanticized figure of Cody in *Geography of a Horse Dreamer*. As different as their engagement with horses seems to be at first in these plays, the disparity between the two characters is only deceptive: both pieces in fact dramatize, albeit in different ways, their protagonists' collapse as dreamers. In both cases horse dreaming and its loss articulates a deeper meditation on the creative force of imagination and its equally delusive potential. This confirms Gerry McCarthy's perception that Sam Shepard is a stage dramatist with an extraordinary instinct for the imaginative modalities of the theatre: not as a visionary, for he is not, but because he is concerned "with ways of seeing and being within theatrical space and time" (1993, 58) and, to no lesser degree, with the visionary ideal of American culture. In both works—confirming Chamberlin's insight that the wild horse might be a domestic invention giving us a way of *imagining* what it would be like to be free and wander with the herd in the field of our dreams—the idealized space of a dream where a horse emerges is evoked as preceding and determining the stage action, which dramatizes instead the effects of the loss of that dream (2006).

Both protagonists, bereft of their dreams of galloping across the Great Plains, develop, as suggested by Una Chaudhuri (2009), an intriguing animality of their own. In the second act of *Geography of a Horse Dreamer*, despite the initial comforting relief derived from the recovered gift for prediction—which guarantees Cody more liberty from his captors who now allow him to freely move around a fancier hotel room— the switchover from his own "style a' dreaming" (Shepard [1974] 1984, 288) to a completely different one has eventually shocking consequences. As Stephen Bottoms (1998) remarks, the shift from horse dreaming to dog dreaming is a debasement of sorts despite Shepard's enthusiasm for his new English hobby of greyhound racing.[2] This is evident "in the way Cody's speech patterns shift from a dreamy, romantic tone when envisioning horses, toward the hard-nosed commercialism of his captors when discussing dogs" (Bottoms 1998, 99). The danger of interfering in the creative process, what has already been hinted at in the first act, is radicalized in the second one through Cody's transformation: while, at the beginning, he is actually capable of distinguishing future winners among the competing greyhounds, he gradually loses control both of the situation and of his own mind until he finally ends up behaving

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[2]   While living in Hampstead, Shepard, fascinated by the world of dog racing, actually bred his own greyhound, Keywall Spectre, an Irish dog bought for £200 (Shewey 1997, 86).

like a scared dog himself. There is something brutally painful in the violence with which this transformation occurs, as we see him moving frantically across the stage escaping from the newcomers, "crashing over furniture and smashing into the walls" (Shepard 1984, 299) and then whimpering in a corner, yapping "like a dog who's being whipped" (Shepard 1984, 302).

Cody's canine metamorphosis in *Geography of a Horse Dreamer* is the symbolical result of his fellow humans' exertion of physical force and psychological intimidation, and thus quite different from Struther's "animality" in kicking the inert body of a horse in the subsequent play. As striking as his aggressive behaviour at the beginning of the play is, it proves ultimately to be a harmless reaction produced by his frustration.[3]

Unlike the invisible yet potentially liberating dream of horses, the body of the animal in *Kicking a Dead Horse*—asserting what Stanton Garner refers to as "a powerful materiality and a density both semiotic and phenomenal" (1998, 56), as befitting objects on a stage—bears an unquestionable burden of signification. As a stage prop, unlike the symbolic, stylized and disturbing equine figures in Peter Shaffer's controversial *Equus* (1973), Shepard states that his horse is meant to be "as realistic as possible with no attempt to stylise or cartoon him in any way. In fact it should be a real horse" (Shepard 2007, 9).[4] In its rigid materiality, this horse unambiguously embodies, albeit unexpectedly, what Struther was in search of, a literal actuality. Its immobility will elicit the paralysis the incapacitated rider will be forced to confront. And if the cadaver becomes the very embodiment of Struther's failure, it also asserts the implacable gulf between the real and the imagined: its presence highlighting the precariousness and instability of images in the human mind, reaffirming, then, a perception of imagination as a repertory of the potential, of the hypothetical, of what is not, has not been and maybe won't ever be, but could have been. Struther exclaims, as he commences his monologue: "You ask yourself, how did this come to be? How is it possible? What wild and woolly part of the imagination dropped me here? Makes you wonder" (Shepard 2007, 11). In the unfolding and relentless act of self-interrogation that follows, the emerging answer to that question seems to be nothing other than nostalgia.

Struther is described in the stage directions as a man in his mid-sixties wearing "rumpled white shirt, no tie, sleeves rolled up, no hat, baggy dark slacks, plain boots for riding but not cowboy boots" (Shepard 2007, 10), and the author insists that rather than making him look like a cowboy, he should appear as more of an "urban

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[3]   Like in *Far North* where Bertrum, for all his desire to be avenged (Shepard [1988] 1993, 57), is eventually incapable of shooting Mel—the old horse that caused him to fall off his buckboard and end up in hospital—in *Kicking a Dead Horse*, Hobart Struther also demonstrates that, in his own words, he is not that callous, and "can't just leave [the horse] out here to rot in the ragged wind. Let the coyotes and vultures rip him to ribbons" (Shepard 2007, 18).

[4]   In *Equus*, stage directions specify: "Any literalism which could suggest the cosy familiarity of a domestic animal—or worse, a pantomime horse—should be avoided" (Shaffer 1973,14).

businessman who has suddenly decided to rough it" (Shepard 2007, 10). Struther, in fact, he soon tells us "in the somewhat florid style of the classic narrative" (14), made a fortune as an art dealer raiding "every damn saloon, barn and attic west of the Missouri—north and south; took semi-load of booty out of that country before anyone even began to take notice" (17). He had become, "quite the big shot on the block" (14), but despite the ecstasy of power, the thrill of the kill had finally eluded him, making him engage in a "constant hankering for actuality" (14), for a sense of being inside his own skin. And as his "little conundrum mounted slowly into a frantic state of crisis" (Shepard 2007, 16) prompted by the sudden feeling of indomitable aging and, awareness of birthdays flying by, he estimated that he had "ten years left to still throw a leg over a horse, like I used to; still fish waist-deep in a western river; still sleep out in the open on a flat ground under the starry canopy—like I used to" (Shepard 2007, 16).

Johan Callens (2007) has convincingly argued that *Geography*, conceived during Shepard's four-year stay in London, bears ample evidence of nostalgia, a feeling that rather simply defined expresses a yearning for the past, but when reinvented as a function of present needs, and further molded by the hope of fulfilling those needs, makes reality "infused with a two-faced utopianism (past and future directed)" (2007, 217). In both *Geography* and *Kicking* the longing for a dreamed of American West stands as the clearest sign of this utopianism, for it is a dream of an escape into a literal *u-topos*. Shepard's, however, is at best "neither a monolithic nor naive but a divided, self-conscious and critical nostalgia" (219). This is the case in *Kicking a Dead Horse*, where Struther's monologue starts as a familiar jeremiad, but turns into a monologue of split-personae, whose self-deprecating, divided voices relentlessly enact both a sharp self-indictment and a cultural critique: a "distinctly masculinist lament for the robust values and healthy pleasures of a mythic American past of freedom and natural living" (Chaudhuri 2009, 523). The conflation of personal remorse with a collective national guilt elicits, eventually, a dismantlement of the pastoral dream towards the recognition instead of the devastating effects of the imperialist colonization and commodification of the West:

> We closed the frontier in 1890-something, didn't we? Didn't we already accomplish that? The Iron Horse—coast to coast. Blasted all the buffalo out here. An ocean of bones from Sea to Shining Sea. Trails of tears. Chased the heathen redman down to Florida. Paid the niggers off in mules and rich black dirt. Whupped the Chinese and strung them up with their own damn ponytails. Decapitated the Mexicans. Erected steel walls to keep the riff-raff out. Sucked this hills barren of gold. Ripped the top soil as far as the eye can see. Drained the aquifers. Dammed up all rivers and flooded the valleys for recreational purposes! Run off all the pathetic small farmers and transformed agriculture into 'agribusiness!' Destroyed education. Turned our children into criminals. Demolished art! Invaded sovereign nations! What more can we possibly hope to accomplish? (Shepard 2007, 43)

Yet, the audience's assessment, in hindsight, of Struther's utopian journey as an enterprise inevitably doomed to fail is more harshly censured as an act of individual responsibility than as an effect of the surreptitious influence of collective mythologies regarding the conquest of the West. Shepard had already begun the ideological unravelling of these mythologies, especially those promoted by Hollywood westerns, in *True West* (1980) and in the film script for Wim Wender's *Paris, Texas* (1984). In *Kicking* this process is brought to an end when Struther, in his unforeseen role as gravedigger, eventually finds himself digging down into himself to reveal what had made him believe that his adventure and quest for authenticity would have ended otherwise. Interestingly, in the typically Shepardian intertwining of a male character's existential crisis with the playwright's longstanding "preoccupation with the power of delusive representations" (Callens 2007, 172), the first act of criticism is articulated through allusion to those nineteenth-century artists who first shaped the picture of the West with "rugged cowboys, hard-riding bronco busters, fierce Indian warriors and devil-may-care cavalry men" (Watkins 2008, 232), which was later appropriated by television producers and Hollywood filmmakers: Frederic Remington (1861-1909) and Charles Marion Russell (1864-1926).

Struther would never have realized, he confesses, how their "old masterpieces would become like demons" (Shepard 2007, 17). The character's account of his ordeal in being haunted by the paintings of his collection of Western American art is hilarious—especially when he recalls hurling valuable objects of art out the window "into the lush canyon of Park Avenue: Frederic Remingtons wrapped around the lamp posts, for instance; Charlie Russells impaled on bus stops signs, crushed by maniacal yellow taxis" (Shepard 2007, 17). The art dealer's torment seems to attest to the endurance of the crucial cultural impact achieved by these artists in blending history and myth into an iconic image, which bestows value to their art beyond their aesthetic appeal. Yet the persistent captivating force of these series of paintings can only be ironic considering that Remington's and Russell's depictions of the American West were already recognized, at the time of their composition, as being filled with nostalgic longing and regret for a past that might have never existed, a morally flawed real West that they made heroic and time-suspended. Art critic William A. Coffin (1892, 348) wrote that "it is a fact that admits of no question that Eastern people have formed their conceptions of what the Far Western life is like, more from what they have seen in Mr. Remington's pictures than from any other source" (quoted in Watkins 2008, 233). A century later, it is hard to believe that anyone setting out for the West in modern times would hope to find anything close to what is portrayed in those hundred year old pictures showing "nostrils flaring, Colt revolvers blazing away" (Shepard 2007, 18).

However romantic and ingenuous this belief might be, the cultural references contained in the text of *Kicking a Dead Horse* are particularly successful in evoking the collectively shared images of valiant horsemanship, against which backdrop the

ominous, immobile body of the horse on the stage is contrasted. For instance, the big action in a wide space portrayed in Frederic Remigton's well known *A Dash for the Timber* (1889), the oil on canvas now held at Amon Carter Museum (Fort Worth, Texas), depicting a group of cowboys pursued by Indians galloping toward the viewer across a dusty plain (see Figure 1). The magnificently portrayed cavalry featuring in Russell's and Remington's paintings converges in Struther's imagination with the dream of his old horse, "this horse right here" (Shepard 2007,18), which is in fact the colt he had left behind before his success trading paintings of the American West. At a certain point, we learn that in fact Struther had started dreaming of his old colt of which, he reveals, "[k]ept visiting me night after night. Just appearing in the dark—standing there with all his tack on—waiting—beckoning with his big brown eyes" (Shepard 2007, 18). Although the protagonist admits he took the dream as a kind of omen, he would have reconsidered his whole adventure had he known "how short he was going to last" (Shepard 2007,18). He might have also given it a second thought, moreover, had he foreseen that the imagined landscape of the prairie would have actually become the depleted, Beckettian desert void in which he eventually finds himself.

Figure 1. Frederic Remington, *A Dash for the Timber* (oil on canvas, 1889)
in Amon Carter Museum of American Art, Forth Worth (Texas)[5]

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[5] http://www.cartermuseum.org/remington-and-russell/artworks/261 [Accessed online on May 13, 2016]

The physical and emotionally extreme situation in which Struther is placed in *Kicking a Dead Horse* eventually elicits an unprecedented indictment of human imagining in the Shepardian *oeuvre*. At first, Struther's meditation that "maybe all it ever is, is blinded by the dreaming of what might become" (Shepard 2007, 19) still bears a ring of self-indulgence, but soon the censure of human imagining is uttered with an unusual harshness:

> All this—space. What were they thinking? Just movement. Migration. But me—what about me? I'd get out of here, on my own, miles from nowhere, and somehow feel miraculously at peace? One with the wilderness? Suddenly, just from being here, I'd become what? What? Whole? After a whole life of being fractured, busted up, I'd suddenly become whole? The imagination is a terrible thing. (Shepard 2007, 22)

4. CONCLUSION: DREAMS, IMAGINATION AND THE LITERARY STYLE

The reinterpretation and eventual dismissal of the trope of the horse dreamer in the play written for Stephen Rea and the Abbey Theatre in 2007 must be reconsidered in line with its implications within Shepardian poetics. The clear correspondence that the play establishes between the visibility of the horse's corpse on the stage with an unambiguous rejection of the belief in the liberating promise of the imaginative enterprise confirms a close intertwining in Sam Shepard's drama of the evolving representation of the engagement with horses with a meditation on the role of dreams and imagination. With this unprecedented censure of horse dreaming it seems that the playwright was also bringing to and end a whole style of playwriting.

In *Geography of a Horse Dreamer* ([1974] 1984) Cody's captors believed that his powers as a dreamer were contained within a "dream bone" that the ominous and grotesque character of the Doctor wanted thus to remove from the prisoner's skull. The unexpected strategy devised to lead the play to its conclusion—as Cody's "bone" is about to be removed from his head—was a *deus ex machina* which brings Cody's brothers to the stage to rescue him: a *coup de théâtre* destabilizing the previous situation by opening up a territory for the actual entrance of the dream. Cody's brothers, Jasper and Jason, who are both about six foot five and 250 lbs. each, are described as wearing Wyoming cowboy gear with dust covering them from head to foot, and carrying double-barrelled twelve gauge shotguns and side guns on their waists (Shepard [1974] 1984, 306). Despite the impact of their arrival, the play has an ambiguous finale. Cody's last words convey such despair, in their failure of recognizing a home that they cast into doubt the very success of the dreamt rescue. In their underlying sadness, his words cannot hide that the theatrical release might be just a desperate, ephemeral and evanescent way out of an otherwise inexorable fate, seeing dying as the only way out of a dark geographical and visionary limbo:

CODY: (*standing*) In a sacred way. This way. Sacred. I was walking in my dream. A great circle. I was walking and I stopped. Even after the smoke cleared I couldn't see my home. Not even a familiar rock. You could tell me it was anywhere and I'd believe ya. You could tell me it was any old where. (Shepard [1974] 1984, 306)

The blurring of clear vision under an unrecognized 'any old where' in Cody's last dream is telling. In spite of this, the theatrical impact produced by the physical irruption of the dream embodied in the larger-than-life Wyoming cowboys cannot be overlooked, given its implicit acknowledgment of the redeeming potential of dreams. Even more than the meditation throughout the play on the creative process, Cody's brothers' last minute arrival becomes a stunning way of materializing in the theatre the possibility of living in several worlds at the same time. Jason and Jasper's real presence on the stage is a fact regardless of their ontological status: whether or not they sprout from Cody's mind, whether or not they are pure products of the imagination, they embody on the stage, for a moment, the actual theatrical happening of the possible.

The dramatic action of *Kicking a Dead Horse* (2007) forecloses any possibility to an imaginative escape such as that opened up in the conclusion of *Geography of a Horse Dreamer*. When Hobart Struther engages in the ritual of tossing all the now unnecessary tack into the pit he has dug—including the saddle, bridle, hand-made Garcia spurs and the Quadruple X Beaver hat he is so reluctant to give away—after a while, a Young Woman dressed in a sheer slip is seen emerging slowly from deep in the pit and gently putting the hat back on Struther's head, only to disappear immediately afterwards back into the hole. Struther, absorbed in singing the traditional folk song "Oh, Didn't he ramble" remains unaware throughout of this spirit's brief appearance, which is only perceived by the audience. Apart from this dainty poetic license, the play eschews any further imaginative flights like those that had for years been defining of Shepard's unique style in the theatre of the United States.

"America is a poem in our eyes [. . .] its ample geography dazzles the imagination" wrote Emerson in "The Poet" ([1844] 2003, 1190). As Richard Poirier argues, "to take possession of America in the eye, as an Artist, is a way of preserving imaginatively those dreams about the continent that were systematically betrayed by the possession of it for economic and political aggrandizement" (1966, 51). Sam Shepard built his originality as a playwright in the 1960s by demanding that audiences engage in the visionary possession of America and imagine the poetic Americanness of the US through his characters' reveries, dreams and imaginative flights, an ability as flawed as it was full of potential. *Geography of a Horse Dreamer* dramatizes, at a time of creative introspection, the authors' anxieties produced by the fear of losing a "style of dreaming" of America which, for all its instabilities and inherent delusions, had created a writing driven by a utopic yearning in its exploration of the horizons and outer limits of what can be imagined, and as such represented on the stage. The

invisibility of the horses in Cody's dreams bears an implicit recognition that the freedom associated with the American West might only be dreamed of, but the play leaves an opening for the persistence of the dream: in *Kicking a Dead Horse* this is completely abandoned. The latter play is a staged adieu to the once pursued belief in the dream of a land to be freely ridden across on horseback. If it can be read as Shepard's own attempt at creating a stage metaphor to put an end to a style of dreaming and writing no longer acceptable to him as a writer, ironically, the symbolic ritual necessary to accomplish it, the burial of the dead horse that had made Struther dream of the Great Plains, for all the character's efforts to do it, is finally impossible. Instead, Struther is the one to eventually end up buried by his own horse.

Despite the play's sought-for elegiac tone, *Kicking a Dead Horse* is finally a play much infused with a Beckettian spirit, and Hobart Struther a character still bearing the features of the dramatic characters of the twentieth-century tragicomic tradition. After a day and a night's survival in the middle of nowhere, as he wakes up to a bright day, he finds the horse still in his belly-up position and his hat in the hole. When he climbs down the pit to get the hat back and disappears, "the dead horse slams forward, this time downstage, with a mighty boom accompanied by bass tympani offstage, dust billowing up, filling the stage" (Shepard 2007, 45), stage directions indicate. As the hole is not wide enough to accommodate the entire horse, when lights slowly fade to black, Hobart's voice is heard from deep in the pit singing again "Didn't He Ramble."

The animal's resistance to being buried is compelling and it might represent the play's major triumph in its displacement of the performances of anthropocentrism as it mutely, yet comically, buries the excess of human imagining while simultaneously begging the audience that the old dream of horses should not be completely buried.

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Ana Fernández-Caparrós Turina is Assistant Professor of English at the University of Valencia. Her main field of research is contemporary American drama. She is the author of the volume *El teatro de Sam Shepard en el Nueva York de los sesenta* (PUV, 2015), published by Biblioteca Javier Coy d'estudis nord-americans; and co-editor of *Poéticas porvenir, políticas del duelo* (Verbum, 2014) and of the special issue "Staging the Sounds of a Nation: The Poetic Soundscapes of the USA" (*Complutense Journal of English Studies*, 2015). She has published articles in journals such as *Contemporary Theatre Review*, *Journal of Contemporary Drama in English* and *South Atlantic Review.*

Address: Departamento de Filologia Anglesa i Alemanya. Facultat de Filologia, Traducció i Comunicació. Universitat de València. Avda. Blasco Ibáñez, 32. 46022, Valencia. Tel.: +34 963 864 418.

The Shell-Shocked Veteran in Toni Morrison's *Sula* and *Home*

Manuela López Ramírez
Independent scholar
lopez.ramirez.manuela@gmail.com

In *Sula* (1973) and *Home* (1973) Toni Morrison depicts the madness of the homecoming war veteran, whose symptoms and their consequences impair his life. Through the return of her traumatized African American soldiers, she explores the tensions of a racially-prejudiced America and the dire consequences for the black community and self. Morrison unveils the destruction that racism effects on blacks, both the physical and psychological violence. Hence *Sula* and *Home* become anti-war novels which portray anti-heroes, broken men, whose madness is associated with the war, but also with a racist America.

Keywords: African American soldiers; war veteran; shell-shock; post-traumatic stress disorder; home; racism

. . .

El veterano con neurosis de guerra en las novelas de Toni Morrison *Sula* y *Home*

En *Sula* (1973) y *Home* (1973) Toni Morrison explora la locura del veterano cuando retorna de la guerra, y el menoscabo que sufren sus circunstancias vitales, como síntoma y consecuencia de esa experiencia. Además, la exploración del retorno permite a la autora examinar las tensiones de una América segregacionista y los conflictos que genera en la comunidad afroamericana. Morrison revela la destrucción física y psicológica que el racismo produce en esta comunidad. Así, *Sula* y *Home* se convierten en novelas antibélicas que retratan antihéroes, hombres destrozados, cuya locura se asocia con la guerra, pero también con una América racista.

Palabras clave: militares afroamericanos; veterano de guerra; neurosis de guerra; estrés postraumático; hogar; racismo

> Morrison gives us just enough psychological complication of Frank Money to open up an understanding of how desperately malignant the realm of war can be. (Meisel 2013, n.p.)

In *Sula* (1973) and *Home* ([1973] 2012), Toni Morrison deals with the insanity of the war veterans Shadrack and Frank Money, who return home to the US, just after World War I (1914-1918) and the Korean War (1950-1953), respectively. As with modernist writers, such as Virginia Woolf and Ford Madox Ford, Morrison seems to use the tribulations and emotional turmoil that these returning soldiers had to cope with back home to express the tensions of the society they returned to live in as well as the ensuing breakdown of social patterns.[1] Morrison depicts the symptoms they suffer and the reception of these damaged veterans by a racially-prejudiced America. Morrison's novels do not only unveil the appalling ordeals of war, questioning its meaning, but she also exposes the violence, discrimination and racism of the American society at the respective times. The oppression that white society exerts on each of them at times takes the form of outright physical violence, at others, the even more brutal psychological violence. In Morrison's shell-shocked soldiers, mental distress is connected both to the horrors of war and to the horrors of racist *Jim Crow* times.[2]

Morrison associates the notion of *shell-shock* with the broader term of trauma, which affects the black soldier in combat situations as well as in his civilian life.[3] Trauma, in its central position in Freud's texts, is understood as a wound inflicted upon the mind (Caruth 1996, 3). African Americans carry the burden of personal and collective cultural traumas, which can be traced back to the times of slavery and the Middle Passage, and are at the core of their communal memory and identity (Eyerman 2004, 60). Both of Morrison's veterans illustrate the possessive nature of trauma and how the brutal legacy of "slavery has not been laid to rest but resurfaces in the lives and actions of the protagonists" (Whitehead 2004, 85). As Dolores Herrero and Sonia Baelo-Allué argue, trauma theory stresses the "individual/psychological perspective" (2011, xi), although a societal and historical perspective would be more relevant to postcolonial literary studies. *Sula* and *Home* raise questions about the provision of communities of care during war and in its aftermath and reveals who truly bore the responsibility for offering health-care services. Their madness mirrors the terrors of war and the home world of American blacks: "*Home* [. . .] does foreground

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[1]   In the portrayal of the characters Septimus Warren Smith in Virginia Woolf's *Mrs. Dalloway* ([1925] 1996) and Christopher Tietjens in Ford Madox Ford's *Some Do Not…* ([1924] 2010) these authors try to communicate the social anxieties faced by their shell-shocked veterans, who reflect in many ways their modernist concerns, such as the metaphoric alienation, isolation and fragmentation of the individual in the midst of society.

[2]   At the time, Jim Crow laws (state and local) enforced discrimination and segregation in the Southern US.

[3]   *Shell-shock* is the World War I name for what is known today as post-traumatic stress disorder (PTSD), a psychological condition connected to the trauma of battle. The *Oxford English Dictionary* (OED) defines *shell-shock* as "an ill-defined medical condition characterized by lassitude, fatigue, headache and irritability, associated chiefly with emotional disturbance" (2000-, s.v.).

the degree to which wars are never only 'over there'; military violence overseas always informs and is informed by violences within US borders" (Darda 2015, 95).

After World War I, the medical community did not acknowledge the psychological and emotional state of homecoming military men as a mental disability. In fact, they coined a term for it, *shell-shock*, since doctors believed that these affections were the result of the soldiers' proximity to exploding shells. According to Jay Winter, "[t]he term [. . .] informed a language which contemporaries used to frame our sense of the war's scale, character, its haunting legacy" (2000, 7). Military officials "often labeled soldiers suffering from psychiatric symptoms as cowards lacking moral fiber" (Pols and Oak 2007, 2133). Shell-shocked veterans were accused of trying to shirk their military duty. In addition, people thought that shell-shock was a scam and regarded these soldiers as cowardly and weak, which led to them being alienated from their communities. Furthermore, men were considered capable of coping with psychological ailments due to their defining willpower and self-control. As veterans' mental problems were not recognized as an illness, there was no effective treatment.

During World War I, blacks may have suffered from shell-shock more than other soldiers, "the saga of the disabled African American veteran reveals the personal and lingering toll that the war took" (Keene 2005, 229). Frontline duty was not the only factor that triggered this mental disorder, there were several circumstances involved, for example, the lack of morale in the circus of war. Thus "African American soldiers, whose battalions were segregated from the rest of the armed forces, recorded a high incidence of psychiatric syndromes, which was most likely related to their low status and the discrimination they suffered in the army" (Dwyer 2006, 121). As Christopher De Santis points out, African American veterans were "treated with the same humiliating disrespect as their fellow black civilians. Jim Crow had infiltrated America's celebrated armies and the black soldiers who were fighting and dying for the freedom of people, black and white, back home were paying dearly for the intrusion: separate and less desirable living and eating quarters, little opportunity for advancement, and even segregated latrines—all made life for the African American soldier quite unbearable" (1995, 18). Moreover, many World War I black veterans did not receive disability allowance or health care in government hospitals when they needed it: "Since the war, some of the Southern crackers are using different means to keep we [*sic*] colored soldiers out of the hospitals and from getting vocational training. Their reasons for keeping us out of training is to rate us in compensation as low as possible" (quoted in Keene 2005, 236).[4]

Later during World War II and the Korean War, shell-shock was renamed *combat exhaustion* (no longer in scientific use), and it was not until the Vietnam War that PTSD was fully recognized.[5] The Korean War started to change the face of the American

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[4] *Cracker*, sometimes *white cracker* or *cracka*, is a usually disparaging term for white people, especially poor rural whites in the Southern US. Keene is quoting Joel Moore's words, a disabled veteran, in a 1924 letter to the NAACP (Association of the Advancement of Colored People).

[5] The name first appeared in 1980.

military, as black soldiers were able to serve in integrated units and were allowed to lead in combat.[6] At the time, the army thought that "unit cohesion" was a crucial factor in surviving this syndrome. In fact, in the initial phase of the Korean War, very high rates of neuropsychiatric casualties (250 per 1,000 per year) were reported due to "the nature of the conflict, characterized by quickly shifting front lines and widely dispersed battlefields," which made it difficult to implement programs of forward psychiatry (Cameron and Owens 2004, 460). There were also rumors that "the army was using black troops as front-line shock troops" (Keene 2005, 229). Besides, many soldiers did not admit that they needed treatment to overcome their mental impairment, or felt they could not complain about their plight.

In *Home* and *Sula*, Morrison deals with traumatized veterans Frank and Shadrack, "disturbed prophets of peace [who] hold our gaze on the deranged center of war" (Grewal 1998, 57), who return home haunted by the horrors of war.[7] Frank is one of the main characters in the novel, whereas Shadrack is a relatively minor character with only a brief appearance, although he takes on more importance because of his symbolic role. As a matter of fact, the story starts and ends with him. The appalling things that these two soldiers endure psychologically shatter them both. Morrison brings to light how "the war continued for black veterans in more ways than one" (Keene 2005, 237) when they return.

In *Home*, Frank joins the army voluntarily with his two best friends, as they cannot stand their hometown Lotus, Georgia, "the worst place in the world, worse than any battlefield" (Morrison [1973] 2012, 83).[8] Back from the Korean War, the only survivor of the trio, Frank "is set for another battlefield back in America, his 'home' country he has been fighting for" (Mitra 2014, n.p.), which Morrison wanted to demystify, as she explained in an interview:

> Quiero descubrir una verdad sobre la vida cotidiana de Estados Unidos, la vida de los afroamericanos viviendo en un contexto histórico crítico que se ha ocultado. Existe la idea de que los años cincuenta eran como un cuento de hadas donde todos tenían trabajo, la sociedad iba bien, había programas de televisión con familias felices y una buena vida social y política. Ha proliferado la idea de unos años maravillosos, pero no era así. La verdad es que había luchas visibles y subterráneas. (Manrique Sabogal 2013, n.p.)[9]

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[6] The integration of black and white troops in the armed forces was ordered by President Harry Truman immediately after the end of World War II, in 1948.

[7] Grewal is actually referring to Shadrack and Septimus Warren Smith, in Virginia Woolf's *Mrs. Dalloway* ([1925] 1996).

[8] All references to the quotes from the novels by Toni Morrison, Home (Morrison [1973] 2012) and Sula (1973) will be made parenthetically in the text with the respective abbreviation *Home* and *Sula*.

[9] "I want to show the truth about the ordinary life in the United States, the life of African Americans living in a critical historical context, which has been concealed. People think that the 1950s were like a fairytale, a time when everybody had a job, the society was prospering, TV programs presented happy families and a pleasant social and political life. Those years have been regarded as "wonderful," but they were not glorious years for everybody. There were actually visible and hidden struggles." [My translation]

In *Sula*, Shadrack, barely twenty, is a World War I veteran from the Bottom, a mostly black community in Medallion, Ohio, who comes back from the war in France "[b]lasted and permanently astonished by the events of 1917" (*Sula*, 7). Eileen Barrett says that, "in April 1917, more than a million Afro-American men like Shadrack responded to the Selective Service calls for volunteers [. . .] Shadrack might have assumed that valor in combat would be rewarded with opportunities at home" (1994, 2).[10]

Mentally ill African American veterans did not receive the appropriate medical care they needed when they returned from the war. Nor were they treated the same as their white counterparts when they were hospitalized. Jennifer Keene reports a case in the Marion Military Home, where supervisors kept black soldiers locked up while white patients were allowed to use the grounds freely (2005, 237). Berserk black veterans were just released even if they were still not ready to confront the world. In spite of their severe mental health disorders, Frank and Shadrack alike find themselves in an urban setting where they lack the social support network they really require. Shadrack, extremely disturbed, spends two years in a military hospital from which he is then discharged owing to lack of beds. As Melanie Anderson contends, he "was used in war, damaged, and set completely free with no assistance" (33). Despite his obsession to have everything under control, she continues, the Bottom veteran is "set adrift in a world that seems unpredictable and dangerous [. . .] he has neither family nor means to take care of whoever he is" (2013, 33). On leaving the hospital, he feels threatened by the potentially perilous outside world. Disoriented and overwhelmed by the grounds out of the hospital, the walks make him uneasy, inasmuch as anyone could "cut in another direction—a direction of one's own" (*Sula*, 10). Shadrack is also extremely scared of the people around him, who he sees as paper figures that flex in the breeze. On the other hand, when Frank is discharged, he needs help, "but there wasn't any. With no army orders to follow or complain about I ended up in the streets with none" (*Home*, 68). His thoughtful and kind discharge doctors send him home and tell him he will get better. They informed him that "the craziness would leave in time [. . .] assured him it would pass. Just stay away from alcohol, they said" (*Home*, 18).

Both Frank and Shadrack have a hard time adapting to their civilian lives. As a result of their acute mental disorder, they suffer from a constellation of symptoms, which causes them significant distress, and a deterioration in all aspects of their existence, making their lives impossible. Frank's ordeal in Korea has "changed" him. Back home, he starts wandering and roaming the streets in his deranged state of mind, full of rage and self-loathing: "[w]ar memories, psychological injury, and loss have become a part of him" (Dudziak 2012, n.p.). As Tricia Springstubb writes, Frank "returns scarred inside and out. It's not a Morrison story without ghosts, and here they take the form of soul-shaking flashbacks to the war's horror" (2012, n.p.). The veteran has to confront

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[10] In the 1910s, discrimination against blacks in America was still quite strong. Many African Americans joined the army thinking that their service would be rewarded with civil rights reforms upon their return.

the gruesome recollections that torture him, the atrocities he has witnessed at war, such as his two best friends' deaths, but also his traumatic childhood remembrances. On occasions, harrowing intrusive memories take possession of him, as when a little girl with slanted eyes makes him bolt away like crazy.[11] His life is filled with episodes of insanity, like horrifying hallucinations and temporal color-blindness, "[a]ll color disappeared and the world became a black-and-white movie screen" (*Home*, 23). Nightmares ravage Frank's dreams, such as that of a boy pushing his own entrails back inside his torn body, or the half-faced boy calling for his mama: "They never went away these pictures" (*Home*, 20). Dismemberment is also a recurrent theme in his war visions: "hallucinations of body parts which plague Frank" (Daniel 2012, n.p.), echoing African Americans' history: "That order [of the New World], with its human sequence written in blood, represents for its African and indigenous peoples a scene of actual mutilation, dismemberment, and exile" (Spillers 1987, 67). In *Home*, through the dialogue between Frank and the narrator/scribe, Morrison poses the question of whether war and racism in all their monstrosity can be truly expressed through language: the possibility of narratively representing war ordeals "that [are] not yet fully owned" by the traumatized individual (Caruth 1995, 151). The damaged soldier criticizes the narrator's ability to tell his traumatic experiences. When Frank's family is expelled from their home in Texas, he exhorts the scribe: "*You can't come up with words that can catch it {. . .} Describe that if you know how*" (*Home*, 41, italics in original). And yet, "[r]emembering and telling the truth about terrible events are prerequisites both for the restoration of the social order and for the healing of individual victims" (Herman 1997, 1).

Likewise, Shadrack has to cope with deeply distressing flashbacks of his first battle in France in 1917, like the one of a soldier whose head was blown off but he still kept running. When the Bottom veteran wakes up at the hospital, he is out of his mind with fear. Only the balanced triangles in the compartment food tray "reassured {him} that the white, the red and the brown would stay where they were—would not explode or burst forth from their restricted zones" (*Sula*, 8). In his dementia, Shadrack's senses are especially sharp, even though "his memory is chaotic and full of holes" (Anderson 2013, 33). The madman seems to have successfully blocked out many of his excruciating memories, leaving him incapable of developing coping strategies. His early moments at the hospital are full with hallucinations of war, which he links to strong feelings of chaos. The unnerved veteran is terribly frightened by his own hands, whose fingers can "grow in higgledy-piggledy fashion like Jack's beanstalk" (*Sula*, 9) or can fuse into "a permanent entanglement with his shoelaces" (13). Profoundly scared of possible dismemberment, Shadrack also feels greatly relieved when he sees that his hand is attached to his wrist.

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[11] Certain types of perceptions—colors, smells, objects, sounds—which generate intrusive painful recollections, are referred to as "triggers," when they set off a recollection or acute episode of PTSD in this way.

In these novels, Morrison contrasts the nurturing black rural community, which appears as a true home in the face of violence, alienation and discrimination, symbolizing "the psychic support for the 'self' or subjectivity" (Schreiber 2010, 2), with the alienating and hostile urban society in which her characters live. Unable to return to Lotus, Frank stays in the city, abusing alcohol, maundering. Shadrack also suffers "irreparable harm in the outside, business-motivated, urban world" (House 1997, 102). In *Sula*, Plum, another World War I veteran, arrives home a year after he is discharged. About his post-war urban explorations, we only know that "there was obviously something wrong" (*Sula*, 45), since when he finally shows up in the Bottom, like Shadrack, he is permanently disabled. As Elizabeth House states, both Shadrack and Plum are names of a food (shad, a fish and plum, a fruit), albeit their "nurturing qualities, suggested by their names, are damaged by their experiences in the urban world [. . .] by losing contact with their community" (1997, 104).

It was really hard for returning soldiers to begin a new life. They had trouble making the transition back to civilian life, which was often related to serious injuries, service-connected disability or shell-shock. Actually, many veterans could not find a job after the war, the unemployment rate was often much higher than that of ordinary people, and a great number of them became homeless in a society that did not help them adjust to non-military life.[12] Even though many veterans were not activists, as Keene claims, after World War I, "struggles over veterans' benefits served as a key milestone in the broader civil rights movement, turning veterans' personal readjustment to civilian life into a collective racial struggle for social justice" (2015, 146). Neither Frank nor Shadrack can hold down a steady job. Even when Frank is settled with Lily, an Asian ambitious seamstress, he cannot easily get work and "regularly lost the few odd jobs he'd managed to secure" (*Home*, 21). The Bottom soldier, on the other hand, usually sells fish but, in winter, when the fish is harder to catch, he also does pick-up errands for small businesses, as "nobody would have him in or even near their homes" (*Sula*, 155). Veterans' unemployment is commonly associated with self-destructive behavior, such as substance abuse. They generally have high rates of addiction, customarily associated with their unstable mental health. Alcohol and drugs aid them in keeping war ghosts at bay and blocking out emotional distress, even though in fact they just aggravate their already painful predicament. Only by consuming alcohol, can Shadrack and Frank forget their daunting war recollections.[13]

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[12] Veterans were not hired due to their lack of civilian work experience. It was also difficult for them to obtain formal private sector recognition of their military training and they did not frequently comply with the complex licensing requirements of civilian life, even when they already had the required skills. Nor did many of them receive disability aid, which could have compensated them for their time in military service, and help them start again.

[13] In *Sula*, war indirectly destroys Plum, who becomes a drug addict. His mother, Eva Peace, who cannot bear his degradation, out of love, burns him alive.

The horrors of war, which metaphorically parallel the race war in America in the twentieth century, can change people so drastically that they may wonder who they are or detest who they have become. According to Nikhil Singh (2009): "Domestic racial violence not only reflects the conduct of this 'experimental war' [Korean War] in East Asia; they are in fact effects of the very same socioeconomic arrangement and bio-political logic" (quoted in Darda 2015, 98). Black veterans have severe identity issues connected to psychiatric disorder: despair, depression, shame, guilt, etc. As a result, traumatized soldiers, like victims of racism, develop very low self-esteem and self-worth. Their combat-related experiences and their behavior during their state of mental derangement problematize the creation of a positive self-image. In *Sula*, the Bottom madman . . .

> didn't even know who or what he was [. . .] with no past, no language, no tribe, no source, no address book, no comb, no pencil, no clock, no pocket handkerchief, no rug, no bed, no can opener, no faded postcard, no soap, no key, no tobacco pouch, no soiled underwear and nothing nothing nothing to do [. . .] he was sure of one thing only: the unchecked monstrosity of his hands. (*Sula*, 12)

Shadrack wants to tie-up the loose threads in his mind. He is extremely concerned about his identity. The veteran wonders why the people at the hospital call him "Private," why they call him a secret. Gurleen Grewal points out that "[t]o call him Private is to hail the traumatic condition of Shadrack, the public insanity of war, as one of his own making" (1998, 56); Morrison thus emphasizes "the hiatus between the public and private" (Grewal 1998, 55). When the demented soldier is in jail (where the police, assuming that he is drunk, take him when they find him sitting next to the road after he had left the hospital), he tries desperately to find a way to see his own face. Its reflection in the toilet water, so definite and unequivocal, shocks him because "[h]e had been harboring a skittish apprehension that he was not real—that he didn't exist at all" (*Sula*, 13). In like manner, one morning, Frank is hardly able to recognize his own image in a store window. He has become the man in one of his dreams, a man alone on a battlefield, which prompts his decision to "[b]e something other than a haunted, half-crazy drunk" (*Home*, 69) and make his homeboys proud.

To the black soldiers' post-traumatic stress disorder, an exacerbating contextual risk factor is incorporated, the dominating white society, which both violates and denies the black self, compromising its ability to cope with extreme events. African Americans experience invisibility and self-hatred in their daily lives. The traumatized black veteran is the epitome of the already fragmented black individual. Frank's unspeakable remembrances stem from his childhood (we do not know, however, anything about Shadrack's life before war). Through the Korean veteran, Morrison discloses what being mentally ill was like for an African American man, as one who had felt since his infancy the burden of racial hate and discrimination. Childhood trauma can be devastating

and it can actually interfere with the construction of a healthy sense of self, affecting adversely the foundation of the personality. Frank's family, the Moneys, like other black households, were coerced into abandoning their home in Bandera County, Texas, by possibly the Ku Klux Klan. This disturbing episode of his life is etched on his memories: "You could be inside, living in our own house for years, and still, men with or without badges but always with guns could force you, your family, your neighbors to pack up and move—with or without shoes" (*Home*, 9). By means of her battle-scarred soldiers, Morrison brings to light the jarring conditions of African Americans' existence. After their expulsion, Frank's family is taken in by his paternal grandparents, who neglect and abuse him and his sister, Cee. Being only four, Frank is forced into adulthood when he has to adopt the role of surrogate parent and defend his sibling from their mean step-grandmother.

When envisaging the "mad veteran," Morrison focuses on the isolation and dislocation or estrangement of the black male individual. Traumatic experiences cause social withdrawal, which leads to loss of caring support and friendship. Disabled people feel too self-absorbed in their problems or emotionally numb. Both Shadrack and Frank Money's lives are overwhelmed by a sense of detachment. As Christopher Tietjens in *Some Do Not…* phrases it, "I'm not a whole man anymore [. . .] Alone, a broken man" (Madox Ford [1924] 2010, 202). As a result of their post-traumatic disorder, they have lost their confidence and self-love, which disengages and sunders them from society and even from their own people. In *Sula*, Morrison puts the spotlight on Shadrack's role in the black community. Back in the Bottom, the crazed veteran develops to become a strange, though harmless, resident, the "local madman," the ultimate example of the pariah, whose irreverent antics are harshly frowned upon: walking about with his penis out, cursing white people.[14] At first, his neighbors are afraid of him but, over the years, they realize that he is never violent with the people in the community. Despite his derangement, the Bottom veteran seems to understand what is going on more than people think. Shadrack's only real interaction with another human being occurs when Sula, a little girl at the time, runs to his cabin to find help the day Chicken Little drowns in the river. Sula, his first and only visitor, is really surprised at his unthreatening "sweet old cottage" and, ironically, it is his hands that eventually convince her that he is harmless: "no one with hands like that, no one with fingers that curved around wood so tenderly could kill her" (*Sula*, 62). From then on, Shadrack regards her as "a kindred alien spirit" (Byerman 1990, 68) as over her eye she has a birthmark in the shape of a tadpole, "the mark of the fish he loved" (*Sula*, 156). Morrison contrasts how Shadrack and Sula are two disparate kinds of pariahs, despite having their connection to evil in common: "Sula as (feminine) solubility and Shadrack's (male) fixative are two extreme ways of dealing with displacement" (Morrison 1990, 223). However, the people of the

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[14] La Vinia Jennings highlights that "[o]utlaws of both African and European descents who have committed censurable moral evil, crimes that injure others, commonly live in Black neighborhoods as anonymous, undocumented social exiles in order to evade capture and (re-incarceration)" (2008, 7).

Bottom accept Shadrack, who is "contained insanity" (Harris 1991, 65), more readily than Sula: "once people understood the boundaries and nature of his madness, they could fit him, so to speak, into the scheme of things" (*Home*, 15). He does not pose any threat to their identity or social system since, according to Morrison, people can make sense of his way of organizing chaos (Stepto 1994, 22). Cedric Bryant (1990) argues that the madman is less menacing inasmuch as he is "assigned a place in the community's life" (quoted in Galehouse 1999, n.p.), whereas Sula, who rejects their social conventions, has no niche there.

Like Paul D in *Beloved* (Morrison 1987), in Frank's healing cross-country odyssey, he meets different women whose affection and love, critical for his recuperation from traumatic experiences, help him not to succumb to complete insanity. Lily, his Asian lover, makes him "want to be good enough for her" (*Home*, 69) and "his attachment to her was medicinal [. . .] Lily displaced his disorder, his rage and his shame" (107). His nightmares stop and he can stay sober. Frank feels that he has finally come home. And yet, "neither drink nor Lily is enough to heal his [Frank's] fractured sense of self" (Thomas 2012, n.p.). He is still haunted by the specter of war and, like other trauma victims, has difficulty conceiving of a future for himself, a symptom clinically referred to as a "sense of a foreshortened future" (Radcliffe, Ruddell and Smith 2014, n.p.). When Lily asks Frank what he wants to do with his life, he answers her, "[s]tay alive." By the time the damaged veteran departs to rescue his sister from an unknown danger after receiving an anonymous letter saying "[c]ome fast. She be dead if you tarry" (*Sula*, 8), he has come to understand that love is not enough.

Trauma-related guilt, which erodes self-esteem and creates feelings of ignominy, is the gist of the traumatized individual's madness. Frank has to confront his distressing childhood memories, terrifying war recollections, survivor guilt and moral injury. Frank still blames himself for his friends' deaths, and does not want to go back to Georgia without them: He "was far too alive to stand before Mike's folks or Stuff's. His easy breath and unscathed self would be an insult to them. And whatever lie he cooked up about how bravely they died, he could not blame their [families'] resentment" (*Home*, 15). Frank also suffers from 'moral injury,' "an act of serious transgression that leads to serious inner conflict because the experience is at odds with core ethical and moral beliefs" (Maguen and Litz 2012, n.p.). Soldiers lose their humanity in abominable military acts. Through the Korean veteran, Morrison depicts how "the conflict that came on the heel of the war that produced 'the Greatest Generation' was anything but a glorious affair" (Yarbrough 2012, n.p.). A ghastly wartime episode preys upon Frank's mind. Out of shame at being aroused, he shoots a scavenging Korean girl, who resembles his sister. The crazed veteran must tackle his self-blame and remorse at his actions, and his "pedophilic" sentiments, which he has been denying and disguising as righteous mourning upon his friends' deaths. The shattering of the black male soldier's identity is even more frightful in his role as a victimizer.

In *Sula* and *Home*, death is at the core of Shadrack's and Frank's traumatic disorders and, thus, powerfully connected to the broken veteran's disabilities, especially their "having been an agent of killing and having been a failure at preventing death and injury" (Maguen and Litz 2012, n.p.). As Maggie Galehouse claims, both Frank and Shadrack are first-hand witnesses of death and, as a consequence of their dreadful and poignant trials and tribulations, "both face their mortality and the precarious construction of the self in direct, disturbing ways" (1999, n.p.). Frank knew death. Ever since his discharge, he has been haunted by the demise of his friends and the Korean girl. Until the point where his homeys die, Frank has only killed when necessary, but after this point he shifts into a "brave," reckless military man, and "[t]here were not enough dead gooks or Chinks in the world to satisfy him" (*Home*, 98). *Sula* also "evokes death at many levels" (Grewal 1998, 45). Shadrack not only knows death but, what is more, is able to foresee it. When Sula comes to his house, the madman looks at her and he can see the skull beneath, an omen of her early demise. Then, thinking that Sula has seen it too, he has seen it too, Shadrack tries to comfort her. He says to her "always," "so she would not have to be afraid of the change—the falling away of skin, the drip and slide of blood, and the exposure of bone underneath [. . .] to convince her, assure her, of permanency" (*Sula*, 157). Due to his experiences in war, Shadrack is terrified of the unexpectedness and suddenness of death and dying. In an attempt to gain some control over his feelings, he institutes a new holiday on January 3, "National Suicide Day": a "therapeutic ritual of action" meant "to assuage the psychic shock of death's uncertainty that first traumatizes him on the battlefield in France" (Jennings 2008, 150). The third day of every new year, he marches along the streets of the community ringing a cowbell and carrying a hangman's rope. Only on that day, the veteran tells the Bottom's residents they can kill themselves or each other. Shadrack wants to give other people the chance to choose the time of their death so they are not taken by surprise, a ritualistic role that provides him with the life purpose he has been seeking.[15] Every year from 1920 onwards, Shadrack marches through the Bottom declaring that people should commit suicide or kill each other in a procession which "derides military parades" (Barrett 1994, 4).[16] At the outset, the celebration causes panic and, for a long time, it is viewed as simply "Shadrack's annual solitary parade" (*Sula*, 15). Nonetheless, over time, it evolves into a part of the fabric of life up in the Bottom and, unsurprisingly, the other pariahs of Medallion—Tar

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[15] As Gay Willentz writes, Shadrack exhibits what in the beliefs of some traditional religions is the often eccentric behavior of the priests (1997, 129). Lewis Vashti thinks that, in traditional West African culture, a person who has lain unconscious enters the spirit world of his ancestors, acquiring a divine nature. Thus, the insane veteran becomes a West African water priest or a divine river spirit for displaced African people in the Bottom (1987, 92).

[16] Eileen Barrett also believes that the madman's parade "challenges the prevalence of lynchings [and] commemorates, in its way, the 1917 anti-lynching demonstration, when more than 5,000 marchers walked silently through the streets of New York under a banner that read simply, 'Your Hands are Full of Blood'" (1994, 4).

Baby, a white alcoholic, and the Deweys, three boys who Sula's grandmother take in—are the first to join the madman. Ironically, Reverend Deal, a minister of the Bottom, tells those who sensibly avoid the insane soldier's call that they would do better to join him than drinking or womanizing themselves to death.

Shadrack's ritualistic role is linked to the death of the black community in the Bottom, which started as a white man's joke, the bottom of heaven. At the end of the novel, after Sula's death, for the first time the crazed soldier no longer cares whether he can help other people or not. He has to force himself to go to the march which he himself has instigated and, even though normally no one joins him, this year, most of the townspeople accompany him. The excitement grows and the procession, gathering steam behind the lunatic man, heads towards the incomplete tunnel which the blacks of the Bottom thought they would be hired to work on, but were finally not allowed to build. The community's concealed frustrations and despair emerge stronger than ever at the sight of the unfinished construction, symbol of their economic penuries and their true oppressors. The spite that "galloped all over the Bottom" (*Sula*, 171) springs up and the mob's frantic destruction results in the collapse of the tunnel, which kills many. Ironically, Shadrack has metamorphosed into a Pied Piper, who eventually lures his town folks into their own death parade. In the end, the Bottom soldier, high up on the bank ringing his bell, seems to be one of the most judicious characters of the narrative, heralding the deceitfulness of the world they live in: "'National Suicide Day' finally becomes the communally celebrated 'rational' solution to absurdity he had originally devised, precisely because of a collective release of 'black rage,' a collective (and self-destructive) reaction to historical disorder" (Grant 1988, 94). Hence, in the 1941 procession which closes the novel, catalyst as well as a closure element for the Bottom, "Shadrack is able to get the citizens of the Bottom [. . .] to a wet smothering grave, they simultaneously give meaning to his ritual and signal the death of their community" (Harris 1991, 83-84).

In *Home*, Frank's voyage from trauma to self-discovery cannot come to an end until he regains his lost sense of purpose. When he receives the anonymous letter about his sister, he realizes he could not stand one more death. The Korean veteran has to get back home and rescue her. He surmises that his life might have been preserved, since Cee is the best part of him: "Down deep inside her lived my secret picture of myself—a strong good me" (*Home*, 104). The siblings' destinies are intertwined. Saving his sister is to save himself. As David Ulin aptly states, Cee is "the one person about whom he cares, the beacon that pulls him onward, the lodestar for the journey, both interior and exterior" (2012, n.p.). Only through his sibling can Frank improve his self-esteem, reconnect with his community and acquire a sense of direction and achievement. Morrison uses Frank's quest to show us that, as for many ordinary blacks, it was the struggle with racism and exclusion which often shaped the lives of African American soldiers. After the war, "[t]heir fight seems far from over" (Knauer 2014, 230). Against the backdrop of the pre-civil rights era, Morrison unveils a mid-twentieth-

century America filled with racial prejudice, where blacks customarily underwent many distressful and violent situations, as when, in the novel, an African American man is beaten at a coffeehouse for daring to order coffee or the black boy shot by a policeman. Traumatized war veterans also withstand the cultural displacement and social discrimination that characterize postcolonial American society, "integrated as soldiers but segregated as civilians" (Darda 2015, 102). As Reverend Locke, who first gives Frank shelter at Mount Zion church, tells him: "You [black soldiers who serve in an integrated army] all go fight, come back, they treat you like dogs. Change that. They treat dogs better" (*Home*, 18). And yet, some good Samaritans, such as Reverend Locke or Billy Watson, another veteran, "remnants of an underground railroad of kindness" (Charles 2012, n.p.), generously offer Frank help and hospitality.

Reverend Locke warns Frank, who has served in a desegregated army, about the racism he is going to encounter up North: "maybe you think up North is way different from down South. Don't believe it and don't count on it. Custom is just as real as law and can be just as dangerous" (*Home*, 19). Morrison exposes how, in the 1950s as in the 1920s, America is not still a safe place for African Americans. On the contrary, they are victims of severe violence. Along Frank's travels, we see blacks under the threat of attack by the Klu Klux Klan, lynching and persecution, a man beaten at a coffeehouse, and this violence reaches into the very private sphere of the African American home with Frank's family's expulsion. Frank knows that when you are black, it does not matter if you are outside or inside "for legal or illegal disruption" (*Home*, 9). War-traumatized African American soldiers were treated as "criminals." In fact, Locke wonders why the police do not take Frank to jail rather than hospital. Ludicrously, he can only think that they might believe the veteran is dangerous because "[i]f you was just sick they'd never let you in" (*Home*, 13). Furthermore, when Frank and a friend are subjected to a random search, they are disdainfully released once one of the police officers notices Frank's medal, symbol of his honorable service to his country. At this time in America, walking without "purposeness" could lead to detention and an accusation of vagrancy or loitering. In *Sula*, Shadrack is arrested for vagrancy and intoxication when, having been peremptorily discharged from the hospital, he feels dizzy and stumbles, as though he were drunk.

Frank's trip back home to rescue Cee epitomizes the redemption quest of the shattered black self. The broken veteran begins the reshaping of his identity and a healing reconciliation with the past: "For Frank, though, the healing isn't easy. He must confront his demons—secrets about the war's brutalities that he hasn't been able to acknowledge. His manhood and his sanity are at stake until he does" (Thomas 2012, n.p.). He leaves behind his crippling apathy, recovering his sense of mission and hopes for a better future. His selfless love for his sister and sense of responsibility toward hers help him focus on his rescuing mission, and travelling allows him to cope with his haunting memories. Eventually, Frank shows signs of recovery. He realizes that his harrowing recollections "did not crush him anymore or throw him into paralyzing

despair" (*Home*, 100) and that he may have many sad memories, "but no ghosts or nightmares for two days" (106). To set his sister free, Frank successfully defies the evil white doctor, Dr. Beauregard Scott, for whom his sister is working as an assistant and who has been performing eugenic experiments on her without consent. Frank just walks into the office of the doctor, who at the sight of a black man, immediately mistakes him for a thief and threatens him with a gun. Frank takes his sister and walks out with her calmly and without violence. By exhibiting a heroic behavior in the face of the physician's cowardice, he retrieves his manliness and dignity, and breaks with the Western stereotype of the black man as a beast. His non-violent actions make him feel proud for the first time in a long time. Nonetheless, even though Frank "succeeds in rescuing his sister and quieting many of his own demons by the end of the journey, it is much more difficult to argue that the cultural and racial traumas that he bears are fully healed" (Ibarrola 2014, 111).

In Lotus, when Cee tells him that she cannot have a baby, Frank can finally cry, which he has not done since he was a child, not even when his friend Mike died in his arms. In the end, the unnerved soldier can acknowledge pain, while his feelings are hopeful: "there were worthwhile things that needed doing" (*Home*, 135). His final redemptive act takes place in his hometown when brother and sister together tackle an appalling episode of their infancy, when they witnessed a burial and were terrified. However, it is not until the siblings are piecing together their fragmented selves that they start wondering what happened back then. They learn from their grandfather Salem that whites organized "men-treated-like-dog fights" (*Home*, 138) to the death between black individuals. The corpse buried belonged to a father killed by his own son, who was fighting to save his own life. The iniquity of these fights and the consequent animalization and dehumanization of black men in a white racist society are paralleled and contrasted with the opening image of two stallions fighting and standing "like men" (*Home*, 3), a childhood memory full of dignity and violence.[17] Brother and sister celebrate a ritual for the dead black male, whose bones are arranged inside a quilt Cee has made which is then put under a sweet bay tree with a wooden marker, which reads "Here Stand A Man." In this ceremony, Frank and Cee bestow the stolen dignity and humanity on that anonymous black man, thus regaining theirs. The ritual symbolism of the quilt (identity reconstruction) and that of trees (ancestry, life and death) are thus combined. Ergo, Morrison suggests the self-construction process, along with the need to pay homage to ancestors. Besides, in this cyclic return to the beginning, she hints at the connection between scarring memories and the present in the postcolonial period, as well as intimates the need to lay the haunting ghosts of the past—slavery and its legacy—to rest before a better future can be built. As Morrison contends, "[t]he best defense against the destructiveness of racism

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[17] According to Vega González, horses as "symbols of power, strength and masculinity [. . .] which are in turn related to war [. . .] prefigure the setting of the Korean War Frank will be involved in" (2013, 214).

[. . .] is the formation of a cultural identity derived from an understanding of history" (Wall 2005, 6), and reconciliation with a harrowing past.

We cannot expect recovery from Shadrack, since his deranged condition seems permanent. Nevertheless, by the end of the novel, the crazy veteran undergoes some changes in behavior. Sula's demise affects him deeply. When the enervated man sees her dead, he thinks: "Another dying away of someone whose face he knew" (*Sula*, 158). He finally understands that he cannot control life or death: "Suicide Day has not warded off death and disorder" (House 1997, 102). The Bottom soldier, "still energetically mad" (*Sula*, 173), realizes how the voices are less and less with him, the drunken times are deeper but less frequent and his war remembrances are fading, "it was harder and harder to conjure up sergeants, and orderlies, and invading armies, harder and harder to hear the gunfire and keep the platoon marching in time" (*Sula*, 156). In our last image of the veteran, ironically, Shadrack, "the ritual healer associated with the river and fish as a symbol of regeneration" (Grewal 1998, 58), is brooding over how the river has killed all the fish.[18] This extinction goes hand in hand with the annihilation of the Bottom, which "becomes a golf course—a sacrifice to urban renewal" (Barrett 1994, 4). Not only can Shadrack's transformation not be seen as a recovery, but also his ritualistic role brings about the sacrifice of the black community to the oppression of a racist white-dominated society: "*Sula* expresses the long and slow death of hope in a black community, the trials of black women and black men who fought the war and suffered its disorder ever after" (Grewal 1998, 58).

Both *Home* and *Sula* unearth the atrocious impact of war on the human mind. Traumatized black veterans endured acute symptoms such as nightmares, hallucinations, distress, etc., and also their consequences, substance abuse, homelessness, unemployment, etc., which impaired their daily lives. Shell-shocked soldiers are the ultimate example of the fractured black self in relation to its own community and society in general. In Morrison's novels, war-related trauma can only be understood within a broader meaning of trauma linked to racism and its history in America. The psychological aspect of deranged traumatized soldiers must be read within the historical and social contexts in which they lived, the violence, discrimination, prejudice and injustices blacks had to bear on a regular basis. Morrison also shows us the intricacies of these veterans' journeys of healing and redemption. After they were terribly damaged by war, the American government and society did not provide appropriate treatment or the necessary support services for veterans, who ended up isolated and cast away, suffering the violence and racism of postcolonial America. From their marginalized position, these crazed black soldiers had to reestablish the broken bonds with their communities and reconstruct their identities, recovering their lost self-confidence and self-worth.

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[18] Grewal is comparing him to the wounded Fisher King in *The Waste Land*.

In *Sula*, but especially in *Home*, the concepts of alienation or orphanhood, identity, home and race are tangled together. Uprooted black veterans try to find a home, "a space of security and comfort lodged in memory [. . .] embedded in the unconscious" (Schreiber 2010, 160), in the rural black community that embodies their collective memory, while society at large fails them. Frank and Shadrack alike become, as Trudier Harris argues with respect to Frank, "the epitome of the community penchant for survival" (1991, 61). They incarnate the African American damaged veteran's modes of resilience and strategies to cope with trauma, which metaphorically symbolizes the black community's struggle to survive in the face of racial discrimination and oppression. Morrison unveils how many black people can overcome devastating tribulations, such as war, even though the emotional distress experienced leaves a lasting imprint upon them. However, some of them remain forever disabled. These broken soldiers exemplify the difficulties of healing the wounds of slavery and, as Sam Durrant (2004) asserts, "the impossibility of ever fully coming to terms with the history of racism" (quoted in Ibarrola 2014, 122). Through her anti-heroic psychologically distraught veterans, Morrison "ha[s] looked beyond and before the war on terror to trace a longer history of permanent war in the United States" (Darda 2015, 101-102).

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Manuela López Ramírez holds a MA degree and a PhD in English Literature from the University of Valencia. Her research interests include the Gothic in the literature of the United States, focusing mainly on two American authors: Nathaniel Hawthorne, especially his novel *The House of the Seven Gables*, and Toni Morrison.

Address: IES Alto Palancia. Avda. Constitución, s/n. 12400, Segorbe, Castellón, Spain. Tel.: +34 964336390.

Facing Old Age and Searching for Regeneration in a Dying AmericanWest: Gregory Martin's *Mountain City*

DAVID RÍO

Universidad del País Vasco / Euskal Herriko Unibertsitatea (UPV/EHU)
david.rio@ehu.eus

Contemporary western American literature is increasingly departing from the traditional association between the West and youth in classical frontier mythology, showing an aging, gray and often ill West, as illustrated by authors such as Cormac McCarthy, Marilynne Robinson, Wallace Stegner and Ken Haruf, to name just a few examples. This perspective also plays a powerful role in Gregory Martin's *Mountain City* (2000), an impressive memoir about a decaying Nevada mining town and its aging population. This article explores the interaction between living and aging in Martin's book. It is often a continuous dialogical process of exchange and overlap where Martin revises western mythology centered on the youth trope and deconstructs negative images of old age and disease. Martin offers a realistic portrait of a fading western way of life. However, his emphasis on the vanishing condition of traditional western stereotypes turns out to be problematic. In fact, Martin's bleak vision of the Old West and its broken promises coexists in *Mountain City* with his recognition of the pervasive quality of the archetypal western regenerative influence, as exemplified by the power of this declining community to heal the narrator's placelessness and provide him with a sense of "homeplace" and a cultural identity.

Keywords: American West; Gregory Martin; old age; place; identity; home

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Afrontando la vejez y buscando la regeneración en un Oeste norteamericano moribundo: *Mountain City*, de Gregory Martin

La literatura contemporánea del Oeste norteamericano progresivamente se ha ido alejando de la tradicional asociación entre el Oeste y la juventud en el imaginario clásico de este territorio, mostrando un Oeste en proceso de envejecimiento, gris y a menudo enfermo, tal y como puede verse en diversas obras de Cormac MCarthy, Marilynne Robinson, Wallace

Stegner o Ken Haruf, por citar sólo a algunos autores. Este punto de vista desempeña un papel fundamental en la obra de Gregory Martin, *Mountain City* (2000), un brillante relato acerca de un pueblo minero de Nevada condenado a extinguirse, con su población cada vez más envejecida. El presente artículo analiza la interacción entre el ansia vital de sus habitantes y su progresivo envejecimiento. A menudo se trata de un proceso dialógico con múltiples solapamientos en cuya representación Martin cuestiona la mitología del Oeste centrada en el tropo de la juventud y deconstruye imágenes negativas sobre la vejez y la enfermedad. Martin ofrece una visión realista de un modo de vida tradicional del Oeste en proceso de desaparición. Sin embargo, su visión pesimista sobre el viejo Oeste y sus promesas rotas coexiste en *Mountain City* con la aceptación de la pervivencia del arquetípico rol del Oeste como fuente de regeneración, tal y como queda de manifiesto a través del poder de esta comunidad en declive para poner fin al desarraigo del narrador y proporcionarle un sentimiento de afinidad con un lugar y una identidad cultural.

Palabras clave: Oeste norteamericano; no-ficción; Gregory Martin; vejez; lugar; identidad; hogar

Go West, young man, go West, and grow up with the country.
(Horace Greeley, *New York Tribune*, 1865)

You think when you wake up in the morning yesterday don't count. But yesterday is all that does count. What else is there? Your life is made out of the days it's made out of. Nothin else.
(Cormac McCarthy, *No Country for Old Men*, 2005)

1. INTRODUCTION: LITERARY GERONTOLOGY AND THE AMERICAN WEST

From the late twentieth century and into the early twenty-first increasing attention is being paid to the treatment of old age within different cultures.[1] After a long period of oblivion and neglect, age and aging are now emerging topics in cultural studies, as illustrated by the recent expansion of engaging gerontological approaches through the lens of the arts and humanities. The increase in life expectancy in the industrialized world, epitomized by the so-called "greying" of the United States and most western European countries, has given rise to a growing concern with the experiences of aging and old age. Writers have started to pay more attention to aging issues and critical examinations of older age have also gained prominence in literary studies, though literary gerontology is still quite a novelty. Representations of aging and old age have been too often explored as "a motif, metaphor, or symbol of something else; love, time, creativity, memory, mortality" (Wallace 2011, 391). In fact, as recently as 1988 Kathleen Woodward was arguing that "among the categories of social division in a given culture and historical period (we may include race, gender, class and age) only age has remained invisible, not subject to analysis" (90). Similarly, five years later Anne Wyatt-Brown claimed that "aging is a missing category in current literary theory" (1993, 1). However, in the last three decades the treatment of aging in literature has come of age, as exemplified by such remarkable titles as Prisca von Bagnell and Patricia Spencer Soper's *Perceptions of Aging in Literature* (1989), Kathleen Woodward's *Aging and Its Discontents: Freud and Other Fictions* (1991), Anne Wyatt-Brown and Janice Rossen's *Aging and Gender in Literature: Studies in Creativity* (1993), Sara Munson Deats and Lagretta Tallent Lenker's *Aging and Identity: A Humanities Perspective* (1999), Mike Hepworth's *Stories of Ageing* (2000), Maria O'Neill and Carmen Zamorano's *The Aesthetics of Ageing* (2002), Maria Vidal-Grau and Núria Casado-Gual's *The Polemics of Ageing as Reflected in Literatures in English* (2004), Brian J. Worsfold's *The Art of Ageing: Textualising the Phases of Life* (2005) and *Acculturating Age: Approaches to Cultural Gerontology* (2011),[2] Heike Hartung

[2] The last four volumes mentioned are compilations of essays edited by members of the research group Dedal-Lit (Department of English and Linguistics, University of Lleida), a group that has played a key role in the increasing visibility of literary gerontology in Europe.

and Roberta Maierhofer's *Narratives of Life: Mediating Age* (2009), and Margaret Morganroth Gullette's *Agewise: Fighting the New Ageism in America* (2011), to name just a few of the relevant titles on literature as a gerontological resource. The creation of such associations as the European Network in Aging Studies (ENAS), founded in 2011, or its American version, the North American Network in Aging Studies (NANAS), established two years later, also illustrates the increasing academic interest in the study of cultural aging, including literary representations of aging and old age.

Cultural obsession with youth has often eclipsed the issues of aging and old age in many western countries, particularly in the United States, a nation that historically has vindicated youth as one of its main social and cultural identity traits. As Neil Campbell has suggested, America has traditionally viewed itself as "a mythic nation of youthfulness, formed out of the rejection of the 'parent' culture and creating itself anew" (2004, 2). For Campbell, America's fascination with youth is exemplified by several cultural creation myths such as Ponce de Leon's search for the Fountain of Youth in Florida or George Washington's youthful energy to chop down his father's English cherry tree in a symbolic break with the Old World (2). This attachment to the youth trope also accounts for the scarce attention paid to the treatment of aging in American literature and culture until recently. As Roberta Maierhofer has stated, "American studies has been slow to pick up the topic of aging and incorporate it into its teaching and research" (1999, 255).

The invisibility of aging has been particularly remarkable in studies focused on the American West, a territory whose mythology has usually been associated with the youth motif. Horace Greely's famous motto for the westward expansion ("Go West, young man, go West and grow up with the country") in 1865 is just an example of this long-established connection between the West and the youth trope, a fundamental ingredient of the whole Manifest Destiny ideology.[3] For Greeley the West epitomized the promised land for young Americans searching for prosperity and success. As he remarked in his short-lived journal *The New Yorker* in 1838 (361):"If any young man is about to commence in the world, we say to him, publicly and privately, Go to the West. There your capacities are surely to be appreciated and your industry rewarded." Western mythology centered on the youth trope has also tended to envision the region as the quintessential territory for regeneration and a new beginning. For example, Frederick Jackson Turner's classic frontier thesis idealized the West as "an opportunity for social development continually to begin over again, wherever society gave signs of breaking into classes. Here was a magic fountain of youth in which America continuously bathed and was rejuvenated."[4] As Henry Nash Smith argued in his

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[3] Although Horace Greeley is generally credited with having coined this phrase, it seems that Greeley himself claimed that John B. L. Soule, an Indiana journalist, was the actual originator of the phrase in an editorial in the *Terre Haute* (Indiana) *Express* in 1851 (Hendrickson 2000, 491). However, its origins still remain elusive. In fact, Thomas Fuller claimed that "John Soule had nothing whatsoever to do with the phrase" (2004, 242).

[4] Address at the dedication of a new high school building at Turner's home town of Portage, Wisconsin, January 1, 1896, reported in the Portage *Weekly Democrat*, January 3, 1896 (Turner Papers, Henry E. Huntington Library, quoted in Smith [1950] 1982, 254).

seminal work *Virgin Land: The American West as Symbol and Myth* ([1950] 1982), Turner focused on the idea of nature to create "a poetic account of the influence of free land as a rebirth, a regeneration, a rejuvenation of man and society constantly recurring where civilization came into contact with the wilderness along the frontier" ([1950] 1982, 253). Similarly, James K. Folsom has claimed that for Turner "the presence of the frontier represents a force which constantly rejuvenates an American society that, left to itself, would become constantly more over-refined and decadent" (1989, 92). Even in contemporary times the figure of the West as a magic fountain of youth seems to retain part of its appeal for Americans, who still seem to identify the West with youth and regeneration. For example, according to a 2009 Pew Research survey (see Figure 1), older Americans in the West feel younger and healthier than older people in the rest of the country. According to the same survey, feeling young seems almost inevitably correlated with happiness, with those Americans living in the West being more likely to be happy than those living in other regions of the United States: "if you want to be among a lot of older folks who feel young and happy, the West looks like your best bet" (Pew Research Center 2009, n.p.)

Figure 1. "Go West, Old Man: Where Older Adults Feel Young at Heart"
(Pew Research Center. Social and Demographic Trends 2009, n.p.)

Who Feels Old, by Region
% of those 65 and older who say they feel old

Region	%
West	21
Northeast	28
South	29
Midwest	34
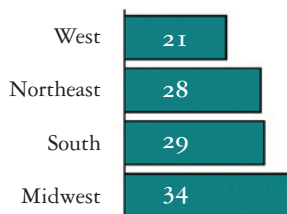
Older Americans in the West Feel Younger, Healthier
Percentages based on those 65 and older

■ West ■ Other regions

	West	Other regions
Don't feel old	78	67
Excellent/ good health	72	63
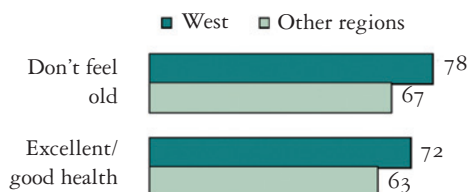
Note: Sample sizes for subgroups are as follows: West, n=308; Other regions, n=1,024

Despite the resilience of the youth trope and its mythology in the American West, recent western American literature has started to explore old age and ageism, showing an aging, gray and often ill West. For example, the experience of aging figures prominently in some notable novels published in the last five decades, such as Wallace Stegner's *Angle of Repose* (1971), Ken Haruf's *The Tie That Binds* (1984), Marilynne Robinson's *Gilead* (2004) and Cormac McCarthy's *No Country for Old Men* (2005). Contemporary western American authors are increasingly departing from the traditional association between the West and youth to address a variety of aspects related to old age, including health in later life, family relationships, interpersonal communication, intergenerational conflict, cultural perceptions of the elderly, the connection between place and identity in older generations, or gender, race and class issues. Stories of aging in the American West often show the potential of fiction for "understanding variations in the meaning of experience of ageing in society" (Hepworth 2000, 1). However, insightful descriptions of aging in contemporary western American literature are not restricted to the fictional realm, as illustrated by the book to be discussed in the present article, Gregory Martin's insightful memoir *Mountain City* (2000). This work received a Washington State Book Award and was named a *New York Times* Notable Book of the Year. It was translated into Spanish in 2001. The book also won Martin a Silver Pen Award from the University of Nevada Reno, and a place in the Nevada Writers' Hall of Fame.

2. *Mountain City*: a Fading Community where Old Age does not Mean Surrender

Gregory Martin's affecting and illuminating debut memoir depicts his family's life in a remote northeastern Nevada town of thirty-three residents. He focuses his memoir on the grocery store (Tremewan's) run by his extended family, the descendants of Basque sheepherders and Cornish tin miners. Tremewan's store, with its humorous exchanges between Uncle Mel and his customers, is not only at the center of the memoir but also at the center of Mountain City, a place identified early in the book as a declining community, as a relic of the boom-and-bust mining past of the American West: "Mountain City is not a town or a city or anything else. Mountain City is copper and a little silver and less gold. Mountain City is a state of flux and impermanence" (2000, 45). Through Mountain City, Martin epitomizes a dying rural West, a region of failed promises and broken dreams, offering a realistic approach to its history and to the life of his relatives, departing from traditional romanticized versions of westward expansion. He admits the influence of the hope trope on the genesis and precarious development of Mountain City, but he emphasizes the weight of failure in the overall history of this place, as exemplified by its abandoned mines, a powerful testimony to the stereotypical boom-and-bust cycle of the West. In fact, Martin defines this town as "a place of repetition, a Western archetype for hope and failed hope and failure"

(46). Mountain City might be regarded as a metaphor for the vanishing of certain traditional ideas and motifs linked to frontier mythology, such as youth, individualism and opportunity. In its decay, it is doomed to become a ghost town, where no one, except the narrator and his cousin (both temporary residents), is younger than forty. Death haunts the place and, in fact, by the end of the book two residents of Mountain City, including the narrator's grandmother have died. This dying community is also affected by other circumstances that testify to the frailty of the town, such as poverty, isolation and illness. It is also worth noting Martin's recurrent use of a winter setting to portray the experiences of Mountain City's inhabitants in what may be viewed as a symbolic reference to the fading western way of life, to the winter of the Old West and its frontier mythology.

Although the inhabitants of Mountain City are aware of being part of a dying community in a sick and decaying place, Martin does not present their lives as displeasing or worthless. Instead, he stresses their endurance and perseverance despite their age, illness, economic adversity, the certain end of the town or difficult weather conditions. Mountain City residents do not quit because, like the narrator's grandmother, they have been taught to believe that "the weather is hard, but it's not as hard as you are" (Martin 2000, 114). Old age is not associated with regret about a golden, wasted youth, but rather with stoical endurance because old age does not mean surrender. As Barbara Lefcowitz and Allan Lefcowitz have stated, "what is distinctive about the perseverance of an old person is the fact that he or she persists despite awareness of a severely limited time frame, an awareness that differs sharply from the vague recognition, 'someday I will die,' common to human beings of any age" (1984, 134). Significantly enough, Mountain City residents do not retire and the only one who takes time off from work is the young and restless narrator, Gregory Martin himself, who spends summers and a post-college year there. The elderly people in this town manage to busy themselves with several daily activities because, after all, as Richard Eder has argued, "you can't retire from bitter cold, frozen pipes, treacherous roads and mortality's worm, hungrier day by day" (2000, n.p.).

Martin portrays Mountain City residents' losing battle with time as a dialogical process of exchange and overlap between living and aging. It is a dual process where both the individual and the community display their refusal to give up fighting. Thus, the book contains insightful stories about individual elders who demonstrate their perseverance in their daily activities. Particularly noteworthy is the case of the narrator's grandfather (Gramps), who struggles to maintain his perspective, his sense of humor and his independence amidst increasing frailty and health problems. Martin, for example, stresses his grandfather's stoical endurance to keep on with his daily chores without depending on others' help. Certainly, this insistence on being self-sufficient might be regarded as a matter of pride or stubbornness, but also as a way for Gramps to feel alive: "Taking care of his yard is something Gramps can still do, and as the number of such things diminishes, it's not something he'll let

others do for him" (Martin 2000, 150). Despite an increasing feeling of uselessness, Mountain City residents never remain inactive and are committed to continuing to live in a place where life has never been easy, and which is now even more difficult due to their increasing health problems. Their perseverance parallels the historical tenacity of the town, a place with 130 years of history, whose inhabitants refused to leave after the end of the mining booms of 1870, 1919 and 1934. Their attachment to Mountain City illustrates their strong sense of place and their reverence for the land and it could even be interpreted as an example of their loyalty to a traditional western way of life. However, we should not misunderstand the endurance of Mountain City residents as a proud vindication of frontier mythology. Actually, the narrator's relatives exemplify the rejection of a romanticized view of the West: "For Gramps and his dad, the dream of the West never meant what Louis L'Amour or Hollywood said and continued to say it meant, over and over and over. They took the jobs that were available, because they didn't want to go someplace else. They were trying to figure a way to stick to the landscape" (Martin 2000, 32).

Martin's memoir does not present aging in Mountain City as a uniform process, instead revealing the multiple dimensions and variations of this experience. As Stephen Katz has claimed: "no 'single knowledge' of ageing is possible because the 'meanings' of ageing and old age are scattered, plural, contradictory, and enigmatic [. . .] Age is everywhere, but the world's cultures have taught us that age has no fixed locus" (1996, 1). For example, in *Mountain City* the narrator's grandmother (Grandma), as her husband is still alive, is viewed as the *other* by the widows of the town. She does not qualify to join them at the local bar (to drink coffee and play the slots), in spite of being of a similar age: "merely being old or gray or frail or lonely or divorced, singly or in combinations, is not enough. Your husband must be dead" (2000, 21-22). While the book acknowledges the existence of individual variations in the process of aging—in Brian J. Worsfold's words, "every experience of aging is unique as every individual is unique" (2011, xix)—it also underscores the common features underlying the condition of growing older. Martin departs from the myth of rugged individualism associated with the westward expansion to underscore the relevance of communal elements, presenting aging as a process shaped by continuous interaction between the individual and the community. The book consists of individual stories of aging, but they are carefully intertwined, with Tremewan's store acting as the center of the community and the place where individual experiences converge to create a compelling mosaic of aging in the rural West. Mountain City's residents are able to age in their small community where familiarity, trust and solidarity are key ingredients to explaining its survival. The mining town's residents have to cope with aging in a physically hostile environment, in a space removed from their original cultures and traditions, as exemplified by their Basque forebears, whose surnames and figurative connection to places suggest "heritage and rootedness and belonging" (Martin 2000, 54). However, Martin's relatives and their neighbors manage to grow old together in

their close-knit community, with aging being seen as a cross-cultural and intercultural process and most relationships being based on a sense of shared history. After all, the process of aging is often based on the tension between the private self and the social aspects of coming to terms with one's mortality. As Mike Hepworth has argued, "to understand the experience of ageing, we have to understand both the personal and social meanings that individuals give to ageing—to see the world through their eyes and how they define a particular situation" (2000, 15).

3. Place, Identity and the Intergenerational Impact of Aging

Although Martin's memoir seems to break with stereotyped visions of the West, his departure from traditional frontier mythology becomes problematic when we analyze the impact of his interplay with both his elder relatives and the town itself on his identity. In fact, it might be argued that Martin also recreates in his memoir some traditional tropes of western mythology. This ambivalence towards the western archetype is not surprising, as Edwin Fusell has claimed, "the American West is almost by definition indefinite and indefinable, or at least changing, pluralistic, and ambiguous in signification" (1965, 4) and "from the onset, the American concept of frontier reveals a shifting character and a striking ambivalence" (6).

In *Mountain City* Martin reenacts classical frontier mythology centered on the opposition between the civilized East, represented in the memoir by Martin himself, and the wild or primitive West, epitomized by this remote mining town, whose inhabitants refuse to adjust to the priorities and demands of the modern world: "there are no stoplights and no stop signs" (Martin 2000, 8), "the man's wearing a suit, which, in Mountain City, is like wearing a Halloween costume" (18). Martin's status in the book resembles that of classical frontier figures due to his ability to negotiate between these two opposing worlds. Due to his educational background he seems to play, at least at the beginning of his memoir, an archetypal civilizing role, particularly in his exchanges with his uncle Mel, whose behavior he finds peculiar, not to say eccentric. Martin's intellectual and civilizing attitude initially clashes with the traditional and rudimentary ways and views of the community, as seen, for example, in his own attempts to explain Zeno's paradox to his uncle. However, Mountain City also works as a safety valve for Martin, as a place for opportunity and escape, one of the classical ingredients of frontier imaginary. He manages to free himself from the constraints of civilization in a rough environment that symbolizes the wilderness of classical frontier mythology, a place where "cultural refinement and emphasis on manners give way to pragmatic empiricism" (Busby 1989, 96). The old mining town fits into the traditional redeeming function of the West in frontier mythology because it is able to heal Martin's identity crisis in the increasingly homogenized and anonymous American society. Actually, for Martin the American West continues to play its archetypal role as a source of regeneration because his immersion in this vanishing community is able

to provide him with a sense of homeplace and a cultural identity that he misses: "I have lived in twenty-one places in twelve states in twenty-seven years" (Martin 2000, 55). Throughout this time, he has kept returning to Mountain City, not just to help his relatives at the store or to spend time with them knowing that their death was close, but also because he did not feel as whole anywhere else. He had graduated from college with a degree in philosophy, but he was still searching for his identity. He faced placelessness and a growing distance from his cultural identity and, in particular, from his Basque cultural heritage. As a matter of fact, the book emphasizes the importance of the etymology of family names among the Basques, mourning the loss of their figurative connection to landscape provoked by migration and acculturation: "cultural identity, the homeplace, and the relationship between cultural identity and homeplace are lost" (Martin 2000, 55). Thus Martin's visits to Mountain City become a journey of self-discovery in which his grandparents and other old people in the town work as his guides to discover the meaning of his life. As were many others who went West in the past, he is looking for a new beginning, for a place to belong to. As Martin himself has explained in an essay recently published: "I was born in Radford, Virginia, but that town is just a name and a place on a map [. . .] I did not know where I belonged [. . .] I was like one of those sheepherders who needed to come in off the range and be taken in. But I didn't have an old country. There was no place, not one, that actually *was* my home" (2011, iv-v, italics in original). The West, even if it is a dying West, as epitomized by Mountain City, seems to retain its potential for rebirth and renewal, healing Martin's uprootedness and providing him with a sense of loyalty and attachment to a dying community that he regards as his homeplace.

The concept of home in *Mountain City* is brilliantly explored by Martin in his memoir in connection not only with his personal longing for a place to belong to, but also with the lifestyle of Mountain City residents. It is a town with very few houses, where most people live in trailers. This idea seems to recall once again the archetypal celebration of mobility, freedom and reinvention in western mythology. Certainly, trailer homes epitomize a transient mentality, free from the constraints of community life, and stereotypical views about the West and its history: "Let's get a house that moves so that when the price of gold (or silver or copper or whatever) goes to shit, we can get the hell out" (Martin 2000, 55). Nevertheless, Mountain City inhabitants do not meet traditional expectations about American and, in particular, western mobility.[5] They do not move either physically or socially (physical and geographical movement in the American experience traditionally included a search for social mobility) and their behavior basically embodies a resident idiosyncrasy and economic limitations.[6]

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[5] According to the US Census Bureau, the average American moves approximately fourteen times in his or her lifetime (United States Census Bureau, accessed online on March 15, 2016).

[6] Most Americans living in mobile homes are usually associated with low income and low occupational prestige. As Diana Kendall, for example, has noted, "as used by the media, the terms 'white trash' and 'trailer trash' often have similar meanings, whether or not the individuals in question actually live in trailers" (2005, 158).

In fact, the townsfolk have only moved to trailers in the yard for practical reasons of an economic nature: "None of the old, empty houses in Mountain City is fit to live in [. . .] And no one in Mountain City can afford to haul all the building materials the eighty-four miles from Elko, they couldn't pay for both the labor and the daily round-trip transportation costs of the construction crew" (Martin 2000, 56). The notion of *home* becomes a key factor in understanding the experience of aging, and it can be analyzed from a symbolic interactionist perspective, an approach that acknowledges "the central role symbols and images play in the social organization of human life and consequently the central role played by symbols in the creation of the individual human self" (Hepworth 2000, 11). The individual self-consciousness of *home* and, in general, of places and spaces may be regarded as a symbolic experience and contributes to shaping age identities (Hoskins 1998, 1-24; Hepworth 2000, 72-98). In *Mountain City* the trailer homes of the town's residents serve to transcend traditional dichotomies between attachment to place and mobility (they are ready to move, but they refuse to do so, choosing instead to grow old in a dying place), showing the interdependence between both spheres and their interconnection with aging issues.

Martin's interaction with Mountain City residents also allows him to revise his own idea of home. His time in this town makes him realize that at last he has found a place to belong to. He has been able to overcome his uneasiness about his lack of a homeplace: "What is the name for the homesickness of the person who does not know where home is?" (Martin 2011, v). The long hours he has spent in Mountain City with his relatives have provided him with a cultural identity and an answer to his journey of self-discovery. He is aware that his true home is the American West and, in particular, Mountain City, the place where his soul resides. However, Martin's concept of home is a dynamic one because feeling at home in one place does not necessarily involve residing there: "*Home* means different things to different people [. . .] To me, home is the place I cannot keep from disappearing" (Martin 2000, 191, italics in original). Gregory Martin's emphasis on home reflects a common trend in postfrontier western writing, where there is an increasing interest in the experience of staying in the West rather than in the archetypal image of going West. As Russell Martin notes, "it appears that the region's writers are paying rather more attention to the issue of home, at once simple and enormously complex, to the questions of why and how we stay anchored here despite that sweep of change" (1992, xix).

In *Mountain City* Martin offers a mosaic of personal memories where place and identity are often immersed in a continuous dialogical process of exchange and imbrication. Although his affection for the town and its inhabitants is obvious in the book, Martin refuses to portray an idealized view either of the place or of its local characters. His aim is to capture the town and the lifestyle of his relatives and neighbors, recording their sense of place from a realistic perspective, even though he feels emotionally attached to Mountain City and its residents. As Gregory Martin himself has argued, "places are not perfect, and neither are people. People are flawed, and I knew then [. . .] that readers

don't become less sympathetic when they learn a character's flaws, they become more sympathetic. They see themselves. To portray people as they are is an act of compassion and empathy" (2011, viii-ix). His memoir re-enacts geographies, celebrating the experience of conjunction, of becoming intimate with place, and emphasizing the role of intergenerational family interaction in this process. Martin does not only paint a realistic and compelling portrait of Mountain City's residents and their powerful sense of place, but he also vindicates the social role of old people, criticizing ageism, as exemplified by contemporary attitudes towards the elderly, and in particular, by their devaluation in present-day society:[7] "Back then, you know, it used to be that young guys would look after the older ones, take the tougher jobs, the more physical work, leave the older ones some slack, keep them on the payroll. It's not like that anymore. Progress, you know. Efficiency" (Martin 2000, 146). The book deconstructs negative images of old age and disease, emphasizing the benefits of interpersonal interaction between different generations and vindicating the value and usefulness of old-aged people, apart from their traditional role as memory agents. As Doris Lessing, for example, stated: "Lucky the culture where the old can talk to the young and the young can talk to the old" (in Gray 2004, 94). Martin's memoir reveals the high rewards that he gets from his relationship with his older relatives and friends in Mountain City. He learns from them the true nature of one's identity, "how you feel about living in the world is who you are" (Martin 2000, 178) and how to face time without anxiety. In fact, this intergenerational communication will become a key aspect in Martin's facing up to his own aging process: "I'm happy to be in a blizzard with my grandparents, sharing this time with them as their health fades and they enter their last days, however graceful or awkward. It's instructive, these things they say to each other, in teasing, in love, after sixty-two years of marriage. They're teaching me how to grow old" (Martin 2000, 169).

4. Conclusion

Mountain City may be defined as an insightful and authentic approach to the contemporary rural West, where Martin challenges both the traditional frontier mythology trope and certain classical images of aging in American culture. His memoir revises archetypal mythic discourses about the American West centered on individualism, youth and movement tropes, though it also shows the resilience of some mythic conceptions of this region, in particular, the notion of the West as a source of spiritual regeneration, rebirth and renewal. It is a book that testifies to the increasing visibility of aging and elderly people in western American literature, confronting traditional cultural assumptions about the aging process and exploring the close connections between

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[7] The term "ageism" was coined by Robert N. Butler who equated discrimination against old people with racism and sexism and claimed that "age-ism reflects a deep seated uneasiness on the part of the young and middle-aged—a personal revulsion to and distaste for growing old, disease, disability; and fear of powerlessness, 'uselessness,' and death" (1969, 243).

concepts of place and identity and the older population. Martin's memoir reflects the need to reconsider both stereotypical popular limited visions of the American West and standard constructions of old age in America. A culture that traditionally has favored innovation and youth and has focused on avoiding or resisting old age is bound to pay more attention to an increasingly aging population for whom youth only represents the past.[8] In this sense Martin's experiences among the elders of Mountain City work as a powerful argument against negative cultural constructions of old age and in favor of interpersonal and intergenerational communication. As Laurel Porter has noted, "the very young report that they would rather die than become old or ugly or ill. But the more human contact we have with the aged, the more love and respect we can feel for these morally strong, often courageous versions of ourselves who have seen more, understood more, and done more than we" (1984, 8).

Martin's memoir illustrates the power of storytelling not only to record one's sense of place but also to make sense of our individual subjective experience of aging. As Sue Taylor points out in relation to stories of aging in general, "as the older character in the storyline confronts issues associated with old age and their own ideas of self, so does the reader" (2002, 125). Similarly, Mike Hepworth has insisted on the value of storytelling to understand "the interactional variations in the experience of ageing: namely, the interplay between body and self, self and others, objects, places and spaces, and some risks to which these are exposed in later life" (2000, 19). *Mountain City* should not be regarded simply as an elegy to a dilapidated mining town in rural Nevada or to an old western lifestyle, because the very fact of telling the story of this place serves to bring it to life again, rescuing the town from an almost inevitable physical disappearance. Although the book illustrates the power of the oral tradition of telling the story of a community, as exemplified by the stories exchanged at Tremewan's store, Martin's memoir also reveals the need to preserve these stories on paper for future generations, for the young ones to remember the town and its people. The author knows that Mountain City is fading and that his relatives' health is deteriorating. In fact eleven years after the publication of the memoir only twenty-four people lived in Mountain City, Martin's grandparents had died and Tremewan's store had closed (Martin 2011, xi).[9] However, Martin is aware that due to his book the town and its inhabitants will remain not only in his mind but also in the mind of its readers: "The artist's task is to elegize and defy elegy, at once. We make a record because memory will fail us. We make a record because the people we love will die and their memories will die with them. The towns we love grow more haunted with each passing year" (Martin 2011, xi). Mountain City and its residents may disappear physically, but Martin's memoir certainly testifies to the power of literature to preserve a town in the collective conscience.

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[8] In fact, by 2050 the United States is expected to have 111 million people aged sixty or over (Phillipson 2013, 15).

[9] His uncle, Mel Basañez, would die a year later. See his obituary in *The Reno Gazette Journal* (October 23-24, 2012).

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David Río is Professor of American Literature at the University of the Basque Country (UPV/EHU) in Vitoria-Gasteiz, where he also coordinates a research group (REWEST) specialized in the literature of the American West. He is the author of *El proceso de la violencia en la narrativa de Robert Penn Warren* (1995), *Robert Laxalt: The Voice of the Basques in American Literature* (2007) and *New Literary Portraits of the American West: Contemporary Nevada Fiction* (2014).

Address: Departamento de Filología Inglesa. Facultad de Letras. Universidad del País Vasco / Euskal Herriko Unibertsitatea (UPV/EH). Paseo Universidad, 5. 01006, Vitoria-Gasteiz, Álava, Spain. Tel.: +34 945013975.

From the Traumatic to the Political:
Cultural Trauma, 9/11 and
Amy Waldman's *The Submission*

SONIA BAELO-ALLUÉ
Universidad de Zaragoza
baelo@unizar.es

Since the 9/11 terrorist attacks a long list of novels concerned directly or indirectly with these events have been published. Psychic trauma literature has been especially popular among them, a fiction accused of solipsism and depoliticized discourse by being mostly unconcerned with the attacks' global context and political consequences. This essay does not ignore the importance of the trauma paradigm but focuses on cultural rather than psychic trauma and on Amy Waldman's *The Submission* (2011) as an example of the possibilities raised by the cultural trauma novel. Although rooted in the domestic and the personal, Waldman's novel transcends the shortcomings of psychic trauma fiction by exposing the cultural and political consequences of trauma, thus opening up a new path for future 9/11 fiction.

Keywords: trauma studies; *The Submission*; Amy Waldman; trauma fiction; 9/11 fiction; contemporary American literature

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De lo traumático a lo político:
el trauma cultural, el 11 de septiembre y
la novela de Amy Waldman *The Submission*

Desde los ataques terroristas del 11 de septiembre se han publicado bastantes novelas que tratan el tema de forma directa o indirecta. La literatura del trauma psicológico ha sido especialmente popular, una ficción acusada de solipsismo y de usar un discurso despolitizado al no centrarse en el contexto global de los ataques y sus consecuencias políticas. Este ensayo no ignora la importancia del paradigma del trauma pero se centra en el trauma cultural en vez del psicológico y en la novela de Amy Waldman *The Submission* (2011) como ejemplo

de las posibilidades que la novela de trauma cultural conlleva. Aunque enraizada en lo doméstico y lo personal, la novela de Waldman trasciende las limitaciones de la ficción de trauma psicológico al exponer las consecuencias culturales y políticas del trauma, de esta forma abriendo un nuevo camino para la futura ficción sobre el 11 de septiembre.

Palabras clave: estudios de trauma; *The Submission*; Amy Waldman; ficción de trauma; ficción del 11 de septiembre; literatura americana contemporánea

More than ten years after 9/11, many novels have been published that deal with the terrorist attacks and their consequences in direct or indirect ways.[1] A brief analysis of the type of novels that literary critics have studied in the numerous essays, chapters and complete books that have been written on 9/11 fiction shows that the most popular novels among academics deal with domestic, psychic trauma, and are mostly unconcerned with the broader global context and the political consequences of the events. However, in these years, a certain dissatisfaction has also grown, first among literary journalists, and later among some literary critics, as to the shortcomings of this emerging fiction, and the trauma studies approach that has been favored in their analysis. This essay does not ignore the importance of the psychic trauma paradigm when dealing with 9/11 fiction; however, it also examines the danger that individual, psychic trauma fiction has of falling into national solipsism and inadvertently backing ideas of American exceptionalism. Although it is hard to find the great American novel that captures the epoch-making events of 9/11, Amy Waldman's *The Submission* (2011) exemplifies the possibilities and advantages of approaching trauma from a cultural, global perspective. This is a cultural trauma novel that moves beyond the shortcomings of psychic trauma fiction to show the cultural and political consequences of trauma, opening up a new path for future 9/11 fiction.

1. American Exceptionalism and Psychic Trauma

To understand why the trauma paradigm has been so popular, it is necessary to go back in time to the aftermath of 9/11. The shocking, unexpected terrorist attacks produced in many people an initial disbelief and emotional numbness, followed by fear and anxiety that led to collective mourning and the idealization of victims, the police and fire officers. Strong patriotic sentiments also developed and, in an attempt to rebuild lost confidence in the strength of the nation, President George W. Bush defended the position that the United States was an enduring nation that had been attacked precisely for its exceptional nature and moral superiority (2003, n.p.). 9/11 was also presented in public discourse as a conflict between good and evil and a clear division was established between victims and perpetrators (Bush 2001, n.p.). In this political atmosphere, the trauma paradigm emerged as the perfect means to safely accommodate this public discourse of patriotism and this melodramatic division between good and evil, at the same time as giving people the means to articulate their personal experiences of suffering and pain through the mass media. However, the trauma discourse was also used to justify the ideology of American innocence, exceptionalism, moral clarity and pre-emptive action. As Richard Crownshaw highlights, Bush's discourse produced a collective melancholia for an idealized national past that never really existed (2011, 760). In order to protect the homeland, this collective melancholia was also combined

with a movement in ideology from American exceptionalism to America's state of exception, as seen in the authorization of "indefinite detention," unilateral war and the curtailing of civil rights (Duvall 2013, 281-282).

America's state of exception and its accompanying trauma discourse and underlying melancholia were also reinforced by certain intellectuals who asserted that, out of the horror of the terrorist attacks, the only good things that could emerge were the end of the age of irony (Rosenblatt 2001, n.p.; Coyne 2001, 18), the death of postmodernism, and a new "moral clarity" removed from pseudosophisticated relativism (Bennett 2002, 150). Other voices instead defended the need for irony and accused the Bush administration of imposing a "new unilateralism" (Fish 2001, n.p.) and "fixed ideas" (Didion 2003). However, it was Susan Sontag, only twelve days after the tragedy, that most clearly denounced the dangers of the trauma discourse and claimed that the Bush administration and some media commentators were using a "reality-concealing" rhetoric with their talk about confidence-building and grief management: "Politics, the politics of a democracy—which entails disagreement, which promotes candor—has been replaced by psychotherapy. Let's by all means grieve together. But let's not be stupid together. A few shreds of historical awareness might help us to understand what has just happened, and what may continue to happen" (2001, n.p.).

In spite of her prescient words, the trauma discourse has permeated both political discourse and 9/11 literature, which has caused a certain depoliticization of both. Many 9/11 novels, especially the early ones, have retreated to the world of domesticity, depoliticizing discourse and assimilating the unfamiliar into familiar structures, ignoring, in turn, the panoramic and public (Gray 2011, 28). For example, Jonathan Safran Foer's *Extremely Loud and Incredibly Close* (2005), Jay McInnerney's *The Good Life* (2006), Claire Messud's *The Emperor's Children* (2006) and Don DeLillo's *Falling Man* (2007) focus not on the causes of the tragedy or even on its cultural consequences for the nation, but rather on the way the attacks affected the lives of specific individuals and families, which some critics have interpreted as a "failure of the imagination" (Rothberg 2009a, 152-158). These early novels narrow the scope to the psychic, individual trauma that the attacks produced without questioning its political and ideological origins. As Pankaj Mishra has put it, "for all that 9/11 stands for in their sentimental and nostalgic novels about New Yorkers coping with loss, it could be a natural disaster, like the tsunami" (Mishra 2007, n.p.). Curiously enough, in spite of the obvious limitations that psychic trauma fiction has when dealing with 9/11 as a cultural event, the popularity of these novels among academics is undeniable. This is probably so because, since the 1990s, trauma studies have become a major field of interdisciplinary research, and those scholars who had already been working in the field received psychic trauma novels as an opportunity to put into practice their own theories. In an insightful essay Lucy Bond goes as far as to suspect that "some theorists may have seized upon 9/11 to illuminate the phenomenon of trauma, rather than utilizing trauma (or traumatic paradigms) to illuminate 9/11" (2011, 755).

On the tenth anniversary of the tragedy other critics looked back on the literary fiction produced to date in an attempt to find the great 9/11 American novel, capable of capturing the traumatic consequences of the event without simply offering domestic approaches to the tragedy. For example, Richard Crownshaw (2011, 757-776) and Richard Gray (2009, 139) have defended Cormac McCarthy's 9/11 allegory *The Road* (2006) as a novel that breaks with national fantasies of an innocent homeland and American exceptionalism. Duvall and Marzec, in their introduction to the special issue of *Modern Fiction Studies* (2011), looked for a more politically engaged 9/11 novel and found it in Jess Walter's *The Zero* (2006), a good candidate since it combines both a political and a domestic satire, and in Salman Rushdie's *Shalimae the Clown* (2006). In *Studies in the Novel* (2013), Duvall has more recently explored other possible, less realist approaches to 9/11 and has found that postmodernism and irony are still useful tools to depict the new geopolitical landscape. He has suggested novels such as Ken Kalfus's *A Disorder Peculiar to the Country* (2006) and, again, Jess Walter's *The Zero* since it deploys irony to satirize the American response to the attacks and to comment critically on America's post-9/11 state of exception (Duvall 2013). Another novel that for some critics has overcome the dangers of depoliticization is Joseph O'Neill's *Netherland* (2008) due to the encounter with the immigrant it portrays (Rothberg 2008). Adam Haslett's *Union Atlantic* (2009) and Jonathan Franzen's *Freedom* (2010) have also been mentioned (Morley 2011) but they address the post-9/11 world in very general terms and without really dealing with the attacks' direct consequences, or doing so in very oblique and indirect terms. Other critics have looked beyond the US to find novels that approach the post-9/11 world in non-US centered ways (Cilano 2009).

It is undeniable that psychic trauma is an important part of what happened on 9/11 and a novel dealing with the events and their aftermath should not ignore the domestic aspects of the tragedy. As Catherine Morley puts it, the power of fiction "goes well beyond the narrowly political" (2011, 720) and should not sacrifice "the domestic dramas of everyday life" (731) for global networks. Instead, it should combine the narrow and the broad, the everyday with geopolitical issues. Home, identity and sovereignty are all affected by globalization and the latter is not an issue that 9/11 fiction should ignore, but it needs to be approached without losing the power of individual and family dramas. Of course, as a theory of fiction it is hard to disagree with Morley's views but it is also hard to find US novels that achieve this perfect combination of the global and the local. This essay explores these possibilities by analyzing Amy Waldman's *The Submission* (2011), a novel that manages to combine the global and the local, the numbness of psychological trauma with the polyphony of cultural trauma, and which is rooted both in the domestic and the personal but does not ignore globalization and the way it affects all types of identities. This novel shows trauma in a potentially new way, providing a new way forward for 9/11 fiction which has often been trapped in narrowing conceptions of trauma and the impossibility of its articulation.

2. *The Submission*: A Counterfactual Novel of Cultural Trauma

As we have seen, from the very beginning, in 9/11 fiction there was a confrontation between the trauma discourse and the critical political discourse and it was apparently impossible to have both at the same time. The trauma paradigm has traditionally been understood as anti-narrative, dealing with silence, numbness, inaction, fear, pain, retreat; the political discourse needs narrative, it asks questions, and deals with context, history, perspective, action. Literature has drawn from both, as we can see in the trauma novel and the political novel. The cultural trauma novel, on the other hand, combines the traumatic and the political and, as we will see, offers channels that the psychic trauma novel cannot provide. Amy Waldman's *The Submission* focuses on the panoramic and the political, and on the collective and cultural aspects of trauma for the nation. *The Submission* is a counterfactual novel written on the tenth anniversary of 9/11. It deals with what happens in the United States two years after the terrorist attacks when an anonymous competition is organized to select a design for a Ground Zero Memorial. The jury chooses a Garden but they soon discover with surprise that the winner is an American Muslim architect called Mohammad Khan. Thus, *The Submission* is a 9/11 novel of trauma that deals with the cultural trauma of a nation trying to close its wound by choosing a fitting Memorial, which, rather than bringing closure and healing the nation, opens a new wound in the country's social fabric.

Amy Waldman (born 1969) is a former *New York Times* reporter and this is her first novel. The reception of the novel has been very positive and Michiko Kakutani has even seen it as an example of what a 9/11 novel should be, given its "big historical backdrop and pointillist emotional detail" and its "visceral understanding of how New York City and the country at large reacted to 9/11, and how that terrible day affected some Americans' attitudes toward Muslims and immigrants" (2011, n.p.). Kakutani has not been alone in her appraisal of the novel, which won the Janet Heidinger Kafka Prize and an American Book Award and was a finalist for the Hemingway Foundation/ PEN First Fiction Award. Curiously enough, when upon publication reviewers first tried to establish a literary context in which to place the novel, they largely ignored 9/11 literature and focused instead on big political and social novels like Tom Wolfe's *The Bonfire of the Vanities* (Kakutani 2011; Witt 2011). Amy Waldman has mentioned as models authors like Richard Price and Jonathan Franzen for the way they combine "very intimate portraits of people but also how are they changed and are their personalities and histories changing these very public grand events" (Waldman, in Brown 2011, n.p.). Other critics like Rebecca L. Walkowitz have mentioned as literary frame of reference the novel of multiculturalism linked to a large metropolis (2012, n.p.). Only recently has the novel started to be considered along with other 9/11 political novels like Mohsin Hamid's *The Reluctant Fundamentalist* (2007) and Joseph O'Neill's *Netherland* (2008) but still acknowledging that Waldman's novel breaks new ground. As Keeble points out: "*The Submission* is directly political in a way that even the politically charged novels by Hamid and O'Neill are not" (2014, 165).

Emily Witt opens her review of the novel for the *New York Observer* by underlining Waldman's distance from fiction and closeness to nonfiction and journalism. For Witt, *The Submission* is "more a synthesis of her firsthand experience as a reporter than an examination of collective memory" (2011, n.p.). Although it is true that journalism and the mass media play an important role in the story, it is undeniable that *The Submission* is an examination of collective memory that deals with how, in order to overcome a national trauma, societies need to remember and integrate their pain into the nation's official narrative. This is why traumatic memory is so open to manipulation, since specific power groups may try to rewrite it so that it meets their own interests. The whole discourse of patriotism and American Exceptionalism that followed 9/11 may be read in this light.

For Jeffrey Alexander cultural trauma affects whole communities, who see their sense of identity shattered by the events. According to him, "[c]ultural trauma occurs when members of a collectivity feel they have been subjected to a horrendous event that leaves indelible marks upon their group consciousness, marking their memories forever and changing their future identity in fundamental and irrevocable ways" (2004, 1). In *The Submission* the discovery of the identity of the designer of the Garden shatters the nation's sense of identity once more and triggers a public firestorm that grows as antagonistic positions are established. Paul Rubin (the chairperson of the jury) invites Mohammad Khan to withdraw his submission if he wants to see America heal since he views the selection as a new wound opening in the country. He tries to convince him with these words "I don't know why anyone who loves America, wants it to heal, would subject it to the kind of battle the selection of a Muslim would cause. Think of Solomon's baby" (Waldman 2011, 65). Since Khan refuses to withdraw or even explain his design, the Memorial fails as a place around which the nation can reconcile. In this sense, Gauthier has claimed that what makes Khan's design so unsettling is that "it would bring perpetrator and victim, intentionally or not, in close proximity to one another" (2015, 207). It becomes a new site of cultural trauma that forces society to confront its own notions of freedom, tolerance, non-discrimination and equal opportunity policies.

The Memorial becomes a cultural trauma replayed in society by varied pressure groups: jurors, journalists, politicians, family members, liberals, conservatives, illegal immigrants, artists, Muslims, and so on. What makes this novel especially kaleidoscopic is the fact that within these groups new antagonisms and unexpected alliances are established due to social class, gender or political ideology. Rather than the personal perspective of the psychic trauma novel, this cultural trauma novel shows how the nation's sense of collective identity is shaped and how trauma and the memory of trauma is played out in society through a prolonged process of collective uncertainty, negotiation and contestation over the proper form of commemoration and the proper way to articulate loss.

American national identity is based on the idea that one can always heal and place the past in its proper context. Memorials play the role of facilitating the coming to

terms with the past and the healing of the victims (Sturken 2007, 14). Thus, Ground Zero is a place of both memory and mourning, a place to work through pain. An official memorial needs to accommodate both the individual suffering of the victims and the suffering of the nation. After 9/11 small and spontaneous memorials emerged around some fire stations, Union Square and Ground Zero. They were mainly collections of candles, photographs, flags, soft toys and flowers. There were also missing posters and memorial walls. The *New York Times* published the "Portraits of Grief" where victims were individualized and named (2002). As Marita Sturken notes, this process served "to pull these individuals out of an abstract image of mass death and to render them different, unlike any others" (2007, 175). E. Ann Kaplan has also remarked on how the posters of lost people stuck along Tenth and Twelfth Streets turned into a vast communal outpouring of emotion and made visible the need for closure (2005, 7, 12). However, unlike these personal memorials, an official memorial needs to account for the abstract image of death, it needs to be symbolic enough so that it means something for everyone, but it should also give the direct victims some recognition and consolation. It is the kind of memorial that should be able to close the wound of 9/11 on a national level.

3. The Right Type of Memorial

The debate over what an official memorial should be like opens *The Submission*. The jury has whittled the entries down to two. Ariana, a famous sculptor, lobbies for "The Void," which is a black granite rectangle, twelve stories high, over an oval pool, with the names of the dead carved onto its surface. It is a design that Ariana finds "visceral, angry, dark, raw, because there was no joy in that day" (Waldman 2011, 5). She wants a place to act out trauma, to confront the pain, rather than work through it. Claire, whose husband was killed in the attacks and who represents the victims in the jury, prefers "The Garden," which is made of real and cast-steel trees and has a white wall with the names of the victims. For her it gives hope, it represents recovery and healing. They finally choose the Garden but its meaning will change once the Muslim identity of its designer is discovered and as the different pressure groups claim it to be "a martyr's paradise," "Victory Garden" or "Trojan horse." The *Wall Street Journal* will claim: "Two decades of multicultural appeasement have led to this: we've invited the enemy into our home to decorate" (Waldman 2011, 116). This fictional account of the mass media reaction to the hypothetical choice of a garden designed by a Muslim architect as the national 9/11 memorial, is to be understood in the real cultural atmosphere that 9/11 produced. For Paul Giles, 9/11 became for the United States "the most visible and haunting symbol of the new permeability of its borders, its vulnerability to outside elements" (51). The homeland needs to be guarded when the border between the domestic and the foreign cannot be easily policed and, in the novel, Khan's design and Khan himself look foreign, even though he was born in the United States and, in origin, his design was just a garden in which to mourn the pain produced by the terrorist attacks.

The real-life memorial competition was organized by the Lower Manhattan Development Corporation, also two years after 9/11. Although it was not an anonymous competition, it was very popular and received five thousand two hundred and one entrants from sixty-three nations. The designs of the eight finalists were made public and were discussed in the mass media. As happens in the discussion between Ariana and Claire in the novel, there were concerns that the style of most designs was abstract modernist minimalism, rather than a more figurative representation which would be easier to understand. James E. Young, a member of the jury for the real-life National 9/11 Memorial at Ground Zero, has claimed that even though the real jury's internal arguments did not unfold the way they do in *The Submission*, Ariana and Claire's opposing views highlights "a fundamental tension between the families' need for closure and the contemporary artist's need to articulate unredeemable loss" (2012, n.p.). The final memorial design was Michael Arad's "Reflecting Absence," which seems closer to Adriana's choice of design in *The Submission*, but also shares some aspects with Claire's Garden choice. It's an open plaza filled with more than three hundred oak trees and two massive pools with waterfalls cascading down their sides, into the space of the towers' footprints. The names of the victims are inscribed around the edge of these Memorial pools. The emphasis on the footprints of the towers, the voids they left, symbolize the nation's loss but the trees also provide a natural atmosphere of consolation and recovery. It is meant to be a place for the nation to heal but also a place for the nation to be proud since in Ground Zero we also find the One World Trade Center, formerly known as the Freedom Tower, which is the highest building in the United States and has a symbolic height of 1776 feet (a reference to the year when the United States Declaration of Independence was signed).

The initial, personal opposition between fictional judges Ariana and Claire is the beginning of many other binary oppositions that constitute the backbone of this novel, which is divided into four parts. At the beginning, identities seem fixed and characters are close to stereotypes. We have the ambitious, unethical tabloid reporter, the anti-Muslim Christian crusader, the Muslim activists, the oppressed Muslim woman, the assimilated Muslim, the wealthy liberal widow, the conservative politician, the liberal one, etc. Unlike other 9/11 novels, like Jess Walter's *The Zero* (2006), which favor a limited, third-person narration that focalizes on the main character (Duvall 2013, 284), in *The Submission* we have an omniscient, third-person narrator that focalizes on every character. While the ironically impaired angle of vision and the breaks in consciousness of the main character of *The Zero* symbolize American political blindness towards the state of exception (Duvall 2013, 285), in *The Submission* the fragmentation of the narrative process provides the reader with many different perspectives that shape the debate over how to deal with memory and trauma in the cultural arena and across diverse cultural forums. For example, after we are introduced to the original situation and the way the jury inadvertently chooses the design sent by Mohammad Khan, in chapter three we have access to Mohammad Khan's past and how he was harassed by

authorities after 9/11 simply for being a Muslim. We also learn that he was born in the United States, has received a secular education and has hardly ever been to a mosque in his life (Waldman 2011, 28). In this way, the shock of the jury's choice of a Muslim is countered by the direct access to Mohammed's life. Then, the narrator moves back to Claire and her memories of her past life with her dead husband and her present life as a widow with a child. We are invited to identify with every character, to get to know each perspective, simply in order to see things form a different one.

Khan's lawyer tells him once: "Your mind operates like a kaleidoscope: just shift the view and suddenly everything looks completely different" (175). Even Claire will also realize that "there are two sides to everything, including this. Probably more than two sides" (200). Therefore, from very clear-cut positions, most characters evolve and see other perspectives that make them question their initial beliefs. This is a process that the narrative structure reinforces with the constant crisscrossing of perspectives making readers participate in the kaleidoscope that emerges. This narrative technique is especially welcome if we take into account that in most 9/11 narratives there is a lack of encounter with "the other." The few attempts in this direction have only scratched the surface as seen in John Updike's *Terrorist* (2006), Martin Amis's short story "The Last Days of Muhammad Atta" (2006) and Don DeLillo's *Falling Man* (2007). In fact, even bearing witness to the culturally other is missing in most 9/11 early novels, though with some notable exceptions like Laila Halaby's *Once in a Promised Land* (2007) and Mohsin Hamid's *The Reluctant Fundamentalist* (2007).

4. The Unsuitable Designer

In the second part of the book the controversy becomes public when Mohammad's name is leaked to the press and the debate over the suitability of the jury's choice becomes an issue of national debate. The simplified initial positions are made more complex. For example, Claire is not the only victim any more. Sean is introduced as the brother of an Irish firefighter who died on 9/11, and he becomes a strong opponent to the Garden. Both Claire and Sean are victims but they are separated by ideology (Claire is liberal; Sean is conservative) and by social class (Claire is a wealthy WASP; Sean is working class and undereducated). Sean cannot understand why Claire favors the Garden memorial: "Maybe money made you feel less, Sean thought, picturing Claire in her mansion, which was bigger than he'd even imagined (and he'd spent a lot of time imagining it), bigger than any he'd seen" (119).

Later on another new victim is introduced: Asma Anwar, the widow of an illegal immigrant from Bangladesh also killed in the attacks. Even though they are all victims their views on the Garden are very different. As psychic trauma victims they may all have been overwhelmed by their loss, which resists language and representation (Whitehead 2004, 3). In trauma theory it is often believed that trauma can also help create new types of solidarity and communities. According to Cathy Caruth, "trauma

itself may provide the very link between cultures" (1996, 11). However, in the case of victims the issue is a bit more complex because they may be linked by their pain—Kai Erikson talks about "a gathering of the wounded" (1995, 187)—but they may also experience estrangement and separation not just from non-victims, but from other victims too, leading to fragmentation and more pain. *The Submission* displays the frictions that competitive memory may cause in individual victims based on their race, ethnicity, gender, social class, age, political ideology and religious beliefs. They all view their pain from different perspectives and present specific histories of victimization. However, *The Submission* can also be read as an example of "multidirectional memory," a concept defined by Michael Rothberg as an alternative to competitive memory, which "cuts across and binds together diverse spatial, temporal and cultural sites" (2009b, 11). As Keeble explains, following Rothberg, *The Submission* is also an invitation into "multidirectional memory" as it gives access to all these different perspectives and establishes the need for reconciliation and collaboration in the construction of a multidirectional collective memory that escapes exclusivist visions (2014, 168).

In spite of this invitation into multidirectional memory, *The Submission* focuses more on competitive memory and on the separation that the victims experience due to their different origins, backgrounds and identities. They all feel a sense of entitlement, and demand to be heard, but they cannot find a single voice with which to express their wishes as a group. In this sense, the novel separates from more optimistic accounts of trauma like Arthur G. Neal's belief that national trauma "is shared collectively and frequently has a cohesive effect as individuals gather in small and intimate groups to reflect on the tragedy and its consequences" (2005, 4). *The Submission* focuses more on competing groups, separation and social estrangement and it is probably so because its focus is not on the immediate aftermath of 9/11 but on the social, political and cultural articulation of the trauma. According to Smelser, when the trauma becomes cultural, it is articulated in the mass media and its mechanisms are established and sustained by power structures, social agents and contending groups (2004, 39). Thus in the second part of the novel, lobby groups emerge, turning an individual fight into a group objective. On the one hand, the Muslim American Coordinating Council defends Khan and his right, like any other American, to win the competition. On the other, relatives' and first responders' associations emerge to defend their right to choose their own memorial. Working through psychic trauma is a personal process since victims may not even share or be able to share their experience with any others. Cultural trauma is a public event that is openly played out in society where power and access to the mass media are equally important.

5. The Unsuitable Design
It is in the third part of the novel that the mechanisms associated with cultural trauma start to work. First of all, the debate becomes more complex because it stops revolving around Khan's Muslim identity and moves to the design itself, which starts

to be interpreted as an Islamic Garden, maybe even a martyr's paradise. Ambivalence and doubt affect the main characters and groups. Unlike in psychic trauma, in cultural trauma a series of carrier groups need to broadcast claims of an injury and demand reparation to an audience that needs to understand the nature of the pain, of the victim and of those responsible. The mass media, state bureaucracy, the legal system or even literature will publicly articulate this process leading to the revision of the collective identity. This acting out process is carried out in the novel by, on the one hand, Save America from Islam (SAFI) and the Memorial Defense Committee but also by the Committee to Defend Mohammad Khan, the Mohammad Khan Defense Fund and the Mohammad Khan Protection League. The debate is also played out in the media as a series of advertisements against the Garden are aired on television. Khan's lawyer wants to counter these advertisements with a series of commercials that reinvent Mohammad's identity: "'We need you holding up pictures of your children,' he said, and, when Mo [Khan] reminds him that he has none, the lawyers retort is 'Borrow some. We've got to humanize you. No, Americanize you. We want your family albums. Your Boy Scout medals. We want to run ads in advance of the public hearings'" (209).

The Muslim American Coordinating Council prepares an ad campaign to defend Khan with the motto "An Architect, not a Terrorist" but Khan pulls out of the ad campaign since "he felt like a new product being rolled out to market" (172). The either/or rhetoric is the only one that works to win the public debate. As a consequence, Khan's complex identity needs to be simplified by the media: he is either a patriot American who only wants to comfort the victims with his design, or a radical who has created an Islamic Garden to mock the victims. To escape these simplifications Khan also undergoes his own identity crisis and, in spite of having received a secular education, decides to observe Ramadan and grow a beard. He also feels "half god, half freak" (155) when celebrities like Susan Sarandon, Tim Robbins, Robert De Niro, Rosie O'Donnell and Sean Penn start to back his cause.

These simplifications need to be understood in the context of cultural coping of traumatic events. As Kalí Tal states, personal coping and cultural coping are not the same thing. Cultural coping is achieved through several strategies. One of them is mythologization, which turns trauma "from a frightening and uncontrollable event into a contained and predictable narrative" (1996, 6). Society needs to assimilate an unexpected trauma that eludes sense-making, hence the trauma needs to be domesticated and simplified. If in psychic trauma, traumatic memory is transformed into narrative memory as part of the working through process, in cultural trauma events are transformed into a set of symbols that codify the experience, creating a formula or pattern (7). In *The Submission* messages are simplified through media campaigns and the use of symbols like pro-Garden green ribbons, anti-Garden stickers and American flag pins that both sides choose to wear since patriotism is always a safe choice when American identity is at stake.

The advertisements on TV use the technique of mythologization that Tal defines as a usual practice for the cultural coping with trauma. 9/11 is reduced to a series of well-known, recognizable images that become the narrative of the events.

"Have We Forgotten?" another [advertisement] began, the words white on black. Then came a montage of the attack's most harrowing sights and sounds: the jumpers swimming through air; the desperate messages on answering machines; the panicked voices of emergency dispatchers; the first fulminating collapse, and the second; the tsunami of smoke chasing terrified New Yorkers down narrow, rumbling streets; the aghast faces of witnesses, the distraught ones of orphans. Then, "The Jury Forgot"—and a faint, but unmistakable, image, almost a holograph, of Mohammad Khan—"But the Rest of Us Haven't." (Waldman 2011, 168)

Hence the meaning of traumatic experiences becomes a battle between the victim, the community and the political power and is seen in political discourse, popular culture and scholarly debate. As Kalí Tal explains, the result of this battle has important effects and consequences. For example, if the victim's trauma is appropriated by the dominant culture, it may be reshaped and retold in such a way that it does not threaten the status quo. However, if victims manage to control the way their trauma is codified, they may be able to influence future political action (1996, 7). In *The Submission* it becomes obvious that there are many different ways to interpret Khan's design and many ways to present Khan's Arab-American identity. The media provide the resources to silence certain interpretations and reinforce others, thus Khan fears that he has lost control over his own design when the advertisements on TV simplify, appropriate and codify it.

6. The Local Turns Global

The fourth and final part of the novel turns the debate into something violent and global. There is a public hearing when Khan finally explains his design: "Life goes on, the spirit rejuvenates—this is what the garden represents. But whereas the garden grows, and evolves, and changes with the seasons, the wall around it changes not at all. It is as eternal, as unalterable, as our mourning" (Waldman 2011, 217). Inadvertently, he also claims in passing that a man wrote the Quran, which causes imams from the Netherlands to Nigeria to denounce him, a fatwa is issued against him in Iran and a mob burns his effigy in Pakistan. As it is summarized in the book: "The crazies he was supposed to keep watch for had broadened beyond Muslim-haters to Muslims who hated him for not being Muslim enough" (240). However, it is Asma's speech (the Bangladeshi widow) and her subsequent assassination that become the turning point in the debate. Whereas Sean decides to stop fighting against Khan (262), Claire organizes a press conference with members of the Muslim

American Coordinating Council to ask Khan to withdraw and to unite around a different memorial. As Roth and Salas suggest, collective trauma is coped with by "overcoming the polarity between perpetrators and victims in order to reach a social consensus that may reconstruct the sense of collective identity" (2001, 11). With this reversal of Sean and Claire's initial positions Khan finally withdraws and the memorial ends up being a kitschy, but safe, garden of flags.

Claire's words after her meeting with Khan are very interesting: "If Mr. Khan had shown more willingness to explain his design, so it wouldn't be the subject to misinterpretation, or even to modify it, I would have continued to push for the Garden and many of the families would have done the same" (Waldman 2011, 274). In a way, one of the underlying mysteries in the novel is precisely Khan's reasons for designing a garden for the memorial. Not even in those chapters in which the omniscient, third-person narrator focalizes on Khan, do we learn of the actual reasons for his choice of design. Because of this mystery Gauthier believes that readers will probably experience some empathic connection with Claire, and may question their own misgivings about Khan, who is presented as the other of the novel: "Just as the otherness of Arab and Muslim-Americans was heightened after 9/11, so too is the designer's. Waldman thus creates a scenario where ambivalence exists on both sides" (2015, 209). This ambivalence is highlighted in the final chapter before the epilogue. It is a flashback to Khan's visit to Afghanistan, where he was sent by his firm to submit a design to build the new American embassy in Kabul. This is an episode that is presented in chapter five of the novel, and which shows Khan as a simple architect who has no interest in religion or politics. The details of this trip are also included in a report that the chairperson of the jury, Paul, orders the security consultants to prepare in order to find out more about Khan's identity when he learns that his design is selected. However, the flashback in chapter twenty-five shows a different aspect of Khan's visit: the way he happened to find Babur Gardens in Kabul and the peace that he encountered there. The scene suggests that Khan may have been inspired by an Islamic garden after all when designing the memorial, but it also implies that it was the peace he found there, rather than any political or religious implications, that fed his inspiration.

Unlike individual trauma, which may disappear through psychological work, in cultural trauma there is a constant, recurrent struggle that stirs up the troubling memory time and again, and to psychologically work through the trauma is not enough since social consensus and reparation are also necessary. The epilogue of the novel is set twenty years later. Khan lives in Mumbai, is near to sixty and has become a wealthy architect. In the intervening years his public image has been recouped and there has even been a retrospective of his career in the Museum of New Architecture in New York called "Mohammad Khan, American Architect" (Waldman 2011, 286). American Muslims are now accepted in American society since the nation seems to have moved back from the state of exception to American exceptionalism. However,

he is stuck in the past and still feels that: "America had offered his immigrant parents the freedom to reinvent themselves. Mo [Khan] had found himself reinvented by others, so distorted he couldn't recognize himself" (293). William (Claire's son) and his girlfriend Molly visit him because they are filming a documentary about what happened with the memorial. Rebecca L. Walkowitz interprets the documentary film as being a living memorial that documents the story of Khan's failed memorial and, to do this, William and Molly record those that took part in the controversy and their response to each other's interviews (2012, n.p.). In a way, the documentary mirrors the structure of the novel since once more some of the main participants in the controversy have a chance to look back and reflect on the decisions they made twenty years before. There are also people who did not have a voice then, but do now, like Edith—Paul Rubin's widow—and Abdul—Asma's son. William and Molly show Khan the video of Claire and record Khan's response to it. Later on, they will show it to Claire again in what seems a final attempt to make each of them understand the other's point of view and provide an opportunity to close the wound.

Khan shows them how the design for the original memorial has become the private pleasure garden of a rich Muslim. Instead of the names of the dead inscribed there though, there is Arabic calligraphy, whose meaning Khan does not reveal. However, William resists the new meaning of the Garden and adds a few small rocks in a corner as a private tribute to his father. His individual pain for the loss of his father thus finds a way into Khan's design, adapting its meaning to William's need. Even though he does not know what the Arabic calligraphy means, he makes the Garden mean something special to him alone, finding a place for his father's memory within it. This may be the small redemption that Waldman claims can be found in the ending, alongside the general feeling of loss and regret (Waldman, in Lawless 2012, n.p.).

In *The Submission* the individual pain of specific families plays an important role in the story (Claire and her son William, Asma and her son Abdul), but the novel does not simply retreat to the world of domesticity and ignore the consequences for the nation. One of the dangers of focusing on the effects of trauma on the individual psyche alone is that it may leave aside the conditions that made the attacks possible. As Judith Butler has claimed: "Isolating the individuals involved absolves us of the events" (2004, 5). Along these lines, Lucy Bond believes that "prioritization of individual experience empties theoretical reflection of all contextualizing historicity, displacing the event itself as the focus of attention" (2011, 749). The novel's greatest achievement is that it combines psychic and cultural trauma, the global and the local.

If, as sociologists suggest, cultural trauma changes the sense of identity of members of a collectivity, we cannot ignore the fact that, as a consequence of globalization, US national identity has changed since 1980 when the country entered "a transnational era, one more centered around the position of the United States within global networks of exchange" (Giles 2007, 46). Given this context, Michael Rothberg states that 9/11

demands "a literature that takes risks, speaks in multiple tongues, and dares to move beyond near-sightedness" (2008, 140-141). 9/11 is a cultural, transnational trauma of global scope and reflects the ways in which the world has changed. *The Submission* starts with the individual trauma of Claire and other 9/11 victims but becomes cultural and collective when the choice of Khan's Garden tears the social fabric. The story returns to the personal when Claire's son works through his pain by writing his dead father's name with a few small rocks in a corner of the Garden. *The Submission* deals with the global circulation of traumatic memory, the types of traumatic reception and the commodification and ideological instrumentalization emerging from cultural and social traumas. In a time of globalization, novels about trauma and memory cannot just look inwards since to understand the conflicts of the self, one has to look beyond the self.

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Sonia Baelo-Allué is an Associate Professor at the University of Zaragoza (Spain), where she primarily teaches US literature. Her current research centers on trauma studies and 9/11 fiction. She has published *Bret Easton Ellis's Controversial Fiction: Writing between High and Low Culture* (Continuum, 2011) and co-edited with Dolores Herrero *The Splintered Glass* (Rodopi, 2011) and *Between the Urge to Know and the Need to Deny* (C. Winter, 2011). She is also co-editor of the journal *Miscelánea: A Journal of English and American Studies*.

Address: Departamento de Filología Inglesa y Alemana. Facultad de Filosofía y Letras. Universidad de Zaragoza. C/ Pedro Cerbuna, 12. 50009, Zaragoza, Spain. Tel.: +34 976761518.

In Search of a Happy Ending:
The Afterlife of *Romeo and Juliet* on the Asian screen[1]

Rosa M. García-Periago
Universidad de Murcia
rosagperiago@um.es

This essay takes as its starting point the view that the afterlife of *Romeo and Juliet* in several Asian Shakespearean film adaptations is characterised by the presence of a happy ending. The film corpus used consists of adaptations set in countries such as India (*1942: A Love Story*, *Issaq* and *Ram-Leela*), China (*Qing Renjie*), Singapore (*Chicken Rice Wars*) and Japan (a Japanese TV adaptation of *Romeo and Juliet*). The first section explores how the ending is actually altered and the second provides a brief historical overview of *Romeo and Juliet* in these countries and considers why all these adaptations feel the need to transform the tragic *dénouement* for a happy resolution. As post-colonial—and hybridised—works, or simply works aiming to resist Western hegemonic power, the purpose of the adaptations considered is two-fold: to challenge the Western authority of Shakespeare and to offer a new way of reading the play via the use of mimicry, parody or the burlesque. The last section then demonstrates the strategies used by all these adaptations to advance an inauthentic ending; they all "cheat" and play with the audience. All the modern-day adaptations explored highlight the need to have popular appropriations of the play—beyond straightforward literary productions—which reinterpret and rewrite the Shakespearean play in an Asian context in order to make it their own. Following a postcolonial framework, this essay shows that it becomes necessary to understand the rewriting of *Romeo and Juliet* in some Asian countries. Experimentation, recreation and parody abound in all these adaptations, with clear political implications.

Keywords: Shakespeare; *Romeo and Juliet*; adaptation; happy ending; cinema; Asia

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Buscando un final feliz:
La recepción de *Romeo y Julieta* en el cine asiático

Este artículo parte de la idea de que la recepción de *Romeo y Julieta* en determinadas adaptaciones se caracteriza por la presencia de un final feliz. El corpus fílmico utilizado para este artículo consta de adaptaciones realizadas en diferentes lugares, tales como India, (*1942: A Love Story*, *Issaq* and *Ram-leela*), China (*QingRenjie*), Singapur (*Chicken Rice Wars*) y Japón (una adaptación televisiva japonesa de *Romeo y Julieta*). En primer lugar, el artículo explora cómo se modifica el final. La segunda sección profundiza en una breve historia de *Romeo y Julieta* en estos países y las razones por las cuales estas adaptaciones necesitan transformar el desenlace trágico en una resolución feliz. Como obras post-coloniales—e híbridas—o simplemente obras que intentan resistir el poder hegemónico occidental, su propósito es doble: desafiar la autoridad occidental de Shakespeare y ofrecer una nueva lectura de la obra a través de la imitación o la parodia. La última parte muestra las estrategias utilizadas por estas adaptaciones para avanzar un final falso; todas engañan y juegan con la audiencia. Todas destacan la necesidad de reinterpretar y reescribir la obra shakespeariana en un contexto asiático para hacerla propia. Siguiendo un marco teórico post-colonial, parece completamente necesario devolver la mirada a Oriente para comprender la reescritura de *Romeo y Julieta* en algunos países asiáticos. Experimentación, recreación y parodia abundan en todas estas adaptaciones, con claras implicaciones políticas.

Palabras clave: Shakespeare; *Romeo y Julieta*; adaptación; final feliz; cine; Asia

1. Introduction

The Hong Kong marital comedy *One Husband Too Many* (Chan 1988), an off-shoot of *Romeo and Juliet*, opens with a performance of *Romeo and Juliet* which cheaply imitates Franco Zefirelli's famous adaptation. The lead roles of the play are played by the leading characters of the film: Hsin/Romeo and Yuan Tung/Juliet, but the performance is a total failure since it does not "engage the attention of rural audiences" (Lee 2009, 199). Some of the negative responses and objections from the audience, such as "Tight pants!," "It's taboo" and "Get on" (to Romeo in reference to him killing himself) at the end of the play-within-the-film simply suggest rural mockery and parody of the Shakespearean play. Hongkongers are not interested in *Romeo and Juliet*, which can be understood as resistance to British cultural hegemony (Lee 2009, 199). This contempt on the part of the audience and the impossibility of finishing the performance mirrors the scene in the Singapore based *Chicken Rice Wars* (Cheah 2000), where an experimental performance of *Romeo and Juliet* is taking place, and the audience becomes distracted. The performance highlights that Shakespeare is not important for the Wongs and Chans (the two main families in the movie), who do not even know whether the leading actors are speaking English or not and the performance is finally disrupted by the endless arguments between the two families. *One Husband Too Many* and *Chicken Rice Wars* both establish the parameters of the appropriation of Shakespeare on the Asian screen, where traditional renditions do not strike a chord with the spectators and thus the play has to be radically reworked.[2]

"To avoid the indifference his work can arouse" (Nogueira Diniz 2005, 263), Shakespeare's plays are popularised, and adapted to the specific Asian locations. Besides the straightforward literary performances, there are other modern-day Asian Shakespeare films addressed to youngsters and, yet, are not exempt from political implications. Asian filmmakers exploit Shakespeare's cultural weight to subvert the text. Some of the *Romeo and Juliet* adaptations included in the film corpus used here are set in post-colonial hybrid cultures, such as India (*1942: A Love Story*, *Issaq* and *Ram-leela*) and Singapore (*Chicken Rice Wars*), clearly characterised by ambivalence (Bhabha 1994) towards the former coloniser culture. The other two adaptations considered here (*Qing Renjie*) and a TV movie version, set in China and Japan respectively, belong to cultures that aim to challenge Western hegemony and authority. All the adaptations examined rewrite the original text and in doing so move away from the tragic Shakespearean space.

It is the aim of this paper to analyse and explore Asian *Romeo and Juliet* film adaptations which illustrate a wider interpretation of the Shakespearean text. According to Michael Anderegg, *Romeo and Juliet* is the Shakespearean play that has

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[2] The audience's negative reactions when watching the performance of *Romeo and Juliet* in *One Husband Too Many* and *Chicken Rice Wars* are reminiscent of the scene of the play-within-the-film in *Shakespeare Wallah* (Ivory 1965). When the lead characters in this work are performing *Othello*, the play is greeted with indifference. What is more, just after Desdemona's death, the audience is distracted by the entrance of a Bollywood actress in the theatre, and the actors are not even able to finish the production.

received the greatest treatment tending to the burlesque (2002, 58), the situation reaching unexpected limits on the Asian screen. In spite of the fact that Asian Shakespearean stage productions have lately been explored in different volumes such as Trivedi and Minami (2009) and Kennedy and Yong (2010), Shakespeare on the Asian screen is still rather a forgotten space. With the notable exception of Akira Kurosawa's Shakespearean adaptations—*Throne of Blood* (1957), *The Bad Sleep Well* (1960) and *Ran* (1985)—Shakespeare on the Asian screen has, to date, provided scarce pickings. Indeed, research has been restricted to a handful of articles, such as the special edition of *Borrowers and Lenders* edited by Alexander Huang (2009), single chapters within monographs, namely *Shakespeare in Hollywood, Asia and Cyberspace* (Huang and Ross 2009), *Shakespeare and World Cinema* (Burnett 2013) and a recent volume devoted to the presence of Shakespeare in Bollywood cinema entitled *Bollywood Shakespeares* (Dionne and Kapadia 2014).

The purpose of this article is to add to the exploration of the field of Asian Shakespeare on screen, taking as its main purpose the analysis of adaptations of *Romeo and Juliet*. Common to all the Asian adaptations under study is the erasure of the tragic ending and its substitution by a happy ending. Despite being low-brow projects targeted at youth culture, they are all also cinematic parodies with political implications. All the adaptations shed light upon the importance of re-interpreting and re-writing the Shakespearean body of works in an Asian context. Regardless of the Asian country where each film is set, they are all characterised by ambivalence of the film itself towards the original Shakespearean text. On closer analysis, all the films can be seen to subscribe to experimentation with Shakespeare.

2. Changing the Ending

In all six films, *Romeo and Juliet* is marshalled to expose a parody through several modifications, transforming the ending, and re-interpreting, or rather, changing, the genre. The Indian adaptation of *Romeo and Juliet* entitled *1942: A Love Story* (Chopra 1994) explores the relationship between the colonialist bred Narendra Singh and the daughter of the freedom fighter Rajeshwari Pathak in the context of the Quit India movement.[3] The similarities between Naren/Rajjo—these are diminutives of the two names mentioned earlier—and Romeo/Juliet emerge from the beginning, since they fall in love at first sight, but the parallels are made more explicit when, at the library, Naren gives a copy of the well-known Shakespearean play to Rajjo. But the articulation of *Romeo and Juliet* goes beyond the plot, since there is also a play-within-the-film (*Romeo and Juliet*) addressed to an insolent British Raj chief called General Douglas. The first half of the movie reifies the inevitable link between Shakespeare

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[3] *1942: A Love Story* paved the way for other anti-colonial films, such as *Lagaan: Once Upon a Time in India* (Gowariker 2001) and *Rang De Basanti* (Mehra 2006).

and colonialism in India because the British Raj general will be honoured with a Shakespearean performance, as if he were the epitome of highbrow English culture, the culture of the colonisers.

The second half of the adaptation is characterised by the articulation of nationalistic ideals and, above all, by the transformation of a tragic *dénouement* into a happy one. When the play-within-the-film does not in the end take place due to an attack by the freedom fighters, Rajjo's father commits suicide, thus expanding the Shakespearean play, and Rajjo escapes with Shubhankar, the main nationalist leader, who is the Paris counterpart. She is thus seen to be willing to sacrifice her love for Naren for the sake of the longed-for independence of her country. It is only when Naren realises the importance of the liberation of his homeland and decides to fight for the freedom of his country that love is introduced again in the story. The movie's climax turns Naren into a hero in the fight against the British Raj and colonialism. When the audience is feeling that everything is lost and tragedy is inevitable, General Douglas is killed, freedom is attained and the two star-crossed lovers are able to reunite. This ending highlights that romance here goes hand in hand with nationalism; once the legacies of the past are over, love for the country immediately leads to the realisation of the love felt for another person. This alteration of the ending to one with no elegiac tone and which is extremely positive and affirmative serves a clear function: the promotion of Indianness and the appropriation of Shakespeare as an Indian icon.

The latest Indian acknowledged adaptation of *Romeo and Juliet* is Sanjay Leela Bhansali's *Goliyon Ki Rasleela Ram-Leela* (2013). Bhansali transposes *Romeo and Juliet* to a Gujarat town where the Sanedas and the Rajadis stand for the Capulets and Montagues respectively. The setting is characterised by the presence of guns, weapons and bullets; the air is tainted with the violence of these two criminal gangs. The most interesting rewriting affects the Sanedas, whose household is governed by an intimidating matriarch instead of a patriarch. Ram (Romeo) and Leela (Juliet) meet and instantaneously fall in love during Holi, the Hindu festival of colour. After Kanji's death (Tybalt's death), Ram and Leela elope and get married but, before the consummation takes place, Ram abandons the hotel where they are staying in order to go drinking with his friends. In a paring down of the Shakespearean text, Leela is found by her family and brought home.

To begin with, Ram's decision to leave Leela alone in their honeymoon hotel room while he drinks with his friends triggers a considerable number of consequences. Had he stayed with Leela that night instead of succumbing to peer pressure, she would not have been abducted by her mother's gang. Unlike Shakespeare's *Romeo and Juliet*, the audience cannot blame fate or destiny for what happens to the star-crossed lovers, but can do nothing but blame Ram, for his childish and immature decision. From this moment on, the couple are parted, become the heads of their respective households and are not reunited until almost the end of the film.

The ending scene differs considerably from the Shakespearean tragedy. Instead of each one individually taking their lives, Ram and Leela commit suicide together,

with guns, after kissing each other. In contrast to Romeo's horror at finding Juliet (supposedly) dead and committing suicide, this adaptation has the two lovers willing to make the sacrifice of dying together in a suicide pact in order to promote happiness in their village. Curiously enough, it is one of the few moments in the movie where we see them relaxed, enjoying each other's company, as if death was actually a blessing for them. In fact, Leela's swimming pool—clearly based on the swimming pool that appeared in Juliet's house in *William Shakespeare's Romeo + Juliet* (Luhrmann 1996)— plays a crucial role at the end of the film. When the lovers commit suicide, the camera zooms in on the corpses as they fall into the swimming pool so that the audience can see their smiling faces. Water is associated with purification, hence their souls become pure once they are in the swimming pool. Thus, the double suicide should be interpreted in this movie as something positive.

The Chinese Shakespearean off-shoot released in 2005 *Qing Renjie*—a.k.a. *A Time to Love* (Huo Jianqi 2005)—also deals differently with *Romeo and Juliet's* ending.[4] With the Cultural Revolution as its background, the story revolves around a pair of lovers, Hou Jia and his childhood sweetheart Qu Ran, whose families have long felt a profound hatred in the style of the Capulet-Montague rivalry. A detailed examination of the film is required to understand that the presence of *Romeo and Juliet* is integrated at two different levels: one intertextual and the other cinematic. *Qing Renjie's* finale is, to say the least, shocking. After Hou Jia and Qu Ran's initial encounter, they get married, but the expressions on their faces in the wedding photos show their worry and insecurity about their future, and alienation. "Coloured with mourning, the closing moment of togetherness—a montage of Hou Jia/Romeo and Qu Ran/Juliet for a wedding photograph—sounds the dominant notes of loss and regret" (Burnett 2013, 223). In spite of the fact that the end is neither sad nor tragic, it has sometimes been criticised for its lack of a "happily ever after" message. But the most salient idea behind this finale is that the protagonists do not commit suicide and do not die. The implication is clear: dying for your beloved is out of the question in present-day Chinese society, and so this movie is deprived of the tragic Shakespearean ending.

Unlike other Asian off-shoots, the happy ending in *Chicken Rice War* (Cheah 2000) does not come as a surprise, but can be imagined throughout the film. The middle shot of Fenson Wong and Audrey Chan looking at the camera, holding hands and announcing their love as well as the reconciliation of the two families inevitably reifies the trajectory of Asian adaptations of Shakespeare's *Romeo and Juliet* with happy endings.

The most provocative Asian rewriting of Shakespeare's *Romeo and Juliet* was released in 2007.[5] *Romeo and Juliet* (Otani 2007) is a Japanese television movie shown on Nippon

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[4] While the presence of the Shakespearean *oeuvre* on the Chinese stage has been explored in depth, the adaptations and off-shoots on the Chinese screen have not been the object of research in any monography yet. For Shakespeare on the Chinese stage, see Huang (2009), Levith (2004) or Li (2003).

[5] The year 2007 witnessed the release of two more Japanese adaptations of Shakespeare's *Romeo and Juliet*, an anime version (Appignanesi 2007) as well as a manga appropriation of the play (Oizaki 2007).

Television Network Corporation (NTV) as part of the Shakespeare Drama Special season. Starring Takizawa Hideaki as Morita Hiromichi and Nagasawa Masami as Kihira Juri, the cinematic adaptation is an insurrection on the part of the Japanese director Taro Otani. The movie casts a clear ironic shadow over the play at the end. The audience learns that a year has gone by since Hiromichi and Juri's last meeting when they had promised not to see each other again until certain problems were resolved and, in a circular movement, the camera ends with the first shot of the film. A pale Juri with her head bowed is sitting on a bench in the park where the couple always used to meet and she is holding a suspicious number of white tablets in her right hand. Upon seeing her, Hiromichi rushes towards her, shouting her name desperately on three occasions. For the audience, and for Hiromichi, Juri is dead. Nevertheless, in pursuit of reinvention, this Japanese *Romeo and Juliet* does not imagine the expected tragic ending, but rather a happy finale; like the previous Asian adaptations of the Shakespearean play discussed here, the film constitutes a still evolving Shakespeare. After Hiromichi's three loud cries, Juri smiles, awakes and asks the Japanese Romeo if he thought she was going to commit suicide like Juliet. Then, in an ironic and parodic mode, Juri gives one of the tablets to Hiromichi to try, and he and the audience discover they taste of lemonade: not drugs, but gumdrops. In this imagining of the play, Juri ends up laughing at Hiromichi, at the audience and at the Shakespearean text. The audience learns at this point that the cinematic "prologue" in the TV film cheated. The Japanese Juliet subverts the text, parodies Shakespeare and finally claims that they are not Romeo and Juliet after all. Thus, there is a parody of the Shakespearean text at the end in all these adaptations.

3. Reasons for Rewriting the Text

How is the transformation of the ending in all the aforementioned adaptations to be understood? According to Jennifer Wallace, some post-colonial scholars have endorsed the view that "the subaltern response to classical, Western tragedy should be one of comic resistance" (2007, 88). While Western tragedy was exported to the empire as part of the colonial discourse, there was later a counter-discourse in which post-colonial writers aimed to dismantle "that canon through various strategies, such as mimicry, burlesque, carnival," and so on (88). When it was the empire's turn to write back, they had to appropriate this canon and make it theirs; a dialogue had to be forged. Thus, post-colonial adaptations of Western tragedies or even contemporary productions of traditional texts constantly invert the genre; it is frequent to see a tragedy transformed into a comedy and vice versa. In the same way that, for instance, a considerable number of productions of *The Tempest* have shed light on Caliban's tragedy, Derek Walcott's play *A Branch of the Blue Nile* (1986) becomes a parody of *Anthony and Cleopatra*. Parody is then one of the postcolonial tricks used, and should be regarded as subversive. Not only can it function "as a weapon against the original narrative" (Wylie 2009, 16) but it can also rewrite or even produce new works.

Parody is not only a postcolonial technique and trick. As can be seen throughout this paper, parody can also operate as a crucial strategy used to deconstruct Western canonical texts such as *Romeo and Juliet* in other (Asian) countries, which were not under the yoke of Colonialism. Shakespearean plays were banned in China from 1966 to 1976 during the Cultural Revolution, created to restore communist fervour, since Shakespeare, and the Western canon in general, did not have the required ideology and represented values which the Chinese government loathed, such as capitalism. During the same period in Japan, the reception of Shakespeare was complex due to the political tensions between Japan and some Western countries. Even in present-day Chinese and Japanese society, Western globalisation appears as something to challenge and defeat. Pop Shakespearean adaptations targeted at young audiences transform high tragedy into comedy via parody, which is inseparable from political attitudes. Thus, these films demystify the Bard and show the struggle between received cultural authority and local aspirations.

Parody was one of the tricks used during the colonial period in India to deal with the Western canon in general and Shakespeare in particular. Parsi theatre—established by Zoroastrians in Bombay in 1850—has always been considered archetypal of hybrid theatre. "Unlike the English performances of the bard's plays staged by the educated elite" (Thakur 2014, 32), Parsi theatre simultaneously appropriated Shakespeare's plays and localised them by inserting song and dance sequences and by staging them in Indian vernacular languages. According to Homi K. Bhabha, "mimicry is at once resemblance and menace" (1994, 123), and Parsi theatre would seem to be its ideal epitome because it used the Western canon, but Indianised the plays. On the one hand, the performances resembled the Western canon but, on the other, they strongly challenged the English-language Shakespeare productions designed by the colonial regime by changing the texts. In the case of the tragedies, tragic endings were usually modified, echoing the method used in the Restoration period by Colley Cibber in *Richard III*, George Granville in *The Jew of Venice*, Nahum Tate in *King Lear* and Otway in *Caius Marius*, based on *Romeo and Juliet* (see Sen 1964, 90-104). Ahsan, an Urdu dramatist of the Parsi stage, appropriated *Romeo and Juliet*—*Bazm-e Fani*, also known as *Gulnar Firoz* (1890)—turning the tragic grandeur and sublime status of the original ending into a happy resolution, "completely running the original upside down" (Gupta 2005, 92). Adaptations of *Romeo and Juliet* in different vernacular languages also introduced a mode of representation of the play in which the happy ending was present. Mirza Kalich Beg, the most famous translator of Shakespeare's plays into Sindhi, transformed his translation/adaptation of *Romeo and Juliet* entitled *Gulzar and Gulnar* (1909) so that it had a happy ending under popular pressure. Moreover, such adaptations of Shakespeare's tragedy became *agitprop* in a society where love marriage was not conceived of, and premarital love was out of the question. In the Kannada language, *Romeo and Juliet* was translated—or rather, reinterpreted—by Ananda Rao as *Ramavarma-Lilavati* (1889), and the tragic ending eliminated. *Ramavarma-Lilavati*'s

finale elaborated a surrealistic Disney-like context in which Friar Laurence prayed to God that the lovers might be saved, they were revived from the dead and lived happily ever after. Since its origins in India, the modification of *Romeo and Juliet*'s ending has been associated with political subversion and defeat.

Parody when dealing with Shakespeare has also been crucial in Japan since its relationship with the Bard is based on a strange blend of reverence and irreverence. Apart from the westernised representations of Shakespeare in Japan that replicate "as close a copy as possible of 'authentic' English Shakespeare" (Minami 2010, 78) and the successful high culture adaptations of Japanese directors such as Ninagawa and Kurosawa, Shakespeare also resides in Japan in B class productions or "tacky Shakespeares" in which parody and burlesque play a central role: "[p]op culture in Japan has been keen to make Shakespeare tacky, trashy, sleazy, and gaudy, as well as cute and queer" (Yoshihara 2013, 84). Parodies of Shakespeare in Japan reach unsuspected limits. Given that Shakespeare is simply one more cultural artefact in Japan, popular culture experiments with him as much as with any other.

Romeo and Juliet, adapted to Japanese culture as *Romeo to Jurietto* (a.k.a. Romijuri), has enjoyed a successful trajectory in the sense of the number of parodies emerging from it, which may affect the whole play or just the ending; "unshakespearing" and recycling Shakespeare is tantamount to success in all these burlesques aimed at young people. Despite the fact that not all Japanese people have read Shakespeare's *oeuvre*, everybody is aware of the term *romijuri*, which stands for a love story, and does not allude specifically to Shakespeare's works. Interestingly, as Yoshihara claims, parodying *romijuri* has "become part of Japanese youth culture" (2013, 92). Instances include Yasuko Aoike's manga, *Sons of Eve* ([1977-1979] 1995), with an effeminate Romeo that makes love to a drag queen and the animation *Romeo X Juliet* (Oizaki 2007), dealing with a girl dressed as a boy, with the aim being to take advantage of the global brand of *Romeo and Juliet*. Perhaps one of the most interesting adaptations is *Go!* (Yukisada 2001), which traces the love story between Sugihara/Romeo—a *zainichi*, which refers to those "individuals of Korean descent who can track their dispersion to Japan's 'occupation' of Korea, 'the period of colonization'" (Burnett 2013, 204)—and Sakurai/Juliet, its ending emphasising a new beginning for the protagonists solving Sugihara's identity problems and the union of the star-crossed lovers.

The development of the performance history of *Romeo and Juliet* in China is worth exploring. The story named *Butterfly Lovers* (Fan 2000) is known as the Chinese *Romeo and Juliet* but with a significant change, a happier ending. Although the lovers die, they are transformed into butterflies and can enjoy their love forever. The movie entitled *Love Blossoms from Bloodshed* (Hanping 1930) is one of the early instances of a silent appropriation of *Romeo and Juliet* with a happy ending. The Miao and the Yao people, the Capulets and Montagues respectively, had a deep-seated resentment that lasted for many years, which is only resolved through the wedding of their respective daughter and son. As Ruru Li has claimed, "*Romeo and Juliet* has been one of the most

frequently performed Shakespearean tragedies" (2005, 44). Even though Shakespeare was one of the most welcomed Western authors at the beginning of the twentieth century, his plays were banned for political reasons in mainland China during the Cultural Revolution (1966-1976), for Shakespeare was associated with evil Western capitalism. Later, in the new People's Republic of China, the situation changed. Influenced by Soviet scholarship, Shakespeare came to be regarded as "the spokesman of Renaissance humanism, which triumphed over the old Medieval feudalism" (Li 2005, 44). Subsequently, Chinese scholars rejected the Western interpretation of the play as a tragedy about star-crossed lovers and instead contrived of it as an optimistic tragedy, because even though the lovers died, their story won through. They were willing to sacrifice their love for the sake of their principals. In 2004, for instance, David Jiang directed a production of *Romeo and Juliet* in which the "death of the young lovers is no longer seen as a cruel sacrifice demanded by a feudal society, or as the result of social conflict, but as a voluntary decision, as an expression of the lovers' own development" (Li 2005, 45). In the 1980s, while there was a Shakespeare boom in China with academic articles and stage performances, the Chinese screen still remained aloof until 1988, the year in which *One Husband Too Many* was released, closely followed by *Chicken Rice Wars* (2000) and *Qing Renjie* (2005). It cannot be a coincidence that after a period of oblivion and prohibition, the only Shakespearean films that existed in China until 2006 were three cinematic parodies. Thus, via the historical overview of *Romeo and Juliet* in several Asian locations where the transformation of the tragic dénouement into a happy ending is paramount, the Shakespearean text emerges as a political work.

4. Advancing the (Authentic?) Ending

Romeo and Juliet starts with a prologue that advances the ending. In keeping with this beginning, the Asian *Romeo and Juliet* adaptations equally start by advancing a *dénouement*. Yet, the main difference resides in the fact that all these films play with the audience, either in the promotion of the films or in the movies themselves, and often cheat so that the alteration of the ending is more than shocking.

The beginning of *1942: A Love Story* (Chopra 1994) is distinctive in the ways in which it purposefully frustrates hope on the part of the audience. With close-ups and medium shots of Naren/Romeo, the film suggests that this colonialist bred Romeo is going to be hanged during the disquiet of the "Quit India" movement, obviously differing considerably from the Shakespearean intertext in the way he dies. The audience identifies with the protagonist, feels empathy and suffers with him during the first five minutes. Then, the backstory is told in flashback. When the audience is prepared for the worst, "in a bad, sensational ending that also cheats, it is the English General who is hanged" (Burt 2011, 97) and the audience realises that their expectations have been toyed with. The film, while appropriating Shakespeare's play, rewrites it to a different context. Vidhu Vinod Chopra's *1942: A Love Story* (1994) offers an insightful example

of the concept of mimicry as theorised by Homi K. Bhabha (1994) whereby colonised people, and even postcolonial people, mimicked the Western canon, but, at the same time, produced a new and different work.

The adaptation of *Romeo and Juliet* named *Issaq* (Tiwary 2013) localises Shakespeare and provincialises Bollywood, as well as toying with the audience's expectations regarding the ending.[6] It transposes the story to Banaras, Uttar Pradesh (UP), and its neighbouring areas, which are witnessing extreme violence by sand mafia and the bloody and violent retaliation on the part of Naxalite armies.[7] The Capulet-Montague feud is reinterpreted in the rival families of the Mishras and Kashyaps. A week before the release of the film (26 July 2013), Prateik Babbar—the actor playing Romeo in the film—announced with much fanfare that Romeo and Juliet would not die in this adaptation (News18 2013, n.p.). Yet, when watching the movie, the audience is disappointed at the discovery that they do die. The last cinematic image in the movie shows the souls of Bacchi (Juliet) and Rahul (Romeo) on a motorbike in heaven, as if their love was only possible there. But why did Prateik tell an ending which was not exactly what he had announced? The happy ending has long figured in the cinematic imagination of Bombay and, in order to clearly encourage the spectators to watch the movie, Prateik previously advanced the transformation of the ending. Prateik's announcement and the subsequent finale both serve two different purposes. On the one hand, they generated a considerable interest in cinemagoers to watch the movie. On the other hand, they inevitably hinted at the importance happy endings have in India. Although it is certainly true that the finale of *Issaq* is not as tragic as in the Shakespearean play because the main characters continue living and loving each other in heaven, death does occur.

In *Chicken Rice Wars* (Cheah 2000), Shakespeare is used as a satirical and parodic tool from the outset. In fact, as Burnett argues (2013, 132), publicity for *Chicken Rice Wars* even shed light upon the fact that the movie is a classic parody of Shakespeare's *Romeo and Juliet*. A reporter introduces the prologue changing "a pair of star-crossed lovers take their life" to "choose their chicken rice" while the female producer complains because his language sounds too Shakespearean "when I told you not to speak in Singlish, I didn't ask you to sound like Shakespeare" (Cheah 2000).[8] Shakespeare is not elevated, but rather is considered the perfect tool for mockery. For instance, Fenson Huang introduces his mother in mock-Elizabethan language: "Insult is foreign to my mother, she does hurt when pricked and she does speak to herself, aye loudly too"

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[6] According to Akshaya Kumar (2013), the recent trend in Bollywood cinema consists in placing the movies in regional and rural settings.

[7] The term *Naxalism* alludes to the communist groups within India, who call themselves Maoists in the southern states. They were declared terrorist organisations and a real threat to India's national security by Manmohan Singh. By introducing such a crude political issue, the film seems to follow in the footsteps of another Shakespearean film adaptation, *Omkara* (Bhardwaj 2006), which revolved around corruption closely connected with politics in the state of Uttar Pradesh. To read on *Naxalism*, see Singh (2006) and Tater (2012).

[8] The term *Singlish* is a patois that mixes local languages in Singapore with English.

(Cheah 2000). The film is characterised by the presence of a play-within-the-film, *Romeo and Juliet*. From the moment Fenson becomes Romeo in the play, he is also constructed as a real life Romeo for Audrey. Fenson and Audrey are equally ridiculed by their respective families for spouting Shakespeare. When Audrey arrives late because she has been rehearsing, she is called "stupid" by her father, and Fenson's mother even says: "What's with all this Shakespeare rubbish? Eat your rice." As Juanita Kwok and Lucinda McKnight remark, *Chicken Rice War* corrupts Shakespearean verse and transforms it into Singlish, "exaggerating the characterization and transforming the tragedy into comedy to a soundtrack of commercial pop" (2002, 3). Unlike the other adaptations, *Chicken Rice Wars* does not cheat and Shakespeare is presented from the beginning as a parodic weapon.

Otani's TV movie advances a fictional tragedy, which is later subverted. Just as Shakespeare's *Romeo and Juliet* starts with the prologue that advances the ending, the beginning of the Japanese *Romeo and Juliet* equally prepares the audience for the worst. The shot of a "dead" Juliet/Juri sitting on a bench with her half-open hand showing a number of white pills that match her white coat is outrageous and serves the purpose of the prologue. The close-up of Kihira Juri's pale face in the middle of the park and the subsequent middle shot of Hiromichi, the Japanese Romeo, giving three horrendous loud shrieks, advance a fictional tragedy, since the real ending of the movie dismantles the source text together with the audience's expectations.[9] Some of these *Romeo and Juliet* adaptations explicitly construct an imagined ending at the outset of the films to shock the audiences.

5. Conclusions

During an episode of *Warai no daigaku* (*University of Laughs*), a 2004 Japanese movie based on a play set in 1940 which contains a performance of *Romeo and Juliet*, the protagonists—a young playwright named Tsubaki Hajime and a government censor called Sakisaka Mutsuo—deliver the following dialogue during the balcony scene:

> Sakisaka: 'Why write a romance about the western barbarians with whom your country is at war?' Tsubaki answers that the romance is set in Italy, with whom they recently signed a treaty. Sakisaka replies that the author is English. 'If Churchill made sushi, would you eat it?' Tsubaki: 'No, because neither Hitler nor Churchill would make it properly.' Sakisaka then suggests some cuts: 'Place the action in Japan. Get rid of the British influences.' (Burt 2009, 239)

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[9]   This shocking beginning is immediately followed by a flashback which allows the viewers to understand the whole story. A strange sense of familiarity floats fleetingly, quite *déjà vu* since the Japanese *Romeo and Juliet* is clearly based on Baz Luhrmann's *William Shakespeare's Romeo + Juliet* (1996). The marketing campaign is in fact literally copied from Luhrmann's film. The close-up of the lovers in the background, the gun, the cross and the presence of the Virgin show the similarities between both movies. The only difference is the title itself, since the Japanese version removes William Shakespeare from the title. In the TV series, the first image after the hypothetical finale focuses on a place named St. Verona's Church and on a Virgin, which remind the audience of Luhrmann's film.

This episode sheds light on the particular construction of *Romeo and Juliet* in an Asian country. The reception of the English author *par excellence* is inevitably associated with the political situation that Asian countries have with Britain. The link between Shakespeare and politics in 1940 is highlighted by the government censor, who claims that the play should be removed from its European influences.

All the adaptations analysed in this paper "confirm the play's status as a mobile representational resource" (Burnett 2013, 226). This paper spotlights the Asian fascination with *Romeo and Juliet*, which has become the target of endless parodies and rewritings. The choice of play is not random, as it seems to be the Shakespearean text most prone to changes. The transformation of the tragic *dénouement* into a happy ending in all the *Romeo and Juliet* adaptations explored and, even in others that have been mentioned in passing, has a *raison d'être* associated with politics. Given that some of the works are post-colonial or hybrid, whereas others are set in countries that also aim to resist and challenge Western authority, the modification of the ending has political implications. Targeted at popular audiences, they aim to popularise serious drama. The presence of the happy ending and the parody of the Shakespearean *oeuvre* force us to think, or rather, rethink, our views on "pertinent questions of fidelity, authorship, authority and evidence" (Burnett 2013, 14). These cinematic products stimulate awareness of Shakespeare's multiple incarnations, contribute to the afterlife of *Romeo and Juliet* and constantly highlight the necessity for dialogue with the Eastern tradition, characterised by parody and experimentation. The different Asian rewritings of *Romeo and Juliet* certainly explore and develop Shakespearean horizons and, most importantly, they help us to see *Romeo and Juliet* as a political and subversive text. Shakespeare can no longer be a fixed object of worship, but has to be mimicked, absorbed, popularised and needs to find a niche beyond straightforward productions.

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Rosa M. García-Periago completed a PhD on Shakespeare in Bollywood at the University of Murcia, where she is an Adjunct Lecturer, in 2013. Her main research interests are film adaptations of Shakespeare's works, Shakespeare in Asia, Bollywood cinema, and postcolonial theory. She has contributed to the collection *Bollywood Shakespeares*, edited by Craig Dionne and Parmita Kapadia (Palgrave Macmillan, 2014) with a chapter entitled "The Ambiguities of Bollywood Conventions and the Reading of Transnationalism in Vishal Bhardwaj's *Maqbool*." Her essays have appeared in *Atlantis*, *Borrowers and Lenders: The Journal of Shakespeare and Appropriation*, *SEDERI*, *IJES* and *Persuasions On-Line*.

Address: Dpto. de Filología Inglesa. Facultad de Letras. Campus de la Merced. Universidad de Murcia. C/ Sto. Cristo, 1. 30001, Murcia, Spain. Tel.: +34 868889306; Fax: +34 868883185.

INTERVIEW

ENTREVISTA

Rewriting the Caribbean Female Body:
A Conversation with Opal Palmer Adisa

ELISA SERNA MARTÍNEZ
Universidad de Granada
eliser@correo.ugr.es

Opal Palmer Adisa is a familiar figure on the Caribbean-American literary scene with fourteen volumes of poetry and prose to her credit. She has been awarded the Caribbean-American Heritage Legacy Award (2008), the Pushcart Prize, the PEN Oakland/Josephine Miles Literary Award for *Tamarind and Mango Women* (1992) and the Distinguished Bay Area Woman Writer Award, amongst others. Her first novel, *It Begins with Tears* (1997) is included in Rick Ayers and Amy Crawford's *Great Books for High School Kids: A Teacher's Guide to Books that Can Change Teens' Lives* (2004).

Adisa was born in Kingston, Jamaica, in 1954 into a middle-class family where she grew up with a wide sense of family, and an awareness of the broader historical and spiritual significance of daily life, both of which inform much of her writing. At age sixteen Adisa migrated to New York where she finished her last year of high school and graduated from college. Then she moved to California, where she completed her PhD at the University of Berkeley. A distinguished professor of creative writing and literature at the California College of the Arts, Adisa is a literary critic and she has published widely about parenting, writing and poetry.

Dominant themes in Adisa's texts are family life and the search for the sacred in everyday Afro-Caribbean history; she is interested in exploring questions on sexual agency and women's self determination. In *Painting Away Regrets* (2011), for instance, she uses maternity as a love force to recreate the spiritual legacy of the African diaspora and challenge received ideas on family structure. As a migrant Caribbean woman writer, mother of three and an accomplished storyteller, Adisa employs her writing to mindfully recreate a Caribbean cultural imaginary that challenges the established geographical borders and gender limitations.

In a conversation we had in the summer of 2011 in Granada, Spain, Adisa, with a restless, yet still unyielding voice, unseated gender and race constrictions to reflect on the constraints that Caribbean writers encounter to reach a local readership. Adisa considers oral and bodily popular cultures, African-rooted spirituality and motherhood as the most capable institutions at promoting, in the Caribbean, self-critical and self-

respecting educational and parenting systems, which may place the experiential body at the center. The topics and poems discussed can be found in her collections *Until Judgement Comes* (2007), *I Name Me Name* (2008), *Caribbean Passion* (2004), *Traveling Women* ([1989] 2004) and *Eros Muse* (2006) mainly.

Elisa Serna Martínez: *When writing on race and gender, do you think in terms of double oppression?*

   Opal Palmer Adisa: Twenty years ago, following the Black Power movement, I would say gender and race *were* double oppression. But I have moved from the paradigm of oppression which speaks of victims, because I don't feel like I am a victim. I understand that these other identities and post-identities present restriction for me. But I don't experience my race and female identity as being oppressive, and this is important, because one is supposed to come to them as being oppressive. I don't know if I'm being delusional, but I don't feel them as oppressive; I feel them as assets. For me this is a shift of the paradigm.

ESM: *Have women had difficulties in getting published in your environment?*

   OPA: Absolutely. But there are a lot of women who are being published now. It's an interesting thing about the whole hierarchy and these paradigms, because Caribbean women writers have been pushing. If you look at Peepal Tree Press's list of writers, I don't think you will find less women than men. And whereas I still think the men are the ones who are getting the major prizes—Derek Walcott certainly deserves the Nobel Prize; he has written tremendously and prolifically—I still think I deserve a Nobel Prize and a Pulitzer Prize and all these kinds of prizes, and I'm not quite sure how those things get distributed or assigned. How does your work get to get that kind of attention? In that regard, women's works have not necessarily gotten that critical attention. I think people like you and other female scholars are partly responsible for the advent and the tremendous growth of women writers, because, you are looking at our work, thank goodness. I remember twenty five years ago, before Barbara Christian died, talking to her about how her writing about Toni Morrison and Alice Walker helped position them to get the Nobel Prize, and the Pulitzer Prize, because if she wasn't doing that critical work that wouldn't have happened. I think the more there are young scholars who are interested in Caribbean women writers, the more you see that shift. Right now, most of the strong writers I know are women. Thinking of *The Caribbean Writer*,[1] in both short stories and poetry, the majority of people who were sending work to us are women, so I don't think there is an imbalance at all. Certainly in the fifties and through the sixties, it was very much male emphasis. When you look at the exile writers, apart from Louise Bennet, of that era from the fifties, it was all men. But, since

   [1]   *The Caribbean Writer* is the University of The Virgin Islands' literary journal. Dr. Adisa signed on as editor of the journal for volume 24 in 2010. She also edited volume 25.

[Jamaica's] Independence and post-Independence, there is much more distribution of women writers. I think, partly, that has to do with all the formidable women scholars that are now present, inasmuch as there is often tension between writers and scholars.

ESM: *Miriam Makeba said that she learned singing from her mom. How do you understand that disclosure of the voice at the hand of mothers?*

OPA: When Alice Walker wrote "In Search of our Mothers' Gardens" (2005), she said she couldn't trace anyone in her family who was a writer. She basically is responding to the critics' questions about female lineage, and though there were no writers in her family, there were people who gardened and crocheted and who did many things which speak to the same tradition, not in a linear way of course. Walker's piece speaks eloquently to me about how we would relate to words. Now Paule Marshall in "The Making of a Writer: From the Poets in the Kitchen" (1983) does it much more effectively when she talks about sitting around the kitchen table. I come to story-telling through my grandmother who died eight years ago at the age of a hundred and two. That's my tradition. I come to story-telling through listening to my mother and the stories that she tells and she and her friends told. And that's where the connection is with the griot tradition, because I was hearing these stories that I knew people would never write down, stories that really give a different face to the landscape of what and who Jamaica is.[2] I've been trying to persuade my mother to write, because my mother is a good reader and a good writer, and she has done some formidable things. What speaks more to me in terms of the oral tradition is Paule Marshall's piece. I need to sit down and write my own piece about that: how do we come to language? Who are our forebears who gave us this language and how did we utilize it? That's partly what I was beginning to chart in my collection *I Name Me Name* (2008), the poem about Mary Seacole and Mary Prince, all of these African-Caribbean women who during slavery and post-slavery made a mark for themselves.

ESM: *What about Maroon Nanny?*[3]

OPA: Maroon Nanny, tremendous; I grew up as a child hearing stories about her. I don't have any lineage or trace as far as I know, but I certainly claim her as my matrilineal ancestor who gave me voice and courage to speak the voice. Because people have voice, but they don't necessarily have the courage to speak it, to speak it in the way that they should, so that it impacts and influences others. And certainly Maroon Nanny is that for me and I evoke her all the time.

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[2] The traditional griots—or *griottes*—from West Africa are "oral artists known as guardians of the word" (Boyce Davies 2008, 478). As such, they are the repositories of history, literature and the arts. Thanks to their role in maintaining culture we are able to document today many historical passages of the African diaspora. Oral artistic forms of the African diaspora, from calypso to hip-hop poetry, are strongly influenced by the griot tradition.

[3] Maroon Nanny is considered the "mythical original ancestress" of the Maroon societies in Jamaica, which were formed by fugitive slaves (Bylby and Steady 1981, 457).

ESM: *Could you tell me about your main influences in your writing?*

OPA: In terms of influence, Sonia Sanchez, the African-American writer and Leroy Clarke, the Trinidadian painter and poet are great influences. These people opened the door for me to go back home and really seek out Mervyn Morris and Kamau Brathwaite. Kamau Brathwaite has been my greatest influence in terms of Caribbean poetry, even more so than Louise Bennett. I think he is brilliant and he continues to be innovative; he always pushed and encouraged me, just by being who he is in terms of his African Caribbean sensibilities. He was, and still is, a tremendous influence on my work. Just looking at the way he uses his language, at the way he fuses African history, Caribbean history, folklore and popular culture in his books, amazes me. You can find all this in any one of his latest books where he is doing a lot of experimentation. I really love the man and am happy that I know him well, that he looked at my work, that he encouraged me and that he is so prolific now.

Personally, I think Kamau Brathwaite should have a Nobel Prize, or certainly a MacArthur Award. I think he is far more innovative than, dare I say, Derek Walcott, and certainly he is as prolific, if not more prolific. I am glad that he got the major prize in Canada, The Griffin Poetry Prize, a couple of years ago, but I certainly think that someone of his caliber—someone who has been doing the kind of work that he's been doing on Caribbean literature and its various motifs and elements—is worthy of the MacArthur or a Nobel Prize.

ESM: *Do you think that you have in common with Kamau Brathwaite the sense of being outspoken and talking about reality as it is without any fear, thus keeping the mainstream away?*

OPA: You are right. Kamau Brathwaite is very outspoken; he doesn't mince his word and he doesn't have different voices for different locations. His voice is consistent, so he is not subterfuge; I think that is a gift . . . as well as it could be a form of oppression because we know that these prizes, while they are awarded for your work, they also want someone who will be very thankful, be genuinely very thankful. It's not that I think Kamau wouldn't be, but I think he would be thankful and critical. He would say: "I am glad for this but why hasn't it happened before?" I think he would do that, so that makes it a little problematic.

ESM: *And how would you behave; would you smooth your behavior?*

OPA: I remember as a child my mother always would tell me that I had to learn to be diplomatic, and I think for the most part I've learnt to be as diplomatic as I can be. I believe in speaking my word and I believe in honesty, but I think I am not so brash anymore, so I am still speaking my word but I am not cursing you off. I think that's the shift that has happened for me, but I still think so many people are not speaking their word. It's important that I speak my word, and I don't want to be silent. I've seen enough people who were silent because of the position they find themselves in. And I

think that's sad. I think if we are losing an important voice, dissident or not, that is important for the equation, important for the intellectual engagement and examination that we all must be undergoing continuously.

ESM: *And this has a lot to do with identity.*

OPA: It has a lot to do with identity and being proactive. I had a big argument with a professor when I was doing my dissertation who was asking me why I was resisting Kant and not appropriating his voice. I said I was not appropriating a European voice or sensibility and I had some problems with what Kant and these other guys were saying about literature and literary criticism. For me it was really important that I didn't appropriate another person's voice because I think when you appropriate someone's voice yours doesn't get stronger, and I didn't want my voice to recede. Which I think is also why my work hasn't got the kind of critical attention in mainstream America or even in the Caribbean, where it could probably make me some money.

I insist I am writing in Jamaican nation language. Other writers whose work has gotten prominent write about the culture, but their use of the nation language is very subtle. I use nation language, as people say, with people who don't even speak nation language, but I still believe I have to be the voice of these people who are marginalized; I believe that position that I have so far insisted on has influenced some of the critical attention that my work deserves. I think, this probably sounds arrogant somewhat, but I'm one of the most innovative writers out there. I don't see any other writer in any other part of the Caribbean who has been as innovative as I have been in both form and content. It's not just the use of Jamaican language, or the dual stories and folklore in my novels or how I'm weaving storytelling. In the collection, *I Name Me Name* (2008), it has to do with how I'm putting stories and poetry together; in *It Begins with Tears* (1997) it's the double stories that I'm telling; it's evident in the new novel, *Painting Away Regrets* (2011) how I'm weaving in the Orishas and their presence in Jamaica. So I am doing stuff, consciously moving from the traditional, and even in the short story collection *Until Judgement Comes* (2007), I'm introducing voice and gender in a way that I have not seen other writers do. Why aren't people taking notes of that? I have no idea.

ESM: *What is your experience with the Orishas?*[4]

OPA: When I went to College in the US, for the first time I took a class on African religion and that opened up my world. Before that, I was raised in Jamaica in what I think is a very narrow Judeo-Christian belief, Anglican. By the time I was thirteen I knew there had to be something else because for me, the God I was supposed to be worshipping was such a mean bastard. Everything we did was sin. I just had enough. I told my mother at thirteen that I was through with church, because I didn't believe

[4] The Orishas or Orixás are the mythological deities that exist in many religious cults across the African diaspora, such as Voodoo in Haiti, Santería in Cuba, Candomblé in Brazil, Shangoism in Trinidad and Tobago or Pocomania in Jamaica (Boyce Davies 2008, 119, 228, 824).

that a God could be so mean-spirited and if he was then I didn't want to have anything to do with him. I just feel religion is such an oppressive tool in the Caribbean, and I think the way it is taught is a form of oppression, not a form of liberation. It breeds a lot of hypocrisy and duplicity, stuff that I don't want to participate in. Even more importantly it keeps people as victims.

Within my Black Power African kick, I realized that the motherland is not England, but Africa; this kind of profound shift in sensibility. I took a class on African religion and for the first time my world began to make sense. I saw elements of things in Jamaica that people whispered about, and you shouldn't look at. Elements of the Yoruba tradition in Pocomania, and in other practices that people do and that they don't have the name for it because they lost the names. Nevertheless, scholars would say to me that Jamaicans don't have a strong Yoruba tradition like in Trinidad where they have Shangoism, because the dominant people who came to Jamaica were from Ghana, the Ashantis. In any case, it's there. I don't know how it got there but I know it's there. So I began to see these elements in the Jamaican culture. Having a pantheon of Orishas who are in charge of different aspects of nature makes sense to me. That's the most sensible thing for me. Look at the way in which African religion in the New World has been maligned, whether it's Voodoo or Macumba. Last year when I was teaching in the Virgin Islands, people talked about Obeah. They had not studied it and it was just a negative word for them, about people putting little spells on you. But that's just the surface; the entire concept has become corrupted. But, what is the etymology of it? Caribbean people, in spite of all their strong sense of Caribbeanness, have not spent the time to study their history and culture.

ESM: *Do you think there is a revival in Jamaica about this kind of spirituality?*

OPA: There have been Orisha conferences that have been happening and that have included Jamaica. And the last time I was there I found a small group of people who have been practicing their own version of the Yoruba religion. That development is happening in Jamaica; it's its own Yoruba culture but it's there, and it's growing. It's women centered and women led, like in Brazil. I think the young educated intellectuals are looking for an alternative paradigm to Christianity, are finding meaning and sense of connection there. It's not big nor does it have a strong group like in Brazil or even Trinidad. But there have always been elements of it there in Pocomania.

ESM: *Could you explain what Pocomania is?*[5]

OPA: Pocomania was very big when I was a child, and it's still very big, and it has elements of the Orishas in it. If you see their tents and altars, you would not be able

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[5]   Also known as Pukumina, Pocomania is a religious movement practiced in Jamaica that combines elements of Christianity and African tradition. Its rituals include drumming, dancing and spirit possession (Black n.d.).

to distinguish them from altar preparations for the Orishas. They don't call it that, but that's what it is. I was blown away. Remnants of the tradition are still strong, vibrant. I'm hoping the next time I go I'll be able to visit them and make some other connections. They have been doing that for a long time. It's not new; it's not imported. It's been there, just been underground because of the way the dominant members of the society view them and their practices.

Now that some scholars are looking at these forms and presenting them in new ways, the establishment and the so-called middle-class are in awe. People are like "Oh! This is very interesting stuff but we don't want to be involved." Still it's getting its due, so more evidence of it is apparent.

ESM: *How do you position yourself with respect to Rastafarianism?*

OPA: In *I Name Me Name* (2008), I use the Rastafarian lingo "I and I." I credit the Rastafarians because they were the first group, and they developed out of the Marcus Garvey Africanist movement, which promoted Africa in the Caribbean. They made us embrace Africa. We didn't have to be ashamed of being primitive, running around naked, beating drums. So the Rastafarians have always been heroes to me. Because they have elevated blackness; they worshipped the first black Christ I knew of. Now, it is true that many of their tenets are very chauvinistic, and I don't even know if I should use that word, because I think that word can add many different connotations. But certainly in terms of gender participation they are very much a male hierarchy. There are some formidable contemporary women who are Rastafarians, who embrace Rastafarianism; this is giving it a totally different face and a totally different feel, forcing some of the men to re-examine their role and women's role in the Rastafarian movement. It has become commercialized; everybody is now Rasta but everybody really isn't a Rasta. Most people think of Rastas as people who just smoke ganga and grow their hair. That is not what Rasta is; that is just the dressing. They do have a philosophy; look at Barry Chevannes, who unfortunately died, I think last year [2010], he was one of the leading scholars on Rastafarianism. Over the years I've been privileged to go to some of their binghi sessions.[6]

For me the Rastafarians are an important element for Jamaica and the Caribbean, because they have connected black people to Africa. They have influences in St. Croix, in Trinidad and all of the other islands, and they have allowed black people to throw off the clothes of colonialism, which made us feel bad about who we were, and embrace who we are. To me, you cannot talk about modern Caribbean society without talking about Rastafarianism and the influence they have had on cultural and historical life. Many of our leading artists in Jamaica come out of that tradition, both musicians as

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[6] The Nyahbinghi cult developed in Jamaica in the 1930s as an orthodox order of Rastafarianism (Turner 1994, 30). Today Nyahbinghi, also called binghi, is a Rastafarian cultural performance that "consists of a complex integration of chanting praises, drumming, reasoning, proper conduct, dancing, clothing, symbolism and devotional discourse" (Yawney 1994, 80).

well as visual artists. That culture comes to breed that kind of creativity. They have influenced all of Jamaican culture, and they have certainly influenced who I am as a human being and as a writer.

ESM: *I just can't avoid making a connection between reggae music and dancehall music.*

OPA: I love dancehall. Do you know Carolyn Cooper?[7] Have you heard of her work? Carolyn Cooper has just proved the middle-class people wrong, because they want to condemn dancehall. Cooper looks very critically at dancehall, reflecting its continuum. Everything is a continuum and everything evolves. Dancehall is no different to me from how Jamaica started with the mento music; then we went to ska, then we went to reggae and now we are at dancehall, and after dancehall there will be something else.

Dancehall music speaks to what is happening in the society, the kind of baseness. There are no boundaries, there are very few sexual boundaries anymore. In a lot of early ska and calypso music we didn't talk about "let's have sex," but we talked about "salt fish," so it was euphemism. It was hidden, but it was there; you know it wasn't straight up. Now everybody is speaking straight up. This sexual explicitness in the music most likely will change again, so I accept and appreciate the continuum; there is no interruption or break in the development of the music.

I am very much against the homophobia in Jamaica among some musicians. When I hear those musicians being played on the radio I change the station; I don't dance to that music; I don't listen to those musicians.

ESM: *I see, like this* "kill the batty boy."[8]

OPA: Yes, you know, that is just wrong, I'm sorry. And in every era there are musicians who are wrong. And so to those musicians who have their homophobia, promoting hatred and killing, I say no. I don't listen to that, I don't buy them and I say to people that they shouldn't buy them. But they are not the entire group of reggae artists. Some important women artists are out there such as Tanya Stephens, Queen Ifrica and Etana, they are marvelous women, Rastafarian musicians who are talking about culture, sexism, child abuse. These Rastafarian women are right up there talking about important things. But I love dancehall, I love the nastiness of it.

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[7] Carolyn Cooper is a Jamaican-born author and literary scholar. She has notably contributed to the establishment of the Reggae Studies Unit at the University of the West Indies, Mona, which promotes reggae and dancehall artists nationally and internationally. Her work is concerned with the revaluation of Jamaican popular culture. She is the author of the books *Noises in the Blood: Orality, Gender and the 'Vulgar' Body of Jamaican Popular Culture* (1995) and *Sound Clash: Jamaican Dancehall Culture at Large* (2004).

[8] This is the refrain of a controversial song by Jamaican reggae musician Sizzla. *Batty boy* is a derogative Jamaican English epithet for homosexual men. It should be noted that homosexuality is a criminal practice in Jamaica, probably because of Christian and Rastafarian conservative beliefs: "According to the law, consensual sex between two men in Jamaica will get you ten years of imprisonment and hard labour. Any 'act of gross indecency'—kissing for instance—will get you two years [. . .] The new Jamaican prime minister, Portia Simpson-Miller [. . .] promised to call for a parliamentary conscience vote on the law" (Tomlinson 2012, n.p.).

ESM: *I am always telling my friends who have not been to the Caribbean how impressed I was about the freedom of bodily expression I could feel there, specifically with wining, and how I ended up loving it.*[9]

OPA: Oh, I do too!

ESM: *And again, one of the commonest comments from female and male friends here in Europe would be they couldn't help seeing this dancing as a way to undermine women, to make them sexual objects.*

OPA: Yes, but do you know what? Dancehall queens have taken it to a whole other level. I haven't studied it in the way Carolyn Cooper has. She hasn't just studied it as an intellectual discourse, she has been there; she goes to the dancehall, she knows its people, they know her, and at first they looked at her with a pronounced question mark: "Is wha yu a do here?" Now Lady Saw is in my mind, the forerunner to dancehallness; do you know Lady Saw? First time I saw Lady Saw, about fifteen years ago, I was just blown away. I was like "Oh my God, this woman is so dreadful!" She is so slack— you know, we use that term in Jamaica to mean lacking morals. That was my initial response to her, my middle-class sensibilities were on overdrive. Anyway Lady Saw came to St. Croix I think last year, Christmas. And I thought to myself, for a woman to be like that, it is just audacious. Being brass gives women sexual freedom that men always take for granted; Lady Saw totally takes the power away from men. That's the only way I can explain it; the ball is in her court and she kneels and teases. The power reversal is dynamic and confusing for everyone.

I think what dancehall women have done is like saying "Do you want our bodies? Do you think of our ass or our tits or whatever? We will give it to you. But we are going to give it to you the way we want to give it to you; we are going to explore the foreground of our sexual selves and you are just going to be a voyeur: you can look, but you can't touch. We will tantalize you and tease you, but that's about it, 'coz we own it. This is fully our bodies," you see, it's a way of turning it around. What dancehall has done for women is to give them permission to have good sex, to truly enjoy their bodies, and understand that they have a right to be satisfied, not by a man who thinks just because he comes you are satisfied. That's the freedom that dancehall has given to women, especially because we have these double standards of sexuality and promiscuity. If you are middle-class, then you don't act this way, but if you are a common woman you act this way. I think dancehall, which is aligned to working-class women, has given all women, including middle-class women, a way to demand sexual satisfaction.

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[9] This is a hip-centered dancehall movement performed by men and women that requires a slight bending of the knees and the "S-shaped stance." Because of the rotation of the hips it is often considered to be "sexually charged." To learn more about dancehall see Stanley-Niaah (2010, 121).

ESM: *And even though they have this in common, there is still this social class division …*

OPA: Yes. And again, the success of reggae music has blurred those lines a little bit. Jamaica is still very much a British model of class and culture. In fact, a really good story that I published in volume 24 [of *The Caribbean Writer*] was by a Jamaican woman writer, Ashley Rousseau, who explores just these issues. The story is entitled, "The DJ" (2010). It's about this dancehall guy who moves into this uptown, middle-class neighborhood, and all the neighbors, even though he's in the papers all of the time, don't want to talk to him because they have this idea that he obviously must have come from the poor class, that he obviously must be doing drugs and all kind of stereotypes. The story looks at the class divide and how middle-class Jamaicans still snub their nose at dancehall and all such people whom they feel are below them.

ESM: *A recurrent topic in your work, especially in* Eros Muse *(2006), is that of being a working mother. In your case, it is revealing how you connect the act of writing with sexuality and hence with motherhood.*

OPA: When I was in graduate school and I had my first child it was kind of OK, but I remember when I got pregnant with my son, my second child, a professor looked at me and he said to me: "I'm so disappointed, I thought you were going to be a brilliant scholar, but obviously you are not thinking of your career." Because in the academy, and I think this is particularly true of North America, if you are a scholar and you are a mother, then maybe you have one child, but you certainly don't have three children; and certainly you are not going to be a great scholar, or artist, or poet or whatever if you have to devote time to children. Caribbean women who want motherhood run up against the academy, which again has been, until fairly recently, an all boys camp, and those boys always had children but they never lost office time, they never lost any time because the wife was responsible for all of that. As more women—black women, Caribbean women—are entering the academy and wanting to be mothers, the issue of motherhood becomes important, and many women defer motherhood because of that. I've always been rebellious. My mother would tell you "I'm gonna do what I wanna do, and I will do it." And it might be difficult; I am not going to suggest that it isn't. I think I've been productive, but it's true if I wasn't raising children, I probably could have been more productive, rather than just publishing two novels, I could have had six, who knows.

ESM: *Or maybe not.*

OPA: Exactly, maybe too, wanting to leave my children a body of literature serves as its own motivation. I really believe that motherhood has made me be a better human being, a much more understanding and compassionate human being, and that informs my writing. It is motherhood and not a husband or a lover that has made me understood unconditional love, which I have from my children and which I know I can apply to the world. Motherhood taught me that. You don't learn that with a lover. Motherhood also forces you to prioritize in a way. I had children, I knew that I wanted to write and

I wasn't ready to give that up, and my children knew that. I would say to my children, "if you don't give me space to write, I am not going to be a good mother."

Motherhood has allowed me to sharpen my focus about what it is I'm going to write and how I want to write it. I write a lot about women who are mothers because that's the reality of the Caribbean; it still is. While I think more women are choosing not to be mothers the majority of Caribbean women do, because they, consciously or not, still believe having children is part of their identity as women. And motherhood impacts them. Single motherhood is a big issue in the Caribbean and I think it will remain like that for a long time until Caribbean men are forced to be more responsible. So for me it's really important that we look at both the positive as well as the negative sides of motherhood.

The short story collection *Until Judgment Comes* (2007) is looking primarily at the negative impact of motherhood. It's looking at those mothers who I see in the Caribbean, and who I see everywhere, as it's not just in the Caribbean obviously. Mothers whose boyfriends or husbands have left them and so they take out their hatred and their resentment on their children and they raise children in this kind of oppressive emotional and physical imbalance. This is to me alarming and frightful, and I think it adds to the widespread misogyny that we have been seeing in this society in the last twenty years. The kinds of incidence of crimes that men have been performing against women didn't exist before. I think part of that is that silent hatred, because we haven't had a chance to heal from the trauma. Many mothers don't have an opportunity to heal from the trauma of, "how do I deal with a man whom I love, whom I give my life and then he walks suddenly out on me and his children?" or "how do I deal with that and not pass it on to my son and my daughter?" A lot of them have no outlet for dealing with that, and so my work, I hope, begins to open up that dialogue, by saying "hey, what you are doing is wrong." I understand that this man was a dope, a no-good, but what do you do with your feelings and his poor behavior? Do you continue to pass it on by saying to your child, "you're worthless like your father, or do you say, this man was no good and I'm going to deal with raising my child with love and compassion so that as an adult, if he chooses a heterosexual relationship, he will make good choices as opposed to bad choices?" So I had to write about those things.

And there are lots of silences around motherhood that haven't been written about in Jamaica. I was very happy when Queen Ifrica did her song on sexual abuse, because growing up I heard about incest, but again it was whispered; nobody wanted to talk about it.[10] That's something I have been wanting to write about, because it has been buried; it involves friends of friends, friends of my mother, we are talking about diving into the personal realm to extract the pus.

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[10] Queen Ifrica is a Jamaican reggae singer and DJ. In 2007 her condemning song on incest "Daddy" hit the Jamaican charts, causing some controversy (Unicef Jamaica, 2012).

ESM: *You have written extensively about how the experience of motherhood has made an impact on yourself, both as mother and daughter. Furthermore, you also connect that experience to other individuals and to society at large.*

OPA: Motherhood is about taking on the responsibility of the society for me, and I entered into motherhood very consciously. I wanted to be a mother, but I didn't want to be—and my mother is a good mother—that kind of a mother. There were things she did that I wanted to do differently, I wanted to raise socially responsible children inasmuch as it's possible. What you realize as you are raising children is that you are not raising them alone; that despite your best intention there are all of these other influences from school and the media that go against the grain. But still you have an opportunity to show them something different. I would like to think that I have shown my daughters and my son something different. In the Caribbean physical beating is allowed, but I didn't do that, I never did that so I think I have shown them that you can raise decent people and my children are decent. It's not that they don't have their flaws; I have mine too. But for the most part I think they are decent human beings, with a sense of responsibility for the community, with a sense of honesty and pride, and those are important values.

For me writing about motherhood is looking about how to grow a different society. The Caribbean society is in crisis, and it's not just because drugs have been brought in; that's an easy escape. Yes, that has had a tremendous influence. But we have to look at the way in which our social institutions such as motherhood and parenthood have not been guided or educated. There has been no training in that. If you want to produce a nation—and everywhere you go the violence in Jamaica is talked about—Jamaica has become a place where a lot of people don't want to go any more or won't live in because of the crime and the *leggoism*.[11] What concerns me is how do we raise a culture that is still dynamic and that is being promoted all over the world with our singers and athletes, a culture that is loving, a culture that is not violent, a culture where people can live with each other and work out differences without resorting to killing? That has to do with parenting. That's the most political issue, but the political issue starts with, how do we parent the culture? For me that's important. I am compiling some of my articles for a book on the topic. One of the pieces that I am working on is an essay which I sent for a book on Caribbean motherhood. In order for us to ameliorate the pain and the violence that is in this society, motherhood is necessary. It has to do with creating a society where women are loved, feel honored and respected and are therefore empowered to raise children who are loved and respected.

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[11] A *leggo beast* is "Jamaican slang for an unruly wild person. Leggo just means to let go, to cut loose/go crazy or do something without care or caution [. . .] nuff leggo beast gal inna dance" (Urban Dictionary 2011). Adisa understands *leggoism* firstly as cultural resistance, as when someone is self-sufficient and runs his/her own business, but in this case the poet refers to the extreme situation, when people only look for their own interest and become disrespectful towards others and the law (Serna-Martínez 2015, n.p.).

ESM: *Derek Walcott once said that his countrymen are not interested in reading what you writers write. How do you get the information out to this important part of the society?*

OPA: Through theater. Do you know of Sistren Collective? Sistren was a collective that started around the eighties by Honor Ford-Smith, a Jamaican woman. It was a collective of primarily working-class women who wrote and performed, and they performed not just on stage; they performed in the market place, they performed in community centers. Jamaica for a small island has a vibrant theater, and always had. Sistren was phenomenal in terms of education. This group is responsible for bringing domestic violence [to public attention] and making it a crime in Jamaica. Because they explored domestic violence and explored how the police were not coming out and helping women; and they put it on the map, on the table, on the government's policies. So, Derek Walcott is right about those men who are in the country but not reading what we write, but they go to the theater. That is why Reggae is such a strong medium of change in Jamaica. Whether it is a performance on the radio, or by people in the countryside, it is still oral tradition. They won't buy my books but if my work is performed, they will absolutely more than likely attend the performance. Oral tradition is still alive in the Caribbean. Plus, books are so prohibitive. Books are a luxury in the Caribbean; it is not like in Europe or even America. My books sell for some outrageous hundreds of dollars, and an average person just can't afford it. They are barely affording school books for their kids; they can't afford books as it's still perceived as a middle-class thing, and the middle-class people want to read books from America. They support local writers, but books are still a commodity that is out of reach for the average person in Jamaica, because they are not printed in the Caribbean; they have to be imported, and importation taxes are costly. Having works converted into theater, movies or TV shows is the way to go. And Derek Walcott knows it, because that is how he became famous. He didn't become famous as a poet; he became famous as a playwright. His plays, like *Dream on Monkey Mountain* (1992), are still classics, as far as I am concerned. His plays explore very important issues that have to do with the Caribbean and people came out to see them throughout the islands. The theater is still a viable medium, because of its orality and its immediacy. That's what I want my work to be; I want to be in touch with people in Jamaica. There is a very brilliant dramaturgist, his name is Eugene Williams, who teaches at the Jamaica School of Drama; I want him to turn my stories in *Until Judgment Comes* (2007) into plays and produce them, because it's the way to reach an audience.

ESM: *As a postcolonial writer you explore and create new meanings; your poem "Bumbu Clat" represents another turn of the screw in terms of hate speech.*

OPA: That's definitely transgression. The poem, "My Work Speaks to Those Other Women" in the collection *Traveling Women* (with Devorah Major 1989, 28-29) is a precursor to "Bumbu Clat" (Adisa 2004, 78-79).[12] It's this poem that I think

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[12] "Bumbu clat" is a hybrid word composed by *bumbu*, which originates in West African languages and refers mainly to the female genitalia, and *clat*, which is Jamaican patois for "cloth." Accordingly, "*bumbu clat* makes allusion to sanitary napkins and, as an extension, to the menstruation, an essential part of women's sexuality"

allowed me to write "Bumbu Clat." I see this poem and another in the collection entitled "We Bleed" as the building blocks that allowed me to do "Bumbu Clat." And I have to say this: I really loved performing it with Bembé yesterday.[13] I remember when *Caribbean Passion* (2004) came out I was invited to Calabash in Jamaica and someone said to me "you are not going to read that poem?" because, you know it is still a bad word.[14]

ESM: *But here in Spain we don't know much about it.*

OPA: Right, exactly! And I read it, but it was with great trepidation; it was like, "oh, my gosh!" How are the people going to hear what I am saying? Are they going to think that I'm cursing? So it is still a risky poem, but a necessary, essential poem. And again, this is what I mean: I don't think Caribbean critics are looking at these poems in terms of the movement, the trajectory that I'm making, the way in which I'm taking on women's issues that are very much public. Men say it all the time: "Why are you cursing us? Why are you cursing our blood, our life?" You know what I mean? Because that's really what they're doing: "You bomboclat" you know? "You bloodclat." What does that mean in the psyche of Jamaicans? To be cursing and this is one of the worst curse words in Jamaica: to say "You bloodclat," "your mother's bloodclat," "your wife's bloodclat," "your sister's bloodclat." Why hasn't that been taken on? Why haven't they taken on that? Caribbean women critics aren't taking up the poem; they haven't taken it up at all.

ESM: *Do women use the word just like men do?*

OPA: It's mostly for men, but women use it. Everybody uses it. But that's definitely a word that men hurl. It's like the dagger; it's like *bomboclat* plunges the dagger: "Rastaaa!" It's just throwing daggers and then "Bomboclat!" It connects.

ESM: *With this poem, you came to say: "Look, this word became a curse word because it was unmentionable, forbidden, ignored, rejected by its speakers," but also, you rescue a wide range of other possible, positive meanings.*

OPA: Yes. You know, in many of the secret societies that developed in West Africa, from which Jamaicans trace their roots, they develop around menses and things like that, and there were very powerful women, women who influenced, who got to be

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(Serna-Martínez 2011, 27). The word "originally meant *sisterhood* and today has become one of the coarsest and misogynist expressions in Jamaican society" (Serna-Martínez 2011, 25). This swear word and its derivatives are equivalent to "son of a bitch" and can be written with different spellings; in the present interview the following are found: *bumbu clat*, *bomboclat* and *bloodclat*.

    [13] Adisa refers to her poetry performance at La Casa con Libros, in La Zubia, Granada, Spain, with the local percussion band Bembé Batucada on August 6, 2011. The band members, all women, chanted "Bumbu Clat" repeatedly as part of the performance.

    [14] Calabash International Literary Festival, held during May every two years in Jamaica since 2001. This festival provides a platform for Jamaican and international artists of the spoken word.

King, even in Ghana. The women counsel was very important in West Africa and even though it might seem like men had the power, it was the queen mother who decided who was going to sit on that stool.[15] And it was her in conjunction with the other women, who decided many of those policies. So you could see, once we were transported from West Africa to the Caribbean, how this was a way of displacing our power. In Yoruba tradition it's this way; I have a mix of feelings about that. Why these women, when they are on their menses, there are certain things they can't do? Rastafarians would not have their women cook for them when they're on their menses. Which is kind of good, because so you get off being expected to cater to men (laughs). In Jamaica, I don't know if it has changed, but I doubt it. Strict Rastafarians would not have anything to do with women when they are on their period. It's a very powerful time for women. One of the ways to check that power is to curse it, to invert it, to make it wrong, to make it ashamed, to make it negative. And that's what *bomboclat* I think has done. It's a way of disempowering the female.

ESM: *How do you think this story of disempowering through language and beliefs started?*

OPA: I can't even begin to imagine. I don't even know how that came about, actually, and it would be interesting to investigate it, but I am not sufficiently curious anymore to investigate it. But it would be interesting, because, here is the thing: My paternal grandmother would tell me that men in Jamaica would say—one of our dishes is called stewed peas and rice; it's red beans stewed; traditionally it is done with salt beef and pig's tale and it's stewed and eaten with rice—well, men are always warned not to eat stewed peas from a woman who they think might want them, because it is believed that women would put some of their menses' blood in it and if they do, it would bind the man; in other words, the man would have to do what she says. I think part of it comes from men understanding how powerful a woman's blood could be and how much they could influence what they do or not do. So, in order to neutralize, or rather to deflate the power, then they turn it around. You don't even eat food from her because you don't know what she's going to do.

ESM: *They receive the same treatment as voodoo and all the African-rooted religions.*

OPA: Exactly.

ESM: *Tell me about your poem "Market Woman"* (Adisa 1992, 81-84), *when at the end the market woman tells the lady that she is sleeping with her husband.*

OPA: I love traditional market women, because market women, as far as I am concerned, and this is my feminist point, were the first feminists in Jamaica. I know

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[15] It refers to the Golden Stool, the throne of Asantehene, the king of the Asante, which represented "the people, the soul of the nation and the good fortune of the nation." The Asante people, a section of the Akan people, were settled in today's modern Ghana when thousands of them were taken as slaves across the Atlantic during the British colonial period (BBC n.d.).

a lot of people are down on them, because a lot of market women do not marry the man they live with, and they move through relationships, so they might have five children from three different men. This sense of sexuality was not navigated by middle-class women who practiced monogamous relationships. Market women had serial monogamy, because often they had a monogamous relationship but it was not a life-long relationship. They would have this man and if he doesn't do what they want him to do, they leave him and go to somebody else.

ESM: *Because they were economically…*

 OPA: …independent. Economy had a lot to do with it. Market women usually had their own plot of land; they grew their food, ground provisions and vegetables, and they went to the market and sold their produce. They were not dependent on a man for survival. And therefore their sexuality was not circumscribed by the restraints of middle-class women who were dependent on a single man. They could move from relationship to relationship to get their satisfaction and their fulfillment. So market women were like Maroon Nanny's daughters as far as I was concerned. They had that kind of fierce independence. Also, I was just amazed because a lot of them would stay in the market—now they don't because transportation is much easier—but they would go to the market Friday night or early Saturday morning and they would be there until Monday morning. So it was like these women were living two days a week in the street, in a market place; they basically were out there. To me that was phenomenal! They could sit out there all day, and they were a community that looked out for each other and oftentimes they brought their children and they still do. So, for me, they were just an amazing set of women. They were strong; they carried all their food, see it wasn't this delicate, whimsy, little… No! Market women for me totally defied all of the normality of what a woman was, all of the sensibilities of what a woman was. They set their own paradigm of what a woman was, and it was the antithesis of anything that the society was saying we were. So for me they were feminists. Men in Jamaica, when I was growing up, and it still exists today, they always had an outside family. So it's a man who was married to a middle-class woman, like my father, but he had children outside, and it's called outside family, very common in the Caribbean. These middle-class women would go to the market and buy from these women. But sometimes their husbands were sleeping with these market women, so that's what that last line is saying. So here is that middle-class woman acting as if she's above, and this market woman is saying "yuh not above me because yuh husband ah sleep wid me." You know, you can pretend all you want, but your husband is in my bed, so stop with your pretence. It's like a final: I'm not going to take you on, because I have your man kind of thing. In January I was in Haiti and I went to the market and I took pictures of these women; they are still formidable. And they support each other; you know: they really have a community. In fact, that's a project I probably need to do. All these projects I need to do.

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Elisa Serna is a PhD candidate, working on the writings of Opal Palmer Adisa, in the English Department at the Universidad de Granada. She has taught foreign languages in Switzerland, Barbados and Spain. Recently she has been a visiting researcher at the University of the West Indies Mona, thanks to a European scholarship. Additionally, she has presented seminars, communications and publications, reviews, criticism, and translations in Spain, Portugal, the US Virgin Islands and Jamaica.

Address: Departamento de Filología Inglesa y Alemana. Facultad de Filosofía y Letras. Campus de la Cartuja. Universidad de Granada. 18071, Granada, Spain. Tel.: +34 679664847.

REVIEWS

RESEÑAS

Leyre Ruiz de Zarobe and Yolanda Ruiz de Zarobe, eds. 2013. *Enseñar hoy una lengua extranjera*. Valencia: Portal Education. vii + 402 pp. ISBN: 978-84-941971-1-6.

ISABEL LÓPEZ CIRUGEDA
Universidad de Castilla-La Mancha
Isabel.LCirugeda@uclm.es

Leyre and Yolanda Ruiz de Zarobe, editors of previous monographs on various methodological aspects, such as CLIL (Y. Ruiz de Zarobe and Jiménez Catalán 2009; Lasagabaster and Y. Ruiz de Zarobe 2010), reading comprehension (Y. Ruiz de Zarobe and L. Ruiz de Zarobe 2011) and pragmatics (L. Ruiz de Zarobe and Y. Ruiz de Zarobe 2012), have published a volume which follows a global approach to analyse the state of foreign language teaching in the twenty-first century in Spain. As such, it joins initiatives similar to those undertaken by Amengual Pizarro, Garau and Salazar Noguera (2006) or Domínguez González (2008).

The nine studies comprising this volume, all written by university experts in the field, have been structured into two parts, the first being about linguistic competences and the second about communicative skills. Every chapter follows the same pattern, which is very useful for the reader: it starts with a bibliographic review in order to define the list of competences concerning each of the areas dealt with and ends with a didactic proposal which includes evaluation. This volume, prologued by Daniel Cassany, evaluates the effective implications of the communicative approach (Canale and Swain 1980), the natural approach (Krashen and Terrell 1983), the theory of multiple intelligences (Gardner 1983) and the task-based approach (Ellis 2003) within the foreign language classroom environment. In addition, it also points to the need for further development of some aspects included, but not explained, in the Common European Framework for Reference (CEFR) (Council of Europe 2001), such as how to deal with the intercultural dimension and a list of effective evaluation techniques for every skill and competence. Despite focusing on the study of teaching Spanish as a foreign language, the methodological strategies are transferable to the learning of any modern foreign language today.

The first part of the work includes an overview of the factors necessary for the development of communicative competence in a foreign language, which constitutes an expanding research area, yet practice of such competence, often out of context, is frequently reduced to sporadic interventions and resolving *ad hoc* questions instead of

responding to systematic planning. To overcome this, Santamaría Busto in "Enseñar la competencia fonética" presents an analysis of the predictable difficulties posed by each L1 along with an attempt to overcome them by making use of verb-tonal methodology, of observations of articulatory adjustments and suprasegmental aspects of communicative situations and with the help of attractive digital platforms such as *VoiceThread*. An interesting rubric for the evaluation of suprasegmentals and syllable division is given.

The chapter which refers to the teaching of grammatical competence ("Enseñar la competencia grammatical"), by Gómez del Estal Villarino, reports on the analysis of fourteen current Spanish as a Foreign Language coursebooks. His argument consists in strengthening grammatical awareness without sacrificing the communicative approach and this constitutes the key strength of the study, through a concise review of the state and appropriateness of grammar teaching in recent decades. He conducts a concise review of the state and appropriateness of grammar teaching in recent decades, rooted in the debate generated by Krashen's theories of natural learning in the 1980s which criticised the grammatical teaching approach and its generation of learning scenarios far from spontaneous language use and the distinction between natural acquisition and conditioned language learning. In his final analysis, Gómez del Estal Villarino argues for strengthening grammatical awareness without sacrificing the communicative approach, through the creation of tasks which are meant to reinforce the complicated structures arising from real communication.

Montaner Montava and Veyrat Rigat delve into lexical competence ("Enseñar la competencia léxica"), understood as the core of the teaching-learning process due to its self-referentiality. Montaner Montava considers the inherent difficulties of such a wide and changing research field, together with the ambiguities related to the concept of meaning. She proceeds to review influential linguistic theories, including *Frame Semantics* (Fillmore 1982) and conceptual metaphor (Lakoff and Johnson 1980), and scrutinises their application through the main methodologies in modern languages. Veyrat Rigat, for her part, analyses *Virtlantis*, an academic group in the virtual reality platform *Second Life*, the well-known online virtual world, which is used here as a space for open exchange where students enjoy great autonomy.

Leyre Ruiz de Zarobe presents a chapter devoted to pragmatic competence ("Enseñar la competencia pragmática") based on speech act theory. The coeditor of the monograph campaigns for the creation of a pragmatic conscience among students to contribute to the development of the intercultural personality reflected in the CEFR. She reveals the relevance of this type of conscience since deficient pragmatic instruction is often the source of many more misunderstandings by L2 users than linguistic errors. In addition, pragmatic mistakes may be more difficult to overcome in an autonomous way, as the acquisition of this competence implies complex processes such as the understanding of underlying meanings in the case of irony. She recommends selecting classroom materials carefully and preferably working with frequently used functional language formulae, thus helping students to select appropriate answers for different situations. Her didactic

proposal reflects on the uses of language and variables such as the people involved in communication and the context in which communicative interaction is produced.

Alonso Belmonte and Fernández Agüero analyse intercultural competence as an element of the plurilinguistic communicative competence described by the CEFR (Council of Europe 2001, 101-108). They situate the origins of this concept in Kramsch's notion of the "third culture" (1993) and especially in Byram's concept of "intercultural competence" (1997), together with the need to find suitable evaluation items. Their thorough methodological proposal complies with the use of virtual platforms for the creation of intercultural communicative situations outside the classroom. Another proposal is the revision of the cultural content of both coursebooks and schemes of work to avoid their being reduced to the reproduction of ethnographic curiosities closer to stereotypes rather than to the kind of knowledge required for the acquisition of the multicultural-speaker condition.

The second part of the monograph is composed of four research papers related to the different communicative skills. Pinilla Gómez deals with listening comprehension ("Enseñar la comprensión oral"), which she considers to be an active skill, due to the many strategies needed to decode not only linguistic but also paralinguistic and supralinguistic components. She lists types of listening practice and their corresponding objectives, together with the roles of the listener, and then she expounds a valuable, detailed series of strategies matching these different needs. Pinilla Gómez also designs a systematic proposal of activities and possibilities for their evaluation.

González García examines oral production ("Enseñar la producción oral"), understood both as speaking and oral interaction, from a discourse analysis approach which is oriented towards the needs and difficulties of the foreign language student. To this end, she designed a questionnaire for Erasmus students to identify those communicative situations depicted by level B1 of the CEFR which they had already experienced in real life. This is followed by the elicitation of a list of oral corpora developed by different research groups through activities in which either the sense or the register are switched. Activities about messages in social networks are also included in this section about oral language as, despite being written language, they use a kind of informal register which is similar to that of colloquial conversation. Their immediacy and connection to everyday life turn them into a highly motivating resource.

Lorenzo Galés details some procedures for reading comprehension by taking advantage of the experience of Catalonia in bilingual education and positive results in the PISA Reading Assessment ("Enseñar la comprensión lectora"). She considers that poor reading comprehension results are derived from excessive emphasis on scanning to the detriment of other comprehension strategies. Her own didactic proposal consists of constructivist microtasks, which rely on the coordination of foreign language teachers with their colleagues of non-linguistic areas involved in CLIL methods. The aim is to provide the advancement of autonomy together with the discovery of reading as a source of knowledge and aesthetic pleasure.

Esteve Ruescas deals with written production ("Enseñar la producción escrita") by pondering its potential as a tool for lexis and grammar learning which can be transferred to the rest of the communicative skills. She considers how free writing triggers a series of mechanisms oriented towards decision making on a cognitive and metacognitive level, such as planning, monitoring and evaluation of the final result through the Vygotskian concept of "inner speech" (Vygotski 1978). Accordingly, she designs a methodological plan centred on the solution of those challenges through collaborative tasks, in which agency is put to work and where the process is more important than the product.

Every chapter derives from real needs observed in the students, followed by a comprehensive review of contemporary classics, which is then ultimately specified as teaching projects. It is possible to find common ground for all contributors since they analyse the skills from many shared references and constructivist perspectives in which the preferences of the students and their expected requirements are always taken into account. In spite of the convenience for the reader resulting from the adoption of the same structure, repetitions of content could be avoided by using a structure which moves from the general to the specific. For example, a first section consisting of a theoretical review is followed by the analysis of the implications of the CEFR and the need to find some cultural guidelines, to finish with space devoted to the analysis of each of the competences and skills.

The papers collected in this volume are complemented by extensive sections devoted to materials, digital tools, types of activities and specific guidance for evaluation. Due to its up-to-date references and practicality, the monograph reveals itself as especially apt as a reference book for undergraduate or postgraduate students of modern language teaching, as well as a positive acquisition to complement the lifelong learning of experienced professionals.

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Isabel López Cirugeda is a Lecturer of English Language and Didactics at the University of Castilla-La Mancha. She coedited the monograph *De Toledo a Moscú. Viajes alrededor del Quijote* (2010). Her research interests include discourse analysis and English language teaching.

Address: Departamento de Filología Moderna. Facultad de Educación. Universidad de Castilla-La Mancha. Plaza de la Universidad, 3. 02071, Albacete, Spain. Tel.: +34 967599200; ext. 2898. Fax: +34 967599229.

José Francisco Fernández, ed. 2013. *The New Puritan Generation*. Canterbury: Gulphi. xi + 203 pp. ISBN: 978-1-78024-015-2.

JOHN STYLE
Universitat Rovira i Virgili
john.style@urv.cat

José Francisco Fernández offers us a collection of critical essays, entitled *The New Puritan Generation,* which discusses the original impact and continuing cultural relevance of *All Hail the New Puritans*, a collection of fifteen short stories, published in 2000, and edited by Nicholas Blincoe and Matt Thorne. A lot of critical interest in the collection was stirred by the provocative ten-point manifesto with which Blincoe and Thorne prefaced the book. While literary manifestos typically tend to emphasize experiment and aesthetics, Blincoe and Thorne attempted to achieve a sense of authenticity through aesthetic austerity. They invited their authors to eschew the poetic, avoid the historical, and to forego technical tricks such as flashback or authorial asides, in favour of textual simplicity and integrity of expression. Focusing on stories set in the present day, the manifesto's adherents claimed to be moralists, and affirmed that "all texts would feature a recognizable ethical reality" (12). As such, the manifesto forms part of a more general paradigm shift in the ethical turn experienced in the field of the humanities from the 1980s onwards, as well as in a move away from elaborate production models towards cultural productions that attempted to forefront authenticity and honesty, an example of which would be Lars von Trier's *Dogme 95* project, Fernández suggests.

This collection of essays is a valuable contribution to the discussion of contemporary Britain and the cultural transitions it has undergone in the last twenty-five years. Fernández provides an excellent introduction to the British and European cultural milieu from which Blincoe and Thorne's collection emerged, pointing to its antecedents in the concept of *blank fiction*—the flat, affectless, uncommitted prose of writers like Bret Easton Ellis and Dennis Cooper—in post punk aesthetics, in the inspiration found in Michael Clark's ballet entitled *Hail the New Puritan* (which also suggested the collection's title) and in the *Dogme 95* movement, particularly Lars von Trier and Thomas Vinerberg's cinematic manifesto entitled the *Vow of Chastity*. The *Vow*'s ten points of film-making, asserting, for example, in rules seven and eight that "Temporal and geographical alienation are forbidden [. . .] the film takes place here and now" and "Genre movies are not acceptable" (Trischak 1999, n.p.),

were an inspiration to Blincoe and Thorne's efforts to circumscribe literary form. Fernández, however, points out important differences in their approach to that of the cinematographers. For instance, while the *Dogme 95* group displayed a fairly strict adherence to their vow, the New Puritans were both serious and playful in their commitment to establishing precepts for literary production and yet being open to breaking their own rules as and when needed.

In the Introduction, Fernández offers a balanced analysis of the New Puritans' distinctive contribution to contemporary British writing while carefully assessing the early critical responses to their more outlandish claims to literary innovation, their "explicit rejection of tradition and also their ambition to make their narratives resemble film or TV" (16). He dismisses the accusation of blatant commercialism, while admitting the media-grabbing bravado of Blincoe's claim that his collection offered its contributors "a chance to blow the dinosaurs out of the water" (Clark 2000, 28). This image suggests that Blincoe and Thorne's book would destroy the London literary establishment, the "dinosaurs," in a spectacular way. However, while Fernández does provide an exceptionally thorough account of the responses to Blincoe and Thorne's manifesto and the ideas behind their collection, his assessment that "criticism was not directed against the stories themselves, which in general were praised as interesting instances of narrative" (15) seems, at the very least, to offer a generous view. He quotes a range of responses, including some strongly critical reviews, such as Wood's dismissal of the collection as "a manifesto for the New Philistinism" (2000, n.p.). Others, meanwhile, damn by faint praise. For example, Clark said of the stories that "[n]one of them is especially good, and none, bar a couple, especially bad. It is, however, difficult, verging on the impossible, to see any of them as the beginning of a new wave" (2000, 28). Challenging this to some extent, Fernández claims that the collection made a contribution to the debate on what writers should offer to contemporary British readers in order to reflect their reality, and "to shake off the complacency that surrounded English letters for more than a decade" (17). Of particular interest is the parallel he draws between the New Puritans and the *Crack* group in Mexico, a group of writers who shared a similarly iconoclastic attitude towards the established authors of their time, in the latter case towards the writing of the Latin-America Boom generation of the writers of the 1960s and 1970s. He further notes a connection with new Croatian writers, who enthusiastically embraced the impulse to innovate expressed in the New Puritan manifesto, despite the great differences between the cultural milieu of the London from which the New Puritans emerged and the specific character of the rising, post-Yugoslavian, Croatian literary scene.

Following the Introduction, *The New Puritan Generation* offers ten articles written by Spanish and British academics. The first five articles consider the New Puritan short-story collection and its writers as a whole, setting them in the political, cultural and social context of the time, as well as considering their overall effect from the vantage point of more than one decade from the original publication. The last five

focus on the work of single or pairs of authors, considering their contributions to the *All Hail The New Puritans* collection, and how this relate with their later work.

The contributions by Paul March-Russell and José Francisco Fernández investigate the early negative reviews according to which the New Puritans were commercially orientated and largely apolitical, considering their avowed intention of avoiding historical narratives and certain modes of postcolonial writing. More concretely, March-Russell in "The Jilted Generation? The New Puritans a Decade on" focuses on the marginalized, excluded, status of many of the stories' central characters, in that they are searching for some sense of communal identity, to suggest convincingly that they represent the voices of a "jilted generation" (29). The New Puritans' literary collaboration, as expressed by their manifesto (12), is also taken by March-Russell as a response to the desire for a collective identity, something that was felt, in 2000, to be lacking in contemporary Britain. Fernández's article, "New Puritans/New Labour," takes up the issue of whether New Puritan writing is indeed as apolitical as its manifesto would suggest. He draws an analogy between New Labour's Third Way, as an attempt to reconcile market forces and state interventionism, and the New Puritan attempts to establish a middle ground between the elitism of so-called literary writing and the more popular modes of genre fiction, such as detective stories, ghost stories and romance. The parallel between the New Puritans' insistence on morality, and "a recognizable ethical reality," as the Manifesto puts it (12), and Tony Blair's moralizing, proactive managerial style and aspiration to the cosmopolitan is strikingly well drawn by Fernández (94-95). He argues convincingly in a close reading of the stories by Scarlett Thomas, Ben Richards, Matt Thorne and Toby Litt that their basic ethical interests correspond to a more generalized concern with the manner in which New Labourites conducted themselves in office, in the exercise of power and governance, and particularly in the use of so-called "spin"—the practice of promoting public favour for government policies by presenting them in an artfully persuasive and calculated manner. The stories reveal the reality of contemporary Britain, with its dysfunctional families and general sense of a lack of social solidarity or shared values, in direct contrast to New Labour's call for a refounding of society based on "values of responsibility and solidarity" (100). March-Russell and Fernández's essays are among the strongest in the collection, and they both offer new insights into New Puritanism by showing very clearly how both the form and content of the stories can be seen as a response to the sociohistorical milieu of the time in which they were written.

In the third article ("Writing by Numbers. Disavowing Literary Tradition in *All Hail the New Puritans*"), David Owens provides a thorough point-by-point commentary on the manifesto, and then assesses the extent to which the stories uphold these points. He finds, as previous critics did, that the most successful stories adhere to the rules set out in the manifesto only when it appears to suit them. Owen's criticism of what, in his opinion, are the least successful stories hints at his own rather strongly held views of what a good short story should offer us: psychological realism, an interest in

exposing character motivation, and a sense of narrative closure. Notably, in his analysis of Matt Thorne's contribution to the New Puritans anthology, the short story "Not as Bad as This," he complains about the story's shortcomings in these aforementioned areas. However, as the ninth precept of the manifesto states, "[w]e are moralists, so all texts feature a recognizable ethical reality" (12), so perhaps Thorne's story deserves a more sympathetic reading. With its joint themes of voyeurism and non-disclosure of its characters' motivations, and its paucity of material description, it would have benefitted from an analysis which considered the possibility of its being a narrative which intentionally presents itself as an act of resistance to the contemporary cultural media's obsession with transgressing the boundaries of the private.

Other essays in this volume trace the wider influence of the New Puritan contributors on the British literary scene and their later writings. They include Sara Martin's excellent analysis of Alex Garland's work, which highlights how his New Puritan pared-down prose style is nonetheless countered by an intensely poetic visual sense ("New Puritanism between Page and Screen: Alex Garland"). Bianca Leggett's essay "Brits Abroad: The Travelling Perspectives of Geoff Dyer and Alex Garland" sets Garland beside Geoff Dyer to compare their stories, which share what Leggett describes as "a glamorous Continental location" (108). Laura Monrós-Gaspar's article—"'(Un)reality Bites': Englishness in Toby Litt's Fiction"—provides a fine overview of Toby Litt's writing as a multi-faceted study in Englishness in the contemporary world, though it only briefly discusses his New Puritan short story within the broader context of his *oeuvre*. Sonia Villegas-López offers in "Gender Traces in New Puritan Women's Fiction" an interesting overview of the four female writers who contributed to Blincoe and Thorne's collection, and follows Elizabeth Grosz's approach in *Space, Time and Perversion* (1995) in order to trace the ways in which the materiality of the female subjects in the stories has been effaced from the narrative by their authors, whether consciously or unconsciously.

Scarlett Thomas is the specific focus of Miriam Borham-Puyal's article ("Code-Breaking, Story-Telling and Knitting"), which pursues the metaphors of patchwork and knitting to reveal how the author adopts non-conformist strategies to highlight and challenge the conventional interpretative codes by which her work may be judged. Borham-Puyal asserts that to achieve this, Thomas customarily provides the reader with a mix of genres, placing "several unfamiliar things in the familiar container of the novel" (160). This is a point that David James picks up in the "Afterword," in connection with Geoffrey Dyer's later fiction, saying that this could be considered an indicator of how New Puritan writing has developed, long after the original contributors ceased to be considered a coherent unit. In his comments on Dyer, James brings together the themes raised in this collection to argue convincingly that the New Puritan generation was indeed not a mere marketing ploy, but a diffuse collection of artists. While not shaping themselves into a unified literary movement, the New Puritan writers did share an aesthetic approach by "investing in a collaborative creative process" that could "trigger

the advent of an alternative critical practice" (194). As James puts it, in doing this, a "one-off incident in the history of contemporary fiction [is turned into] the premise for debating how we apprehend writerly collectives and shared aesthetic values in an age of artistic individuation and celebratory authorship" (194).

In conclusion, the volume under review fulfils its dual purpose, of both discussing the *All Hail the New Puritans* anthology as a collection, and assessing the impact of its accompanying manifesto on the collection itself and on the book's critical reception, as well as discussing the later artistic development of certain of the New Puritan authors. By dividing the collection equally between these two points of focus, Fernández's *New Puritan Generation* makes a strong, balanced case for at least some of the New Puritan generation of writers to be considered notable literary figures emerging at the turn of the millenium in Britain, and for the short-story collection which momentarily brought them together to be considered a clear and impactful reflection of the British literary scene during the later years of Blair's New Labour government. For students of contemporary British fiction, it is well worth their consideration.

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John Style is a Senior Lecturer in modern and contemporary British literature in the English department of the Universitat Rovira i Virgili. His research interests include contemporary British poetry and fiction, as well as musicological and cultural studies of Rock and Pop music.

Address: Departament d'Estudis Anglesos i Alemanys. Universitat Rovira i Virgili. Campus Catalunya. Avenida Catalunya, 35. 43002, Tarragona, Spain. Tel.: +34 977558250.

Francisco Collado-Rodríguez, ed. 2013. *Chuck Palahniuk.* Fight Club, Invisible Monsters, Choke. London, New Delhi, New York and Sydney: Bloomsbury. viii + 218 pp. ISBN: 978-1-4411-4194-1.

MARTA CEREZO MORENO
Universidad Nacional de Educación a Distancia (UNED)
mcerezo@flog.uned.es

In an interview published on 5 November 2014, Chuck Palahniuk stated that "rather than try to follow current events, my goal is to try and write something new enough that it might possibly lead the culture rather than follow the culture" (Adams 2014, n.p.). The author's gripping but unsettling fiction explores the limits of human disaffection, pain, cruelty and frailty, aspects which, at face value, may seem paralyzing and not apt to lead cultural transformations. However, in his edition *Chuck Palahniuk.* Fight Club, Invisible Monsters, Choke, Francisco Collado-Rodríguez states that "Palahniuk's novels can never be read at face value" (4). It is precisely the disconcerting nature of his fiction that can set cultural change in motion through the cathartic impact his narrative has on its reader. His novels are a mosaic of distressing issues that, as Collado-Rodríguez remarks, work as a response to a post-human being which is immersed in a simulated reality in which human commodification and consumption rule (5). Such a convoluted and manifold mosaic is defined by Collado-Rodríguez as "an extensive territory still to be discovered" (7), and that is what this volume intends to do: facilitate a new discovery of Palahniuk's early fiction. And it succeeds.

Unlike other collections on the author by Cynthia Kuhn and Lance Rubin (2009), Jeffrey Sartain (2009) and Erik M. Grayson (2005) which cover Palahniuk's initial and later works, this volume centers on and attempts to dissect his early writing alone. The volume is divided into four sections, the first being an introduction where the editor justifies his selection of works by stating that *Fight Club* (1996), *Invisible Monsters* (1999) and *Choke* (2001) "played an essential part in establishing his [Palahniuk's] status as a cult figure [they] are highly representative of the writer's particular style and insights" (1). This comprehensive introduction offers the reader a detailed analysis of the narrative articulation of the novels' transgressive nature and examines how the author's perception of contemporary US society is shaped by psychoanalysis, post-structuralist theories and the understanding of the self from

a post-humanist perspective. Collado-Rodríguez anticipates the main issues that will be analyzed by the authors of this volume and perceptively presents the three novels as a warning about "the society of the simulacra" (7). The two final sections of this introduction are devoted to a brief mention of Palahniuk's other novels and nonfiction books. The rest of the volume is appropriately organized so that each novel has its own section comprising three separate chapters and preceded by a pertinent introduction by the editor where, in a very clarifying manner, he presents the main issues addressed by each article at the same time as showing how they complement each other. This wise editorial decision helps the reader to fully immerse him or herself in the disturbing and fascinating universe of each novel. Thus the volume offers nine contributions by reputed academics that provide a variety of innovative ways to analyze Palahniuk's novels.

The first article of part one, focused on *Fight Club*, is entitled "Violence, Spaces, and a Fragmenting Consciousness in *Fight Club*" by James R. Giles. Its five sections guide the reader into an insightful analysis of the narrator's self-hatred and disintegrating personality as a result of, first, a Freudian conflict with his absent father, second, his complicity in his capitalist, exploitive and inhuman job, and, third, his obsession with death. These conflicts lead to the narrator's fear of emasculation which he tries to transcend through the Fight Club, envisioned by Giles as a "new faith rooted in aggression" and irrationality intended to impose order on his world, which is inevitably "doomed to fail" (27). Giles makes an appealing analysis of homoeroticism in relation to Girard's notion of reciprocal violence and the sacrificial victim and a perceptive analysis of Bataille's ([1957] 1986) binary of excess and reason as an appropriate theoretical framework with which to analyze the narrator's ineffectual attempts to control his own disintegration. Giles' spatial analysis of the novel in the light of Lefebvre's (1991) theories sheds light on the crucial interrelation of fantasy and reality and leads to a stimulating description of the merging of the beginning and end of the novel where, ironically, the narrator tries to escape death by embracing it.

In "The Avatars of Masculinity: How Not to Be a Man," Eduardo Mendieta envisions *Fight Club* as a deconstruction of American masculinity through its frontal critique of consumerism, empty eroticism, anachronistic militarism and the resulting socio-spiritual emptiness for which the novel presents no remedy. Mendieta regards Tyler Durden as a parodic Nietzschean *overman* intended to promote moral transformation through a rejection of social servility. Mendieta's inspirational application of the sociological theory of social trust leads to a sharp analysis of how Palahniuk's novel reveals and fights against the male docility that social acts of reliance imply. The article presents an enthralling analysis of social outrage and Project Mayhem's disruption of social trust as attempts to achieve social repair.

In "Body Contact: Acting Out is the Best Defense in *Fight Club*," Laurie Vickroy presents a stimulating analysis of the effects of trauma on the novel's protagonist

as the materialization of a dehumanized and alienated capitalist society and split and shifting postmodern identities. Vickroy examines the protagonist's "gendered-inflicted shame" (62) and his refusal to acknowledge his dissociative psychic split. She focuses on the narrator's defense mechanisms, such as psychic fragmentation, dissociation, suppression of memory, violence and self-mutilation which, far from having a healing effect, help the protagonist act out his traumatic past experiences. Of particular interest is the confrontation Vickroy establishes between Tyler and Marla in relation to the narrator's psyche and the insights that portray Marla as his savior since she helps him to advance from a state of isolation to self-consciousness and emotional intimacy.

In part two, and basing his analysis on Freud's "Family Romances" ([1909] 2003), Andrew Slade, in "*Invisible Monsters* and Palahniuk's Perverse Sublime," conceives the novel as a reappropriation of the family romance. To Slade, this is a novel about the fluidity of identity, about the problematic nature of the search for identities that differ from those imposed by familial relations and expectations. In his view, Shane and Shannon strive to find "a sense of authentic existence" (82) that can free them from familial restrictions, but which, however, is unattainable. He applies the ambivalence of defense and aggression in Lacan's (2006) specular account to the analysis of the characters' conflictive search for their identities within a stable traditional familial structure against which they rebel. Taking disavowal as his starting point, Slade's analysis of the way Shannon uses Brandy Alexander as a sublime fetish in her path to reach authenticity is original and fascinating.

In "The Opposite of a Miracle: Trauma in *Invisible Monsters*," Richard Viskovic and Eluned Summers-Bremner consider that apparent trauma—materialized in the characters' self-inflicted ordeals—is at the center of the narrative and leads the reader to find out the nature of the characters' real and concealed suffering. The article cleverly reveals the discontinuous and reverse structure of the novel based on a gradual revelation of genuine painful events and on the characters' attempts to escape from their past in order to reinvent their future and transform themselves into artificial and alienated products of consumption. The authors present an incisive analysis of what could be considered an apparent reversal of the ethics of trauma testimony and of the relationship between the grieving subject and his/her recipient in Shannon's delivery of Brandy's daunting story, which ultimately, however, has healing effects and dismantles disconnection.

Liberation from a traumatic past, healing, connection, an emphasis on consumerism, artificiality, simulation, concealment and detachment are also important aspects of Sonia Baelo-Allué's "From Solid to Liquid: *Invisible Monsters* and the Blank Fiction Road Story." Baelo-Allué aptly analyzes the novel within the framework of blank fiction in combination with the road story genre and presents a convincing argument based on the cogent metaphor of liquid identities and pervaded by a well-grounded ethical undertone. For the author, the road is a female space of subversion, freedom and also of liquidity, of changing identities, self-discovery and

an ethical connection with the other. Baelo-Allué concludes that the end of the novel highlights the ambiguous nature of blank fiction novels: through Shane/Brandy the novel finally points to artificiality and solidity as the only means of social integration, and, through Shannon, it proclaims fluidity and the necessary rejection of a society of consumption and appearances.

Jesse Kavadlo's "Chuck Palahniuk's Edible Complex" opens part three. Kavadlo starts his analysis of *Choke* by noting the multiple, complementary and also contradictory meanings of the term "choke" and puts forth an original reading of the power of narrative to define selfhood and shape relationships with others in a novel where the postmodern dialectic between simulation and reality is also at work. Referentiality turns into a central aspect of this perceptive article that envisions the novel as a self-consuming artifact in which contradiction and ambiguity are fundamental. Kavadlo engagingly points out how the stylistic aspects of the novel reinforce the sense of narrative deferral and the character's impasse and blockage. To Kavadlo, the rewriting and reversal of the Oedipal story plays a founding role in a novel where narrative entrapment and concealment gives way to final release and self-revelation through the protagonist's remembering that he can author his own story.

In "Anger, Anguish, and Art: *Choke*" David Cowart demonstrates admirable erudition through his comprehensive intertextual analysis of Palahniuk's work. He reflects on the role of authenticity, simulation and suspension of meaning in a novel that finally "return[s] to the rhetoric of sincerity" (174) in opposition to modern and postmodern irony. He explores in depth individual and collective alienation in the novel as well as the postmodern concept of history, which he links to a compelling analysis of Colonial Dunsboro and simulacrum. Cowart also points to the novel's psychological doubling and notion of alterity reflected in its use of first and third persons and in the construction of the mother figure. As in Kavadlo's, this chapter highlights the relationship the novel establishes between storytelling and self-constitution, the arrested nature of the protagonist, the reversal of the Oedipus complex and the character's absurd identification with Christ, which emphasizes the interplay between death and salvation. Cowart finishes by looking into the seismic destruction of Denny's wall as a reflection of a need to rebuild a new world in which perception can, however, be deceptive.

The last chapter of the book, "Addiction in *Choke*" by Nieves Pascual, claims that "male-male sodomy is the concealed arch-addiction" (173). Drawing on Freud's theories, she points to the central role narcissism plays in *Choke* as a psychological defense against parental absence. Pascual considers pornography to be Victor's mechanism to fight against his reality and analyzes the imbrication in the novel between empowerment and acceptance of powerlessness, Freud's process of identification, the reversal of the Oedipus complex and homoeroticism. Pascual presents a thought-provoking analysis of the parallelism between choking to death and autoerotic asphyxia and of the parodic merging of Victor and the pornographic monkey in religious and evolutionist terms.

She develops captivating insights on the interconnection between castration, anorexia, pregnancy, the *vagina dentata*, abortion, the womb fantasy and male reproduction which shed new light on the novel's multifarious angles. Addiction is related to simulacrum by Pascual, who, like other authors in this volume, points to the overwhelming presence in Palahniuk's work of the dynamics between artificiality and truth, between the copy and the model. Finally, and drawing on Halpern's (2002) idea that "the textual is sexual" (Pascual 190), Pascual refers to the relevance of three textual strategies in the presentation of the protagonist's concealed desire for the male body: repetition, mutilation and orality.

In a very recent essay, Palahniuk states that he loves plot twists since they reflect "hidden aspects of reality that suddenly force you to reevaluate your history and identity" (2015, n.p.). The penetrating and revealing aspects dealt with in the nine articles of this now indispensable volume on Palahniuk's early writing anatomize those hidden aspects of reality that are at play in his three novels and contribute to the author's objective of making his readers reassess their inner and outer worlds. In this sense, this volume actively and adequately participates in Palahniuk's intention to "lead the culture."

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Marta Cerezo Moreno is Associate Professor of English Studies at the Universidad Nacional de Educación a Distancia (UNED). Her main areas of interest and main publications focus, first, on contemporary English narrative in relation to Gender Studies, Literary Gerontology and Disability Studies, and, second, on Early Modern British literature, especially Shakespearean drama. Her current research is concerned with both the presence of aging and disability in contemporary English narrative and the commemorative acts of Shakespeare's quatercentenary.

Address: Departamento de Filologías Extranjeras y sus Lingüísticas. Facultad de Filología. Edificio de Humanidades. Universidad Nacional de Educación a Distancia (UNED). Paseo Senda del Rey, 7. 28040, Madrid, Spain. Tel.: +34 913988182.

Pilar Somacarrera, ed. 2013. *Made in Canada, Read in Spain: Essays on the Translation and Circulation of English-Canadian Literature*. London: Versita. 231 pp. ISBN: 978-83-7656-016-8.

Natalia Rodríguez Nieto
Universidad Nacional de Educación a Distancia (UNED)
nrodriguez@madrid.uned.es

The English Patient (1992) by Michael Ondaatje seems to be the work of Canadian literatura (Canlit) in English most easily identified with Canada in Spain. Spanish canadianists often have to turn to this writer and work when trying to illustrate part of what Canadian literature is. Situations like these epitomize the weak knowledge of Canadian literature in English among Spanish readers that Pilar Somacarrera also suggests in the introduction to this work. The Prince of Asturias Award given to Margaret Atwood in 2008 and the Nobel Prize awarded to Alice Munro in 2013 made Canlit more visible in Spain, and this is what *Made in Canada, Read in Spain: Essays on the Translation and Circulation of English-Canadian Literature* (2013) focuses on: the different factors involved in the transnational transfer of Canadian literature in English into Spain up to current times. As a compilation of essays, *Made in Canada* offers a well-informed examination of the socio-cultural, editorial and institutional agents, like literary prizes, that have shaped the circulation of Canlit among Spanish reading audiences. Through manifold viewpoints, these different essays offer a global picture on what currently constitutes Canlit in Spain and thus play a fundamental role in understanding who and what has been translated, and thus circulated, read, reviewed and taught at universities. In this way, new strategies to strengthen and/or diversify this presence can start to be designed.

Focusing on different aspects, the four first essays address the presence of Canlit in Spain from broad perspectives such as the publishing and institutional trends in both countries, cosmopolitanism and multiculturalism as branding strategies in connection to South Asian Canadian fiction, and Catalonia's literary framework. In the first of these essays—"Contextual and Institutional Coordinates of the Transference of Anglo-Canadian Literature into Spain"—in order to explain who and what from Anglo-Canadian literature has been published in Spain, as well as when and why, Pilar Somacarrera offers a crucial analysis of Spain's literary publishing sphere with respect to Canadian works, as well as an insight into the cooperation of Canadian institutions in promoting the country's literature in Spain.

Focusing on Canadian women writers and cosmopolitanism, publishing houses and critics are regarded as agents to create the necessary background for alien texts to be welcomed in translation in Nieves Pascual's chapter: "Cosmopolitans at Home: The Spanishness of Canadian Women Writers." Her engaging insight makes clear that Margaret Laurence, Michael Ondaatje, Carol Shields and Margaret Atwood's works are some of the most widespread in Spain. Pascual also examines youth, modernity (or a fantasy of it), anti-canonicity, marginality, europeanizing strategies, a global vocation as well as Canada's similarity to Spain as some of the cosmopolitanizing resources used by publishers and reviewers to encourage Spanish readers to welcome Canlit. Particularly significant is Pascual's comment on the fact that modern Canadian women writers published in Spain have been introduced as if they were pioneers in their country; as if there was no female writing tradition behind them, and as if Frances Brooke, Susanna Moodie and Joanna E. Wood, to mention just a few, had never existed.

Together with cosmopolitanism, multiculturalism is also considered one of the two main selling points of Canlit abroad as Belén Martín-Lucas explains in her examination of the presence of South Asian Canadian fiction in translation as a nation branding strategy of Canada's cultural diplomacy: "Translation, Nation Branding and Indochic: The Circulation and Reception of South Asian Canadian Fiction in Spain." This institutional construction has not been left untouched, but it is consistently challenged by Smaro Kamboureli, who maintains that it has actually brought along tokenism and marginality (1996, 4); or by Marlene N. Philip, who criticizes the still hegemonic position of white European authors (1992, 182). Michael Ondaatje, Shani Mootoo, Rohinton Mistry, Anita Rau Badami, Shyam Selvadurai, Shauna Singh Baldwin, M.G. Vassanji and Neil Bissoondath are best known, as a consequence of the phenomenon known as *Indian boom*, *Indofrenzy* or *Indo-chic*. They exemplify the commodification of ethnic Canadian literatures in support of multiculturalism in Canada, Spain and elsewhere.

South Asian Canadian fiction is one of the five main groups of Canadian works in English translated into Catalan, together with children's literature, renowned Canadian writers, best-sellers and what Isabel Alonso-Breto and Marta Ortega-Sáez call "emerging Canadian authors" (106). In spite of deviating from the Anglo-Canadian focus of the compilation, Alonso-Breto and Ortega-Sáez examine in "Canadian into Catalan" the "disconcerting" similarities between Catalonia and Quebec (90), and offer an in-depth analysis on translations into Catalan of a wide variety of genres. Canadian children's literature seems unbeatable within Catalonia, together with Margaret Atwood, Carol Shields and Alice Munro, who also hold prominent positions. Although not so much attention has been paid to male authors such as Robertson Davies, Leonard Cohen and even Douglas Coupland, who still have only one book translated into Catalan, there is paradoxically an increasing interest in new Canadian writers so that "perspectives for the future seem optimistic" (107).

Except for the last essay, the rest of the articles examine the specific cases of Margaret Atwood, Alice Munro and Douglas Coupland as paradigms in Spain of the circulation of Canada's most internationally transferred authors. In "A Prince of Asturias Award for the Queen of Canadian Letters: Margaret Atwood's Texts in Spain," Pilar Somacarrera analyzes the translation of Atwood's works into Spanish, the reviews of her books, the consequences of the Prince of Asturias award, and offers hints into future consideration and circulation of her writings. In accordance with Somacarrera, I would also like to point out the fundamental drive that institutions like the Spanish Association for Canadian Studies, thus increasing the visibility of Atwood and Canlit. Today, all of Atwood's novels except two, are translated and published in Spain as well as her poetry, essays, children's books and non-fiction. It is quite meaningful that Atwood contests Spanish reviewers' insistence upon her feminist standpoint as a writer, just as Munro does; in an interview in 2001 the latter explained that, although at the beginning she used to affirm she was, she neither practiced nor knew anything about feminist theoretical approaches (Feinberg 2001, n.p.). Munro is indeed the axis of the next chapter also by Somacarrera—"A Spanish Passion for the Canadian Short Story. Reader Responses to Alice Munro's Fiction in Web 2.0"—with an up-to-date source of feedback: entries from blogs from major publishing houses about literature—such as Santillana—and written by renowned Spanish writers such as Javier Marías or Antonio Muñoz Molina. Responses to such entries open up a free online appraisal on Munro's works between experts and readers that has fascinating consequences. On the one hand, part of "Munro's peculiar Spanish canonization" is developed (144), while on the other, literary criticism finds in Munro a paradigmatic literary figure in so far as literary scholars, experts and writers need to find a balance between academicism and readers' responses. No matter how erudite literary comments are, passion is what this author imbues in critics and/or readers, thanks to which there seems to be a renewed enthusiasm in Spain for the short fiction genre she masters.

Specially instructive is Mercedes Díaz-Dueñas' analysis of the circulation and influence of Douglas Coupland in Spain and the country's *Generation X* (1991) syndrome: "Douglas Coupland's Generation X and its Spanish Counterparts." Published in 1993 in Spain, its impact was so wide that it was reprinted every year until 1999 and fostered the translation of other fiction works by Coupland, although mainly those in line with *Generation X. Historias del Kronen* (1994), by José Ángel Mañas, is perhaps the clearest example of that generation in Spanish literature, as well as Lucía Etxebarría and Ismael Grasa, who also received that "X" label although none of them identifies their fiction with Coupland's. What is certainly challenging is what their works demand from critics: a renewed perspective where literature, visual elements and popular culture merge. Although three of his novels remain unpublished in Spain and only one of his non-fiction writings saw the light of day in Spanish, Coupland's relevance is indisputable for he laid the foundations of a new way of writing.

The last essay—"*Home Truths*: Teaching Canadian Literatures in Spanish Universities"—focuses, first, on the struggles to introduce Canlit in Spanish universities as an independent field back in the late 1990s; secondly, on the obstacles canadianists faced in order to be able to teach Canlit since specific courses on it are still very scarce within university curricula; and finally, on how it has been taught. Darias-Beautell's reflection on the racialized contradiction of the currently overruling postcolonial approach (177), as well as the positive signs she sees for Canlit to spread outside university and academic Spanish circles are particularly interesting.

The relevance of this compilation is clear since, given the fact that institutional support has been decreasing in recent years, *Made in Canada, Read in Spain: Essays on the Translation and Circulation of English-Canadian Literature* (2013) brings awareness to canadianists from Spain and elsewhere of the socio-cultural, editorial and institutional intricacies that led to the present circulation, and subsequent inclusion in academic curricula and canonization of certain Canadian authors, works and genres. Furthermore, this critical work leaves a crucial door open; that of those writers, works and genres still silent. Early Canadian literature in English and the literary production of some of Canada's multi-cultures, for instance, are not yet so transnationally present, which poses other very significant questions, like whether this situation is indeed a consequence of their previous status within Canadian literary boundaries. In this sense, more such well-informed critical works as *Made in Canada* are still needed in order to reconsider old and current approaches to the translation, publication and even teaching of Canlit in English in Spain so that Canada's real literary diversity can circulate. All the experts of this critical work agree that prospects for the future are positive and that is already an excellent omen.

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Natalia Rodríguez lectures at the Universidad Nacional de Educación a Distancia (UNED). Her main research areas are English Canadian fiction and the topic of identity, focusing mainly on ethnic and female novelists before the twentieth century. Recent publications include the book *The Novel in English as Paradigm of Canadian Identity: From Frances Brooke to Sara Jeannette Duncan* (2013).

Address: UNED-CUID. C/ Raimundo Fernández Villaverde, 32. 28003, Madrid, Spain. Tel.: +34 914203912.

Mohan G. Ramanan. 2013. *R.K. Narayan: An Introduction*. New Delhi: Cambridge UP India. xii + 201 pp. ISBN: 978-93-82993-53-7.

DOLORES HERRERO
Universidad de Zaragoza
dherrero@unizar.es

As is clearly stated in the series editor's preface, Contemporary Indian Writers in English (CIWE) offers critical commentaries on some of the most internationally acclaimed figures in this field. The ever-growing importance and visibility that Indian writing in English is acquiring in contemporary academic and readers circles of all kinds demands that comprehensible yet rigorous introductions to many of these authors should be released. R.K. Narayan (1906-2001), a prolific novelist and essayist was, together with Raja Rao (1908-2006) and Mulk Raj Anand (1905-2004), one of the writers who mostly contributed to the development of Indian writing in English. Although some monographs and collections of critical essays have been written on Narayan—for instance by, among others, Walsh (1982), Sundaram (1973, 1988), Kain (1993), McLeod (1994), Pousse (1995), Ram (1996), Ramtake (1998), Rao (2004) and Thieme (2007)—it is also true that there are very few recent assessments of this outstanding Indian author, which consequently endows this timely book with special interest. Moreover, the CIWE titles aim to provide as complete and balanced a survey of an author's *oeuvre* as possible. In order to do so, this collection addresses the form and function of the authors' texts, while also focusing on their most recurrent elements and themes. In other words, this collection strives to strike a balance between providing an introductory study on the one hand with a critical appraisal of the writers' work on the other, such that both non-specialist and academic readers will find its volumes useful.

Mohan G. Ramanan's study of Narayan's *oeuvre* meets the expectations of both types of reader: it provides biographical information, close textual analysis, a survey of Narayan's main thematic concerns, bibliographic information for those who want to carry out further research, and a comprehensive list of topics for discussion. Ramanan's life-long interest in Narayan's life and writings allows him to bring this pioneer in Indian writing in English closer to the general reading public, and to show the tiny world of Malgudi, about which Narayan writes, as a microcosm that wonderfully bears witness to the many caste, class and gender complications that have shaped Indian society for so long.

Ramanan's analysis begins by offering a thorough but concise introduction to Narayan's life, to the undeniable autobiographical element in his works, and to the universal dimensions of Malgudi, Narayan's southern Indian fictional town, before delivering what he terms a genealogical perspective on Narayan's themes and concerns by locating these in their proper intellectual contexts. Among other things, Ramanan tackles the role and implications of English in Narayan's Indian writings. He insists that Narayan mainly writes what S. Krishnan labels as "factions" (1999, vii), that is, texts that skilfully combine fact and fiction. Chapter two strives to show Narayan as a thoughtful citizen by paying attention to the numerous essays that he wrote throughout his life. As Ramanan argues, Narayan made a distinction between the personal essay and the objective essay. The latter is the result of scholarship, though the former is the kind that Narayan himself preferred and wrote, which clearly underscores their deeply autobiographical strain. The topics he wrote about are multifarious: Sundays, crowds, dress habits in India, noise, food and drink—especially coffee, Narayan's favourite beverage—pet animals, elephants, tigers, allergies, headaches, doctors, gardening, the waste-paper basket, umbrellas, beauty pageants, the question of English (Bharat English), the critical faculty, his love of books, houses and their effect on people, postcards, the caste system, taxation, marriage receptions, elections, street names, the black market in films, photographs, the subject of America, teachers and the examination system, the child in relation to educational authority, history and the travails of the historian, old age, pickpockets, television serials, censorship, and the list goes on. The consideration of all these disparate essays reveals, in Ramanan's view, "the thoughtfulness of the citizen, the satirical eye of a compassionate observer of the world, the humorous flights of imagination and above all a shrewd appraisal of men and matters" (67). Narayan's essays feed into his fiction, and his fiction in turn illuminates the essays. Chapter three offers a survey of Narayan's non-fictional narratives, namely, his memoirs, travelogues and guidebooks. These works are analysed as being as much about writing as about the self in the act of writing. In them, the personal and the public conflate, which allows for a better understanding of Narayan's Brahminical views and his relation to the world around him. Of special interest is Ramanan's study of *My Dateless Diary* (1960), the book which gives unforgettable vignettes of American life and Narayan's experience and personal impressions of America, thus bringing to the fore the unbridgeable cultural clash between his homeland and the West.

The main aim of chapter four is to highlight Narayan's talent as a short story writer for, as Ramanan puts it, "if Narayan had written only short stories his reputation would have been secure" (92). Narayan wrote around two hundred short stories, which are an integral part of his Malgudian world. Although written in a mode essentially comic, these stories also contain characters belonging to the poorer and lower castes of society, many of whom have tragic lives. Taking Maupassant, O'Henry, Chekhov and a number of contemporary English storytellers as his models, in his short stories Narayan adopted themes and characters which, as Ranga Rao argues, "are normally peripheral to his

novels" and can thus be regarded as Narayan's "constructive division of labour" (2004, 50). Ramanan's subsequent discussion of a selection of Narayan's stories relies on Rao's division of them into three groups: the preliminary sketches, stories about children and innocent animals, and stories about the disadvantaged and the underdogs of society. Ramanan adds the more autobiographical stories, which he labels "the talkative Man stories" (100). Ramanan concludes his analysis by sharing Sundaram's opinion that the effect of Narayan's stories depends to a large extent, not on surprise, but rather on recognition (Sundaram 1973, 116), and by affirming that these well-crafted stories facilitate the reader's entry into the pluralistic Malgudi world, which is once again deployed as a synecdoche for Narayan's India.

In chapter five, a concise but informative survey of the fifteen novels written by Narayan is carried out. In order to make the novels accessible to readers who are not familiar with Narayan's longer fiction, Ramanan briefly outlines their plots: he foregrounds Narayan's recurrent Brahminical concerns, while also considering the personal, social and political issues that each novel tackles and elaborates upon. Although Narayan's realism is highlighted, it is also explained that this does not prevent him from conjuring up transcendence and relying on the fantastic and emblematic. The analysis of all of these novels leads Ramanan to draw a conclusion similar to that reached in previous chapters, namely, that Narayan's longer fiction also "performs a citizenly function because Narayan is deeply social and involved with the business of living" (110). The last three chapters of the book are of a rather more general and all-embracing nature, which sometimes leads to the inclusion of unnecessary repetitions. Chapter six is devoted to enumerating and briefly describing the main recurrent themes in Narayan's *oeuvre*: the treatment of family and religion; children/childhood; friendship; love and marriage; filial relations; citizenly concerns like the relation of the individual to society; the East-West encounter; the transcendental ideal of *Dharma* (good pious life); and finally, Narayan's omnipresent concern, the importance of education to undergo the four main *Ashrams* or stages in life according to Hinduism so that wisdom and virtue can be finally attained. Chapter seven focuses on Narayan's engagement with caste, class and gender issues in his works, which yet again illustrates how intensely the Brahminical worldview pervades Narayan's writings. As Ramanan repeatedly states, Narayan's works teem with implicit references to Brahminical values, and Narayan is unapologetic about this, because it is this cosmovision that he best understands and what ultimately gives his writings solidity of specification. Chapter eight is, in my opinion, the one that western readers unfamiliar with Indian culture may find particularly illuminating, since it is here that some of the most important Hindu concepts and beliefs as reflected in Narayan's works are explained: the world as a site for God's play or *Leela*; the world as a transcendent reality which in turn is expressed through the principles of the good life, the *Purusharthas*: *Dharma* (righteousness, moral values), *Artha* (prosperity, economic values), *Kama* (pleasure, love, psychological values) and *Moksha* (liberation, spiritual values), with *Dharma* as an overarching principle; the four

Ashrams or stages in life: *Brahmacharya* (student), *Grahasta* (householder), *Vanaprasta* (retired) and *Sanyasa* (renunciation); the *Gunas*, the three major fundamental operating principles or tendencies of universal nature, *sattva* (creation), *rajas* (preservation) and *tamas* (destruction-transformation); the conflation reality-history-myth as articulated in Hindu ideology; the omnipresence and implications of Gandhian ideology and style; the *Upanyasa* storytelling tradition as embodied in Narayan's retellings of myth; the world as illusion or *Maya*; and the minimalist style of Narayan as a reflection of the four stages of speech, which correspond to the four stages of consciousness in the Sanskrit philosophy: *Para* (transcendental consciousness), *Pasyanti* (intellectual consciousness), *Madhyama* (mental consciousness) and *Vaikhari* (physical consciousness), among others. Ramanan's book closes with a short and all-embracing conclusion, which basically reiterates the main ideas put forward in the previous chapters. Narayan is, Ramanan concludes, together with Raja Rao and Mulk Raj Anand, one of the main figures of Indian writing in English. However, Ramanan makes it clear that Narayan clearly differs from the other two: unlike Rao, whose metaphysical tendency stands out in his writings and whose style is poetic and evocative, Narayan is the master of suggestive simplicity and Gandhian plain style; unlike Anand, who is socially conscious and makes no effort to hide his political purpose, Narayan is not overtly political, although the historical and the political are by no means absent from his work.

To conclude, I think that Ramanan's book manages to explore the world of Narayan in a language that would appeal to the non-specialist reader and the Narayan scholar alike. Although the latter may find some sections (especially in chapters six and seven) a bit too repetitive, the former will benefit from the book's didactic aim and structure. In tune with the master's own style, Ramanan has accomplished an informative, enlightening, and above all reader-friendly analysis of Narayan's *oeuvre*. In addition to offering useful insights into this well-known Indian author's life and works and guiding the reader by focusing on some important ideas whenever he considers it to be necessary, Ramanan provides the non-Indian reading public with invaluable knowledge to better understand the Indian literary tradition and culture out of which Narayan emerged, and without which his works can in no way be fully appreciated.

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Dolores Herrero is Senior Lecturer of English Literature at the Department of English and German
Philology of the University of Zaragoza, Spain. Her main interests are postcolonial literature and
cinema, on which she has published extensively. She has recently coedited, together with Sonia Baelo,
the books *The Splintered Glass: Facets of Trauma in the Post-Colony and Beyond* (2011) and *Between the
Urge to Known and the Need to Deny: Trauma and Ethics in Contemporary British and American Literature*
(2011).

Address: Departamento de Filología Inglesa y Alemana. Facultad de Filosofía y Letras, Campus
Universitario. Universidad de Zaragoza. 50009, Zaragoza, Spain. Tel.: +34 976761523.

María Jesús Fernández Gil. 2013. *Traducir el horror: la intersección de la ética, la ideología y el poder en la memoria del Holocausto*. Frankfurt am Main: Peter Lang. 155 pp. ISBN: 978-3-631-62897-3.

SILVIA PELLICER ORTÍN
Universidad de Zaragoza
spellice@unizar.es

"Traduttore, traditore." This famous Italian proverb becomes extremely relevant when the translation of the Holocaust comes to the fore. Can the translator fill the gap between the horrors evoked in the original language and the translated version? Or do these attempts turn the translator into a "traditore" *per se*? Many of these questions are wisely raised in *Traducir el horror: la intersección de la ética, la ideología y el poder en la memoria del Holocausto* [Translating Horror: The Intersection of Ethics, Ideology and the Power of Memory], a courageous study addressing the capacity of Holocaust representations to (re)construct memory, thus adding a new perspective to Langer's inquiring: "To whom shall we entrust the custody of the public memory of the Holocaust? To the historian? To the survivor? To the critic? To the poet, novelist, dramatist?" (1988, 26). In this book, María Jesús Fernández Gil adds the translator to the list.[1]

Traducir el horror was published in 2013, the year from which a memory boom has been witnessed and the initial reluctance to recount the Holocaust has evolved into an upsurge of Holocaust narratives, and a growing number of thinkers have put forward the claim that "it is time to leave Auschwitz behind" (Burg 2008, 210). Although we might consider that everything has been said about the Holocaust, Translation studies offer a new insight into Holocaust memory by providing a theoretical framework that can refresh the analysis of Holocaust cultural production and emphasise the mediation of Holocaust memory through the act of translation itself.

Drawing on the evolution of Translation studies, Fernández Gil's work stems from the cultural turn that occurred in this field thanks to thinkers like Susan Bassnett, André Lefevere, Tejaswini Niranjana and Lawrence Venuti, among others. Until the 1990s, the approach to translation was mainly linguistic and functional, but then the

time arrived for its reconsideration as a discursive practice subject to power relations. Bassnett and Lefevere claimed that translation needed "to be studied in connection with power and patronage, ideology and poetics, with emphasis on the various attempts to shore up or undermine an existing ideology or an existing poetics" (1990, 10). Another ground-breaking aspect of this cultural turn was considering translation a (re)writing of literature; in fact, for Lefevere, studying literature means studying (re)writings (1992). This idea has been expanded on by subsequent translators (Baker 2005; Salama-Carr 2007), and it is used by Fernández Gil throughout her study. Bringing this cultural turn to our national context, it is worth mentioning the contributions by Álvarez Rodríguez and Vidal Claramonte (1996), Rodríguez Monroy (1999), and, of course, Vidal Claramonte (2009), whose works suffuse Fernández Gil's attempt to demonstrate that translation "reflects the kind of society which produces it" (Vidal Claramonte 2009, 1).

As for its intended readership, this book will be illuminating both for those experts in Memory and Holocaust studies who are interested in learning about the unexplored position of translation in the field, and translation specialists concerned with the way in which Holocaust literature has paralleled contemporary evolution in translation. Alternatively, a general readership can also benefit from reading *Traducir el Horror*, as it guides the readers in establishing connections among the various disciplines that come into play when analysing the intersection between ethics, ideology and power in the construction of Holocaust memory. Regarding its form, the first chapter sets the academic framework for the study and, from the theoretical chapters to the illustrative sections, this book offers a coherent argument that culminates in posing questions for further research in the field. Also, it is worth mentioning that each chapter starts with various quotations that metaphorically allude to its contents. Whether these quotations are from philosophers, writers or Holocaust survivors, all of them create an interdisciplinary site where philosophy, literature, history, politics, translation, linguistics and ethics intermingle to provide answers to the Holocaust.

Drawing on Lefevere's studies and the postmodernist and poststructuralist theories on the mediated construction of literature and history endorsed by thinkers such as Roland Barthes, Robert Scholes and Mijail Bakhtin, Fernández Gil initiates her debate on Holocaust representation. New Historicist echoes resound strongly from the first chapter of *Traducir el Horror*, underlining the performative role of language and suggesting that language is not aimed at reflecting the world but at constructing different interpretations of it (10). Also, the plurilingual nature of this work emanates from this initial chapter, which outlines the main case studies that appear throughout the book, such as Charlotte Delbo's *Auschwitz et après* (1970), John Boyne's *The Boy in the Striped Pyjamas* (2006) and Cynthia Ozick's *The Shawl* (1989). Further, the focus on the role of translation in Holocaust representation launches broader reflections on the way we see ourselves as citizens of a globalised world where memory, history and reality are continuously (re)written.

Chapter two, "(Re)escribir para recordar" [(Re)writing to remember], addresses the connection between (re)writing and remembering practices. Starting from the idea that Nazism was an attack on Jewish and other minorities' memories, it contends that all Holocaust (re)writings should be welcome. Pierre Nora's (1997) concept of *lieux de la mémoire* is used to assert that literature is an active element shaping individual and collective identities. Indeed, revising Marcel Proust's and Henri Bergson's theories on memory—respectively drawn from *Du côté de chez Swann* (1913) and *Matière et Mémoire* (1896)— and drawing on Plato's philosophy, Jacques Derrida's theories on intertextuality and Giles Deleuze's views on time, Fernández Gil argues that "la literatura es parte integrante de la memoria y el elemento vertebrador de la identidad" [literature is a linking element of memory and a unifying element of identity] (19), unavoidably reminding us of Jean Paul Sartre's concept of "committed literature," as developed in his essay *What is Literature?* (1948). She also moves onto postcolonial ideas about the power of literature to create feelings of community among subaltern groups. Their (re)writings can give justice to those *others* whose versions of history have been silenced; an argument that reminds readers of Emmanuel Levinas' ethics of alterity. Thus, although this critic voices the frequent obscurity that defines Holocaust literature, this chapter successfully underlines the main goal of both Holocaust literature and translation: to remember the *other* that Nazism wanted to kill in Auschwitz.

In chapter three "(Re)escrituras en conflicto" [(Re)writings in conflict], the main claim fostered is that Holocaust literature questions the project of modernity and the power of human reason just as translation interprets human actions by analysing the key means by which individuals and societies configure reality: language. In both cases we have to find a mechanism to recreate a reality that we have not experienced, but towards which we have developed empathy. Moreover, when translating Holocaust texts the process implies getting in touch with the *other*, trying to fill cultural gaps and shaping non-verbal meanings into words. Fernández Gil returns to the Holocaust survivors' argument that traditional modes of representation were inadequate to depict such horror. Yet, although the traumatised subject is usually confronted with the choice of remembering or forgetting, ethics tends to impose the duty of overcoming these linguistic difficulties. Having recourse to experts within the cultural turn in translation and to those postcolonial critics who, like Bhabha (1994), defended the creation of a third space from which minority voices should be disclosed, Fernández Gil concludes that we can change what societies forget and remember through the texts we translate.

These claims are further developed in chapter four "Entre la ética y la estética" [Between ethics and aesthetics], where the main focus lies on the ethical imperative to remember. The dialogue between ethics and aesthetics is extended to the role of the translator when Fernández Gil points out the multiple moral choices materialised when the translator has to work with Nazi texts such as those by Goebbels, Goering or Himmler. These complex ethical situations are exemplified with some controversial

translations such as Pilar Gómez Bedate's translation of Primo Levi's *Si esto es un hombre* (1947). Also, she questions whether or not the Nazi language should be translated, as different countries have adopted diverse positions depending on their relationship with Germany. For example, in the UK, which has traditionally maintained tense relations with Germany, and in the US, which played a decisive role in the post-Holocaust political panorama, translations kept the original language of the Third Reich as, in order to be distant from its ideology, they felt it necessary to distance themselves from its language. The Spanish tendency until the 1990s was to translate it and provide additional information in footnotes, offering more information than that given by the victims. A good example is the Spanish translation of the three volumes of Charlotte Delbo's *Auschwitz et après* by María Teresa de los Ríos—*Auschwitz y después* ([1965-1971] 2003-2004)—which explains the Nazi terms in brackets and is totally different from the English translations and the original French text, which kept the Nazi terms that were unknown to the prisoners in order to keep the reader in that same darkness.

Chapter five "Ideología y poder en las (re)escrituras del Holocausto" {Ideology and power in Holocaust (re)writings} studies the construction of ideology through translation practices. Apart from the political connotations explained, another area where ideology forges ahead is religion. For example, the analysis of Elie Wiesel's *La Nuit* (1958) shows that Wiesel is described as a passive martyr, with no mention made of the critiques of the international silence present in the original text. More examples of ideological alterations are offered in the translations of Anne Frank's *Het Achterhuis* (1947), as the English and German versions suffered many modifications that Americanised and universalised her experience. Following Lefevere and Venuti's line of thought, these are only some of the examples through which Fernández Gil highlights that these manipulations do not only depend on the translator, but on all the translation agents. She finishes by pointing out that a strategy against manipulation could be Claude Lanzmann's maintenance of the original languages of the interviews that shaped his documentary film *Shoah* (1985), which minimised this mediation and mirrored the confusing nature (linguistic and non-linguistic) within the concentrationary universe of the camps (109). Lanzmann's questions were posed in French and translated by an interpreter into the original languages of the interviewees (Polish, Yiddish and Hebrew) and the inverse process was applied to their answers.

Another factor that influences the extent to which the (re)writings of the Holocaust are mediated is patronage. In chapter six "El mecenas y sus intervenciones" {Sponsors and their interventions}, the author claims, again in line with Lefevere, that, if one wants to understand the circumstances where diverse acts of (re)writing occur, the sponsors and the power relations implied need to be addressed. For instance, the differences between the French and the English versions of *Mein Kampf* are exposed, and the book also shows that Hitler had some passages removed from the French version in order to obtain the Vichy government's support. In this case, the sponsor, Hitler, influenced the Nazi message which was spread around the world. But the examples

provided also show us that the sponsor's mediation also occurs in those institutions that work for Holocaust remembrance. For instance, Yad Vashem fosters mediated commemoration when the Jewish victims are remembered at the expense of other groups. Finally, the author suggests that recent multifarious Holocaust representations can help to counteract these manipulative practices.

These thoughts lead to chapter seven "Reflexiones finales" [Final thoughts], where Fernández Gil urges readers to remember that the main objective of all the (re)writings addressed is to extract new lessons from Holocaust (hi)stories so as to interpret our past, present and future. Holocaust literature has proved to be an effective way of calling critics, translators and citizens alike into action because "somos responsables, a la vez, de crear conciencia acerca de la importancia de leer las (re)escrituras que lo cuentan [. . .] Y es que no contárselo al Otro encierra el peligro de que el Holocausto se transforme en vacío, en silencio" (133).[2] The author has filled the silence that surrounded Holocaust translation with a work that opens a new path for those minority groups that have represented the Holocaust in languages which have not yet received proper sponsorship. *Traducir el horror* foretells future lines of action which indicate that the discussion and learning about and from Holocaust is not over at all. If there is any minor aspect for improving the research carried out in this book, I might suggest that readers would welcome further development of this project to incorporate more varied cases of study and providing clearer and more coherent criteria—original language, authors' nationality, reception of the narratives—for the selection of the works used to exemplify the theoretical points expounded.

In conclusion, Fernández Gil's defence of the power of literary practices to configure our reality, identity and memory should be welcomed, as this book attempts to fight the prevailing utilitarian society that has forgotten the necessary role of the humanities in shaping our world. When looking back at the atrocities witnessed throughout the twentieth century, we should perhaps reconsider the role of the "traduttore" not as "traditore," but rather one who becomes a reliable figure when it comes to the (re) writing of the horrors of the past, horrors which we do not want to see repeated and to which we owe a duty that they be remembered and, thus, (re)written.

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[2] "We are simultaneously responsible of promoting awareness of the importance of reading the (re)writings that talk about it. And this is because not telling the Other about it conceals the risk of turning the Holocaust into a void, silence" (my translation).

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Dr. Silvia Pellicer-Ortín is a Lecturer at the Department of English and German Philology in the Faculty of Education at the University of Zaragoza (Spain). She has been a Visiting Scholar at the Universities of Cambridge, Reading, Birkbeck College (London) and Toulouse and has delivered many papers related to her main fields of research, mostly Trauma, Memory and Holocaust studies, British-Jewish women writers, autobiography and feminism. She is the author of several articles dealing with these issues, and her monograph on the work of Eva Figes has been published in 2015 (Cambridge Scholars).

Address: Departamento de Filología Inglesa y Alemana. Facultad de Educación. Universidad de Zaragoza. C/ Pedro Cerbuna, 12. 50009, Zaragoza, Spain. Tel.: +34 976764837.

María Isabel Romero Ruiz. 2014. *The London Lock Hospital in the Nineteenth Century. Gender, Sexuality and Social Reform*. Bern: Peter Lang. xii + 220 pp. ISBN: 978-3-0343-1727-6.

MARÍA JOSÉ COPERÍAS AGUILAR
Universitat de València
maria.j.coperias@uv.es

Lock hospitals were the legacy left by medieval lazar hospitals, which were devoted to the treatment of leprosy. In fact, the name comes from the French word *loques* in reference to the rags used to cover the ulcers produced by the disease. Special wards and outhouses had been built to keep lepers away from any contact with other patients by locking doors and shutting windows, and these were later used to house venereal disease patients. Leprosy had been the symbol of pestilence and degradation in the past and this role was now assumed by venereal disease (VD) (11). VD was present in all social classes in the eighteenth and nineteenth centuries although it was especially prevalent among the urban poor. For this reason, lock hospitals, among which the London Lock Hospital (LLH) is worth highlighting, started to emerge in different British cities. In her book *The London Lock Hospital in the Nineteenth Century. Gender, Sexuality and Social Reform*, María Isabel Romero Ruiz focuses on the role that this institution and its associated asylum played in "the rescue and cure of fallen women" (1), and, as the second part of the title suggests, the emphasis is on issues of gender, sexuality and social reform, and, it should be added, on class. In this work, Romero Ruiz makes recourse to an abundant and well selected bibliography, as well as to the archives of the London Lock Hospital and Asylum itself (LLHA), along with other first-hand documents, which is one of the great assets of the book.

The book is structured in six chapters, the first of which is an introduction dealing with the functioning of the LLHA and other specialist hospitals in the nineteenth century. Specialist private hospitals devoted to specific illnesses had started to be established in Britain, and general hospitals also opened specialised departments. At the same time, there was concern about how to cope with the care of those who could not afford to pay for their treatment, and thus a network of medical charitable comprising workhouse infirmaries, royal hospitals and small specialist hospitals supported by voluntary subscription was established. This is the context in which the LLH was erected in 1746, in Grosvenor Place, "for those members of society who could not

afford to pay for the fees that specialist hospitals required for treatment" (17). However, the primary aim of the LLH, that is, to treat venereally diseased people, changed in the 1780s when the Charity came under the control of a group of Evangelicals and the moral reform of female, not male, patients became the fundamental goal, with the consequent creation of the London Lock Asylum for the Reception of Penitent Female Patients (LLA) in 1787.

Following the mainstream middle-class Victorian way of thinking which put the blame for the spread of VD on women, and more specifically on prostitutes, Romero Ruiz offers an analysis of the idea of fallen women, as well as the treatment of the disease, in chapter two. Victorian society was dominated by a middle-class female ideal of the "angel in the house [. . .] built explicitly on a class system in which political and economic differences were rewritten as differences of nature" (Langland 1992, 295), and, whereas middle-class women were supposedly "asexual and chaste" (25), "working-class women were believed to be sexually active" (26). Prostitution was an issue of analysis by many contemporary social investigators who studied its causes and even established classifications for prostitutes. It is widely held that most prostitutes were working-class women (33); yet, as Romero Ruiz points out, "contrary to the general opinion [. . .] middle-class men did not resort to working-class prostitutes" (34). As it is hard to believe that men belonging to the upper classes restrained from having sex before or out of marriage, and in fact had "their own brothels and recreation places" (34), it might be assumed that there was some hypocrisy in attaching the idea of prostitution mostly to working-class women, but not to other higher social classes. The second part of the chapter describes the different manifestations of VD, how they were dealt with as well as the remedies used at the time.

Making profuse use of original documents, chapter three is devoted to the study and analysis of the LLH regulations in the nineteenth century and their influence on female patients. On the one hand, the whole organisation and functioning of the place is explained in detail, including the role of the governors, the different levels of staff working there and even the characteristics of the patients, especially the females. Particularly relevant is the analysis of the ideology underlying these regulations. As Romero Ruiz points out, "diseases and corruption were associated with the lower classes, and were considered natural to them" (57); consequently, lock hospitals promoted cleanliness and good habits; that is, decent behaviour according to middle-class standards. Even the running of the LLHA replicated the organisation of a respectable household, with the secretary as the paterfamilias and the matron as the decent, respectable wife, despite the fact that, in the hospital setting, they were not and could not be married (62). The female patients were considered deviant, promiscuous and riotous, according to middle-class standards, hence they had to be controlled and contained and to this aim middle-class Victorian women cooperated and participated with men, as it was not merely an issue of gender but class also (Langland 1992, 294).

As chapter four explains, one of the most controversial issues in this century, related not only to prostitution but to the treatment of women in general, was the passing of the Contagious Diseases Acts (CDAs) in 1864, 1866 and 1869. As the British Army did not allow enlisted men to marry, and homosexuality was forbidden, soldiers resorted to prostitutes and it has been estimated that around a third of the armed forces at the time contracted VD. With precedents in legislation in force in the British Empire and the regulation of prostitution in Oxford and Cambridge, as well as controls in other countries, the CDAs allowed any policeman or doctor who believed that a woman could be a prostitute to inform the authorities, who would summon the woman to a certified hospital for medical examination and, if she were found infected, to remain there for several months (103). Initially the jurisdiction of these laws was limited to some naval and garrison towns, but the intention of certain lobby groups was to extend it to the civilian population. The problem with these CDAs, and the origin of a strong repeal movement that emerged in 1869 led by Josephine Butler, was the double standard used for men and women, as only women were subjected to the humiliation of being examined and confined in lock hospitals. Romero Ruiz's significant contribution is that she also explores and evaluates the consequences that the application of the acts had for the patients of the LLH and the institution itself.

In chapter five, the author goes back further in time in order to present in more detail the later incarnation of the LLH, the London Lock Asylum and its role in the moral reform movement of the time, often resorting to previously unstudied primary sources. Following the model of the Magdalene Asylums, which are also briefly presented here, the LLA was designed for girls who, after release from hospital, and if they showed enough sincere repentance, would be subjected to a process of reform and transformation according to middle-class values of respectability and purity. As the author rightly states, "only women were seen in need of a reform institution" (126), suffering again not only the effect of gender bias but also class bias, as in reality this affected female members of the lower orders (129). As part of the reform process, the girls were taught different skills that could be put into practice in future positions such as servants, laundresses or needlewomen (142); among them, laundry-work stood out as a symbol of purification for penitents, as the asylum inmates were called. Although never explicitly voiced, in the documents analysed there are hints of rebellion and resistance against the complex structure of systems of power and gender control according to the middle-class ideology that these reform institutions represented.

The last chapter in the book deals with life in the LLHA at the turn of the century, and includes new perspectives on the physical and moral cure of deviant women. One of the big changes that took place partly as a result of the campaign for the repeal of the CDAs was the increasing presence of women in reform work. However, as stated by Parker (1997, 322), by the mid-nineteenth century charitable organisations run by women and ladies' visiting societies were already enjoying great public support. In fact, as has been thoroughly analysed by authors like Prochaska (1980) and Elliott

(2002), among others, throughout the nineteenth century, philanthropy was closely associated with women. These women belonged mostly to the middle class, but some also came from the working class, in order that aid efforts could reach places and people otherwise "inaccessible to conventional mission work" (Summers 1979, 35). Another important change was the timid shift from the double standard to a single standard of morality for both men and women that took the form of the creation of associations like the Young Men's Society for the improvement of young men (164, 170-171). Other issues the author also tackles in this chapter are the sexual abuse of children, the problem of white slavery, and pornography. At this time, some advances were made in knowledge about and treatment of VD; however, the staff of the LLH, although competent, were traditional in their medical practices, and this institution remained a kind of micro-universe for VD in the British system until it closed in 1952 (198).

Organising the contents of a book is always a difficult task for any writer and not every reader may be equally happy with the final result. Chapter five in this book, dealing with the LLA and the moral reform movement, might have been better placed as part of chapter one where its originating institution, the LLH, is fully presented or near chapters two or three. Placing it after chapter four, which deals with the CDAs and their consequences from the 1860s onwards, may make the reader feel they have travelled back in time when coming to chapter five, which starts in 1787 when the asylum was first projected. Romero Ruiz includes a brief conclusion at the end of each chapter; however, a final section bringing together the main issues or elaborating on the idea of how successful or not the institution was in helping these "fallen" women would have been appreciated. This is only hinted at on pages 76, 145, 152 and 157 of the text, but never fully developed. Despite these, mostly formal, small weaknesses, the book is a highly stimulating piece of conscientious scholarly work, whose value is enhanced by the use of original documents to support the analyses, as well as a very much needed contribution to the understanding of what the role of the London Lock Hospital and Asylum was, along with other similar institutions, and how it affected their female inmates.

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María José Coperías Aguilar is a senior lecturer at the University of Valencia, where she teaches in the Department of English and German Philology. She has published several critical editions in Spanish of the works of authors such as Aphra Behn, the Brontë sisters, Elizabeth Gaskell and Jean Rhys for the series "Letras Universales" in Ediciones Cátedra.

Address: Departament de Filologia Anglesa i Alemanya. Facultat de Filologia, Traducció i Comunicació. Universitat de València. C/ Blasco Ibáñez, 32. 46010 València, Spain. Tel.: +34 963864262.

Velichka D. Ivanova, ed. 2014. *Philip Roth and World Literature: Transatlantic Perspectives and Uneasy Passages*. Amherst, NY: Cambria Press. 349 pp. ISBN: 978-1-60497-857-5.

MARTYNA BRYLA
Universidad de Málaga
martynabryla@uma.es

Several years ago the Philip Roth Society held an *International Roth Panel* at the American Literature Association in Boston, Massachusetts. Scholars from the US, Switzerland, Italy and Spain discussed transatlantic connections in Roth's fiction as well as the international reception of his works. In 2015, "Roth's transdisciplinary and transcultural appeal" was the focus of an entire conference, which took place at the Partium Christian University in Oradea, Romania. This international direction in Roth's scholarship comes as no surprise given the American author's long-time fascination with world literature, not only as a writer whose works often engage in intertextual dialogues with non-American texts but also as a reader, editor and a university lecturer. However, as Velichka Ivanova, the editor of the collection reviewed here, points out, the general reader still lacks "awareness of Roth's engagement with the traditions of world literature" (11). Although this collection might not influence popular notions of the American author in view of its academic character, there is no doubt that it constitutes an important and valuable contribution to Philip Roth studies.

The volume is divided into four parts which in turn consist of either three or four chapters each. Overall, the collection is balanced and well-structured, with the third section being the most coherent. In addition, the Further Reading list is bound to be useful to anyone interested in the comparative reading of Roth's fiction. Many scholars will appreciate Ivanova's detailed and well-researched introduction which reviews existing literature on Roth's (inter)national connections and foregrounds the need "to broaden even further the intersections and concepts through which comparisons can be made and sustained" (12). Although Roth's intertextual links have been tackled in numerous essays and a few book-length studies, the collection "represents the first entire volume comprising exclusively comparative studies" aimed at assessing the ways in which Roth "has responded to his precursors and contemporaries" (13). The volume's international character is reinforced by the choice of contributors from Europe, Canada, the US and Asia.

The organizing metaphor of the work is the notion of *transatlantic*: "a space of intersections and continuous back-and-forth crossing" (13). In adopting this liminal perspective, the contributors attempt to move beyond the practice of "influence-spotting" within Roth's highly intertextual works to situate them instead in the realm of world literature, with the aim of "rethink[ing] established definitions of Roth's literary identity as homogeneous and stable" (14). In most cases, this project is successfully accomplished. In accordance with the inclusive framework of the transatlantic, the first part of the collection, entitled "American Precursors," studies interrelationships and dialogues between Roth's *American Trilogy* novels and the works of canonical American authors and thinkers. Thus, in "Roth's Economy of Living," Matthew McKenzie Davis convincingly demonstrates how the fluid notion of "community" shapes the narrators' perspectives in Philip Roth's *The Human Stain* (2000) and Henry David Thoreau's *Walden* (1854). Despite living apart from human dwellings, i.e., a community in the traditional sense of the word, Nathan Zuckerman and Thoreau's narrator are nonetheless part of several communities with which they temporarily align themselves in order to tell the characters' stories and instruct the reader. In doing so, they also question their own modes of living. *The Human Stain* is also the subject of Ann Basu's intricate essay—"Spooking America with Ellison and Hawthorne"—which examines Roth's take on American identity "in light of late-twentieth-century concerns about politics and race" (47) and in relation to the dominant *ghost presences* in the novel: Nathaniel Hawthorne and Ralph Ellison. Unpacking the ambivalent term *spooks* which sets in motion the action of *The Human Stain*, Basu demonstrates how the American author plays with deep-rooted notions of sexual purity and racial (in)visibility to question the "ideological myth of racial purity" as reflected not only in Coleman Silk's story but also in the novel's highly nuanced language (62).

The question of national identity is also the focus of Theodora Tsimpouki's study, which draws a thought-provoking comparison between the treatment of American nationhood in Stephen Crane's short story "The Blue Hotel" (1898) and Roth's *American Pastoral* (1997). By examining both works in the light of the discourse of American exceptionalism in the 1890s and 1960s respectively, "The Frontier, the Dreamer, and the Dream" shows that Crane and Roth not only problematize the dominant narrative of American nationhood in their corresponding contexts but also "uncover it as an imaginative social construct" (88).

The last essay in this section, Andy Connolly's "Roth and the New York Intellectuals," explores *I Married a Communist* (1998) in relation to Lionel Trilling's and Philip Rahv's ideas on the shape of the American novel. Drawing on Rahv's proposition that American fiction should represent a balance between a highbrow intellectual tradition—*paleface*—and raw, emotional American writing which foregrounds the primacy of experience over culture—*redskin*—Connolly argues that while *I Married a Communist* engages with both traditions, Roth ultimately transgresses this synthetic literary model (107). The result is a unique form of

redface literature embodying "the turbulent interaction between the greater world of external facts and the inner machinations of the private authorial imagination in postwar American life" (120).

The second part of the collection envisions transatlantic connections between the American author and European literature of the nineteenth and early twentieth century. Accordingly, in chapter five, entitled "'Within a Year my Passion will Be Dead,'" Gustavo Sánchez-Canales examines the influence of the notion of "romantic disillusionment," as depicted in Anton Chekhov's short stories, on Roth's *The Professor of Desire* (1977). By setting the travails of Chekhov's characters against David Kepesh's persistent inability to reconcile his need for emotional balance with his instinctual drives, the critic demonstrates that Roth's protagonist shares "Chekhov's pessimistic vision of love," which in turn makes him suffer romantic disillusionment himself (137). The remaining essays, both by Polish scholars, offer a fresh look at Roth's most discussed work: *Portnoy's Complaint* (1969). The strength of these studies lies in juxtaposing Roth's classic with works that some readers may be unfamiliar with, but which are fascinating in their own right. Thus, Marta Mędrzak-Conway proposes in "Between Trieste and New York" a comparative reading of Roth's novel and that of the Jewish-Italian author Italo Svevo. Although the question of whether *La Coscienza di Zeno* (1923) had an actual bearing on the character of Alexander Portnoy remains a matter of speculation, the scholar convincingly argues that both works not only share certain striking affinities but also pertain to a common transatlantic literary space, "the great Middle European Jewish literary tradition," which expanded into post-war America through the writings of such authors as Bernard Malamud, Saul Bellow and Philip Roth himself (154). Taking his cue from Derek Parker Royal's (2007, 23-24) oft-cited argument that Roth's fiction calls for intertextual reading rather than a traditional analysis of literary influence, Marek Paryz recognizes in "'My Whole Work Shrank'" common sensibilities in Roth's portrayal of Portnoy against his Jewish-American milieu and Witold Gombrowicz's Polish character Joey in *Ferdydurke* (1937). As both characters struggle against the politics of standardization which their corresponding communities try to impose on them, they also seek to demarcate "a space for the self" through various performative acts as evidenced, among others, in their transgressive speech (160).

Given Roth's well-known engagement with the Other Europe, it comes as no surprise that the third part of the collection is dedicated to "The Experience of Prague and Central Europe." Importantly, the three essays diverge from the scholarly tendency to discuss Roth's Eastern European connections in relation either to his literary father Franz Kafka or his Czech counterpart Milan Kundera, focusing instead on, to paraphrase Norman Ravvin, less-acknowledged presences in the American author's literary microcosm (1997). This is clearly visible in Eitan Kensky's "The Yiddish of Flaubert," which argues that Roth's Eastern European journey is in fact a journey into "the meanings of Jewish writing" (202) and Jewish literary tradition, whose tangible

outcome is *The Prague Orgy* (1985). Although Eric Sandberg's "'Even the Faintest Imprint'" acknowledges the importance of two familiar intertexts—Henry James's *The Aspern Papers* (1888) and Kafka's *Metamorphosis* (1915)—it is not so much to scrutinize their literary influence on *The Prague Orgy* as to read the novel as a broader meditation on intertextuality not only between texts but also between readers and texts. This part of the collection concludes with David Rampton's essay which studies, as the title informs us, an "odd, tense kinship" between Philip Roth and his Czech friend and writer Ivan Klíma. Roth famously called Klíma his "principal reality instructor" (2002, 44), responsible for introducing him to cultural life in Czechoslovakia in the times of Soviet normalization. Yet in this essay Rampton is not interested in the way Klíma facilitated Roth's insight into dissident culture, but unfolds instead an important literary connection between both authors; a complex kinship which, though based on certain common traits, is in fact best revealed through difference.

The last section is devoted to analysis of miscellaneous literary passages between the works of Roth and "Western European and Contemporary World Literature." It starts with Velichka Ivanova's perceptive study "Philip Roth's Summoning of Everyman," which takes us back to the realm of medieval morality plays. In her discussion of Roth's *Everyman* (2006), Ivanova argues that the American author reinvents the medieval play thus "offer[ing] a creative response to the concerns of contemporary humanity," as filtered through the life story of his modern-day protagonist (251). In chapter twelve, "Dialogical and Monological Madness," Till Kinzel offers an interesting reading of a work which has received relatively little scholarly attention. Kinzel sees *Our Gang* (1971) in terms of a "hybrid novel" or an "orality play" which reveals a tight interdependence between language and power and which, despite being rooted in the context of twentieth-century American politics, harks back to European philosophic and literary traditions. In a similar vein, Aristi Trendel's erudite essay "Rebellion in *Sabbath's Theater*" posits that in the novel (1995) Roth created a figure of "the American Jewish male" gone "European" (271). The epithet "European" refers to Albert Camus's philosophical understanding of rebellion, and Trendel perceives Sabbath as a quintessential rebel who in repudiating every moral norm does in fact struggle against the inevitable absurdity and meaninglessness of human existence. In broader terms, the scholar argues that "[l]ike Camus, Roth calls for a renewed fidelity to true rebellion as a sort of methodological doubt that can accommodate the limits of thought" (284). The last piece in the collection symbolically closes the discussion on the transatlantic voices in Roth's fiction by bringing up a subject which has informed the author's later writing. Alice Hall's "Aging and Autobiography" discusses Roth's *Exit Ghost* (2007) alongside J.M. Coetzee's *Diary of a Bad Year* (2007). This well-argued study shows how both works negotiate a complex interrelation between the writing process and physical and mental aging. Drawing attention to formal and content elements in both novels, Hall examines the ways in which Roth's and Coetzee's fiction

engage the notion of (auto)biography to produce a singular form of storytelling characterized by narrative richness, formal creativity and intertextual references.

To conclude, the collection lives up to the goals envisaged in Ivanova's introductory piece. In most essays, Roth's works are critically illuminated through encounter and comparison with American and non-American texts and authors. Although some works are discussed more than once, which means that the number of primary sources is relatively limited, these "bifocal" readings serve to bring out Roth's creative and formal ingenuity, providing fresh critical insights. Interestingly, the transatlantic encounters explored in the collection take place on a strictly male-to-male basis. While this is hardly a fault, it would be interesting to hear Roth's powerful voice contrasted with an equally strong female one. Nevertheless, the collection does justice to the novelist's personal culture and literary erudition, casting him as embedded in American tradition but also receptive to world literature. Simultaneously, the comparative method of analysis employed in the essays highlights the dialogic nature of the transatlantic literary space, suggesting new, inspiring ways of reading Roth beyond the customary category of Jewish-American writing.

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Martyna Bryla has recently defended her PhD on the representation and significance of the idea, image and experience of Eastern Europe in the American literary imaginary at the University of Málaga. Her research interests include literary imagology, particularly in relation to East-Central Europe, and cultural construction of selfhood and otherness in multinational contexts. She has published on Philip Roth's engagement with Prague under communism.

Address: Departamento de Filología Inglesa, Francesa y Alemana. Facultad de Filosofía y Letras. Campus de Teatinos. Universidad de Málaga. 29071, Málaga, Spain. Tel.: +34 952131794.

Xavier Aldana Reyes. 2014. *Body Gothic: Corporal Transgression in Contemporary Literature and Horror Film*. Cardiff: U of Wales P. 229 pp. ISBN: 978-1-78316-092-1.

SARA MARTÍN ALEGRE
Universitat Autònoma de Barcelona
Sara.Martin@uab.cat

Xavier Aldana Reyes (b. 1984), currently a lecturer at Manchester Metropolitan University, is one of the most promising young researchers in the field of Gothic Studies. In *Body Gothic*, his first monograph, he challenges gothic scholars to reconsider the central place of the materiality of the flesh in this narrative mode, focusing in particular on the last thirty years. As he stresses, Gothic Studies scholars tend to foreground the "spectral, uncanny and psychological aspects of the gothic" unjustifiably forgetting that this genre is "also somatic and corporeal" (2). This neglect is due, arguably, to two main factors: first, researchers often find the most visceral aspects of the less refined gothic narrations an uncomfortable aspect of the genre; second, only a fully determined, totally unprejudiced researcher can brave the gory body politics of contemporary gothic, particularly in film. Aldana Reyes is, thus, to be praised for having managed to produce extremely sound academic criticism out of his selection of shocking primary sources.

The author himself draws attention in his Conclusions to the position which his volume occupies, at the intersection between Body studies and the wide range of gothic academic work exploring "corporeal transgression" (168). Certainly, his *Body Gothic* closes brilliantly the accidental trilogy which it forms with its two main predecessors in the application of "cultural materialist and historicist approaches" (167) to the analysis of the body within Gothic Studies. One of these is Steven Bruhm's pioneering *Gothic Bodies* (1994), an analysis of the role of pain as understood by Romanticism in late eighteenth- and early nineteenth-century classic gothic fiction. The other is Kelly Hurley's equally well-known volume *The Gothic Body* (1996). Hurley connected the "abhuman," as she called the category, generated by experiments on the limits of the body in late Victorian fiction—such as H.G. Wells' *The Island of Dr. Moreau* (1896)— with contemporary *fin-de-siècle* discourses on evolution, anthropology, psychology and even criminology. A third major influence that Aldana Reyes specifically acknowledges is Judith Halberstam's *Skin Shows* (1995), a volume focused on the construction of the monster in the last two centuries. More recent studies, such as Catherine Spooner's *Fashioning Gothic Bodies* (2004) and Fred Botting's *Limits of Horror* (2008), also frame

Aldana Reyes's work. None of these volumes, including *Body Gothic*, could however have appeared without Philip Brophy's bold incursion into the "horrality" of 1980s cinema, first analysed in a celebrated *Screen* article (1986), which Aldana Reyes rightly praises.

The main argument binding together the different chapters in *Body Gothic* is Aldana Reyes's thesis that, far from being a sub-genre of gothic, body gothic includes "all gothic," since "it naturally appeals to the body of readers and viewers, as well as their imagination and intellect" (7). The foundation of this bold statement is not just a morbid fascination for the open bodies of much contemporary gothic but a fundamental research question: paraphrasing Aldana Reyes's own words, how and why does certain (gothic) narrative material affect us mentally and physically, despite our knowing that it is fictional? A complementary question is here required: how far are we willing to go as readers and spectators in our search for this treacherous kind of narrative pleasure? We must bear in mind that the kind of transgressive novels and films which Aldana Reyes examines deal with "dismemberment, mutilation, mutation, extreme disease or transformative surgery" (11). For him the ubiquitous carnage depicted in these extreme texts is never "pointless" as it "often hides a sustained questioning of the role of embodiment" in our everyday lives (18). Body gothic addresses, in short, our fears regarding the vulnerability of our bodies by paradoxically subjecting us to the vicarious experience of seeing other fragile bodies destroyed in the cruellest ways.

The period that *Body Gothic* examines starts in 1984—with the passing of the controversial, censorious Video Recording Act in Britain intended to clamp down on, precisely, body gothic in film—and reaches to our days. Chapter one is devoted to a sub-genre already explored in Gothic Studies: 1980s *splatterpunk*, a label coined in 1986 by David J. Schow at the Twelfth World Fantasy Convention. The chapter considers as case studies the rough horror fiction by pulp master Richard Laymon and the more elegant works of author and film director Clive Barker, in particular his atmospheric short fiction in *Books of Blood* (1984-1985).

Chapter two deals with body horror, "one of the most ill-defined terms in gothic and horror studies" (52). Aldana Reyes tries here to pin down the meaning of this label by pointing out that body horror deals mainly with the "estrangement from one's own body" (54) as a possible "form of corporeal transcendence" (56). Thus he focuses this chapter on Canadian filmmaker David Cronenberg: his films, in particular *The Fly* (1986), being indispensable examples of this transcendental alienation. Although Aldana Reyes offers insightful analysis throughout the volume, in this chapter he bypasses a fundamental genre issue. In his scrutiny of Stuart Gordon's *Re-animator* (1986)—and in his comments on the pioneering splatter classic *Night of the Living Dead* (1968), or on the proficient use of prosthetics in the *Saw* (2004-2010) and *Hostel* (2005-2011) series—Aldana Reyes shows a clear awareness of the spectacular evolution since the 1980s of ultra-realistic, anatomically-accurate, gory special effects. There is not, however, a sustained analysis of how this crucial factor impacts on the stylistics of the novels and short fiction also dealing with body horror, as one might expect.

Chapter three returns to the printed page for an exploration of the short-lived school of body gothic headed by *NME* journalist and former punk poet Steven Wells, a school christened by Mancunian writer Jeff Noon the "new avant-pulp." This movement resulted in the gruesome novels published by Attack! Books in the late 1990s. These books were accompanied by a definitely punk manifesto aimed at launching an assault, never really operational, against (in its words) the "effete bourgeois wankers who run the literary scene" (77). Defined by Aldana Reyes as a "collapse of goth into gothic" (78), avant-pulp failed to see that the "highly literate and dissenting working-class" (79) which it targeted simply prefers (horror) films to reading books. The publisher folded in 2002, a failure which Aldana Reyes disingenuously attributes to "lack of funds" (82). Somehow extravagantly, he praises the writers for their "eagerness to explore the limits of corporeal transgression" (82), finding the bad taste of their novels "interesting for its capacity to upset the status quo" (95).

Chapter four deals with the "slaughterhouse novels" of the kind epitomized by Michel Faber's disturbing SF work *Under the Skin* (2000), recently adapted into film, or Matthew Stokoe's bleak *Cows* (2011). Ultimately derived from Upton Sinclair's scandalous *The Jungle* (1906), but also connected with modern exposés of the meat industry such as Eric Schlosser's non-fiction volume *Fast Food Nation* (2001), the slaughterhouse novel seeks to school us on the "futility and vulnerability of the flesh" (100). This is achieved by tracing a horrifying analogy between the disempowerment of the humans whose bodies are destroyed in appalling ways and the millions of disempowered animals that we slaughter daily with complete disregard for their suffering.

Chapter five, "Torture Porn," considers a sub-genre now past its mid-to-late 2000s peak, which "deals openly with the mutilation and annihilation of the human body" (123) in films such as the notorious *Hostel* (2005). This radical variety of gothic, Aldana Reyes explains, "offers a visceral fantasy of vulnerability, and thus the fictional possibility of empathising with fictional pain at a safe remove" (126); he does not clarify, though, why anyone would subject themselves to this kind of audiovisual experience for enjoyment. The author insists on a "model of spectatorship that assumes total agency" (127); nevertheless, this seems to clash with the experience of the spectators that shun torture porn precisely because they feel too much empathy for the tortured victims. The *Hostel* franchise may have the ultimate goal of denouncing the callousness of the affluent persons engaged in the commercialisation of death and torture. Yet this is a message couched too conveniently in sadistic spectacle, thus ambiguously allowing viewers to side with the exploiters. Similarly, the very successful *Saw* (2004-2010) series—in which the vigilante killer nicknamed Jigsaw implements a bizarre system of justice—invites viewers to gloat over the dreadful bodily harm inflicted upon those he judges. Corporeal mortification, as Aldana Reyes points out, does not always fulfil its aim to send a positive anti-violent message, which "opens up the question of [its] ethical value as an experience to learn from" (142).

Finally, chapter six focuses on surgical horror, a belated descendant of Mary Shelley's classic *Frankenstein* (1818). After tracing the genealogy of this widespread category of body gothic, Aldana Reyes considers films centred on, as he calls them, patchwork bodies. Among these, no doubt the trilogy by Dutch director and screenwriter Tom Six *The Human Centipede* (2009) raises the issue of whether the transgressive and the deeply offensive can cross paths effectively. The simple plot summary (mad surgeon kidnaps young tourists whom he mutilates in order to stitch their bodies together in macabre ways) is enough to sicken any sensitive reader. Aldana Reyes, however, manages to offer a fine analysis of how contemporary horror cinema underlines "the biological constraints of human embodiment even when it seems to be advocating the creative side of corporeal destruction" (157).

Aldana Reyes never passes judgement on the controversial texts he deals with, explicitly rejecting any moralistic condemnation of their content. He rather chooses to stress the critical neglect to which they have been subjected for reasons that should perhaps be further explored. Paradoxically, although his very accomplished study in part undoes this neglect, his volume is unlikely to recruit new adepts to the cult of body gothic—unless the reader is already predisposed towards the kind of thorny gratification which the genre offers. In Aldana Reyes's view no text can be truly called trash, nor is there sufficient evidence to assert that our capacity to be shocked is being tested in more depth than at other times; he claims that this is always relative to our personal threshold of tolerance. Fair enough. Still, something is amiss.

As a feminist scholar, I am concerned by the fact that the gender of both writers and spectators in body gothic is predominantly male. Countless male bodies are destroyed in horrific ways in this genre usually by other men, yet Aldana Reyes's volume is peppered with comments on the (mis)representation of women (and homosexual men) that fail to be critical. The segment on Richard Laymon's novels suggests that their mixing of graphic mutilation with eroticism and even pornography "could, in places, be seen as misogynistic" (35) but no further observation is added. In relation to new avant-pulp, we are told that the body in these narrations appears as "a source of voyeuristic pleasure (primarily male)" (76), also that "misogyny or homophobia are disturbingly present in the novels" (81). Aldana Reyes chooses, however, not to explore these gender issues. Ultimately, this decision highlights a gap in his work: the body he analyses is oddly abstract, a ghostly rather than a material presence, despite the rotund materiality of body gothic. The dehumanisation of the victims in body gothic is, somehow, uncomfortably mirrored by the academic analysis: there are, with few exceptions, no singular, individual bodies marked by gender, race, age, nationality and other identity factors but an all-inclusive, intangible yet vulnerable, universal body.

Aldana Reyes shows immense courage by arguing that no manifestation of gothic must be excluded from Gothic Studies: the task of academics, after all, is not to censor but to illuminate, which he unquestionably does very well. As he concludes, "what often appear to be mere superficial or gratuitous experiments in shock or taboo-breaking

often conceal much more complex philosophical reflections that go hand in hand with contemporary notions of the body in the Western societies that produced these fictions" (167). Faced with the truly demanding, challenging texts that Aldana Reyes analyses the reader/spectator may often wonder why they exist at all—his volume provides many necessary answers. Our Western culture produces body gothic because we are more aware than ever of the vulnerability of our bodies. We consume its many sub-genres avidly in the hopes of containing our fears that our own body may be brutally, randomly destroyed. The greater our fears, the more intense body gothic becomes. And this is a phenomenon which Aldana Reyes elucidates superbly.

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Sara Martín Alegre teaches English Literature and Cultural Studies at the Universitat Autònoma de Barcelona. She has published books and articles on popular fictions, particularly gothic and science-fiction. She is currently a member of the research group CNM (Construyendo Nuevas Masculinidades), devoted to the study of masculinities in American literature. See her website http://gent.uab.cat/saramartinalegre.

Address: Departament de Filologia Anglesa i de Germanística. Facultat de Filosofia i Lletres. Edifici B. Universitat Autònoma de Barcelona. Carrer de la Fortuna, s/n. 08193, Bellaterra (Barcelona), Spain. Tel: +34 935812330. Fax: +34 935812001.

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IZASKUN ELORZA
Universidad de Salamanca
iea@usal.es

Translation and the Spanish Empire in the Americas is an impressive volume whose author, Roberto Valdeón, is a well-established scholar at the crossroads of translation and cultural studies. He is particularly interested in analysing the multiple facets of ideology in both fields, and the volume presented here is another contribution in this line of research. In this case, the focus has been placed on the role that translation had in the expansion of the Spanish Empire in the Americas, with special attention to its conceptual and ideological construction and dissemination. For this purpose, the study delves into two periods of evolution in Mesoamerica and in the Andean region, firstly revolving around the conquest itself with the encounter between conquerors and conquered peoples, and secondly around colonists and colonial subjects during the colonial period.

As a contribution to cultural, historical and postcolonial studies, the volume can be considered another twist in the road to what Gentzler (2008, 1) has described as moving translation into centre stage in cultural studies, the so-called "translation turn," in the words of Bassnett (Bassnett and Lefevere 1998, 128). In this particular case, this turn constitutes a contribution to the rewriting of American history from the perspective of the translator. It is also an up-to-date response to an increasingly heard demand to value the participating roles of translators and translations in social and historical processes. On the one hand, it is undeniable that translation participates in "shaping the way in which conflict unfolds in a number of ways" (Baker 2006, 2), whereas on the other, as Bastin (2010, 17) rightly remarks, it is surprising to see how, even though translation is omnipresent in their work, historians have failed so far to recognize the value of translation as a crucial supporting discipline for historical studies. In the case of the Spanish conquest of the Americas, ignoring the value of translation has often resulted in a reductionist view of the conquest as well as of its chronicling, failing to present a comprehensive view of all the interacting forces and, therefore, of the participation of translators, together with other witnesses, such as Spaniards who emigrated to look for opportunities that could not be found in Europe, who can provide complementary information.

There are a number of reasons why prospective readers will find this volume of great value and interest. As previously suggested, from a broad perspective the volume is linked to contributions on translation from a cultural or a historical approach published in recent years, such as Bastin and Bandia (2006), Delisle and Woodsworth (2012), Calzada Pérez (2003), Sturge (2007), Tymoczko (2000, 2010), and Vidal Claramonte (2010). At a narrower level, it also relates to the increasingly frequent publications on the role of translation in historical processes within American history in particular. Within these, we can distinguish between studies which focus on a very specific topic and those dealing with the role of translation on a larger scale. One example of the former is Vega Cernuda's (2012) collection of studies dealing with the specific role of translation and other problems encountered by the Franciscan friars in the evangelization of American natives, whereas other studies revolve around the specific role of a translator or an interpreter, such as Fossa's (2008) work on Juan de Betanzos Filho and Milton's (2008) study on Jose de Anchieta, to name but a few. At the larger scale this includes works dealing with translation in the shaping of American history from different perspectives, such as those by Alonso Araguás and Baigorri Jalón (2004), Bastin (2003, 2010), Bleichmar and Mancall (2011), Burke and Po-chia Hsia (2007), Lafarga and Pegenaute (2013), Gentzler (2008), Goldfajn, Preuss and Sitman (2010), Ortega (2003), Simon and St Pierre (2000), to give some examples. It is in this second group that Valdeón belongs.

The great profusion of studies on the role of translation in historical processes shows not only the complexity of the task but also the difficulties in setting a common perspective which allows researchers to benefit from previous work and shed more light on the topic, which means that what we often find is a fragmented view rather than a coherent one. For example, Gentzler (2008) describes the cultural and historical role of translation in America by looking at different hyphenated identities (Cajun American, African American, etc.) and hybrid cultures, such as those found along the US-Mexican border, thus the features of specific manifestations of hybridity are set along a given territorial area. This approach of using a geographical area to analyze the development and evolution of a certain phenomenon is common to historical and anthropological research, such as the work by Salomon (1986) on the politics of the Inka frontier. However, and even though we might say that the borders of a territory are the natural habitat of translation, and hence the ideal area to observe this phenomenon, as Pym (2000) posits, the frontier can also be envisaged as a negotiating area in which the translator has the power to set borders as to how one culture will be constructed and represented in the other, and vice versa, no matter if the particular position of the translator in the process is called "intercultural space" or rather "hybridization," depending on the approach followed. Valdeón explicitly avoids falling into a reductionist view of the conquest and the chronicles of both the conquistadors and the natives by presenting them as binary opposites—the account of the atrocities inflicted on the natives by the conquerors versus the amiable view of the conquerors as saviors of the natives. Instead he chooses

to approach a more ambitious territory, that of the Mesoamerican and Andean areas and their evolution across five centuries in order to disentangle the roles of translation as a tool of conquest, as a means to evaluate the Other, as a means of conversion, as well as an example of colonial rivalries (233).

In order to do so, the book is structured in six thematic chapters and a final part with the conclusions of the study. Chapter one ("Language, translation and empire") revolves around two axes which will structure the discussion throughout the volume, namely the two opposing images constructed of the conquest—the so-called Black Legend or the benevolent conquest—and the role of translation either as violation or as (mis)communication. Chapters two, three and four consider historical study from three chronologically simultaneous perspectives. In chapter two ("Conquerors and translators") the question of communication between conquerors and conquered is discussed in relation to the teaching of Castilian and the decisive role of the knowledge and use of the main native languages, which became "a cornerstone of the colonial enterprise" (73), as well as the birth of the first universities in 1551 and the status of translation and translators in the early colonial period, whereas chapter three ("Translation and the administration of the colonies") deals with the role of translation from economic and political angles. Then, chapter four ("Evangelizing the natives") explains the decisive role of the methods adopted for introducing the Catholic religion in the conquest. It also deals with the problems and challenges brought about by those methods in Mesoamerica (the teaching of Spanish, the learning of local languages, the impact of the regional councils upon language and translation policies, the impact of translation upon the normalization of Nahuatl), and in the Andean region (the Lima councils; standardization of native languages, printing). The Marian cult as an example of hybridism is also taken into account in this fourth chapter.

The volume turns at this point to look at chroniclers and translators. Thus, chapter five ("The chroniclers and the interpreters translated") revolves around the chroniclers of Mesoamerica and the Caribbean (e.g., Christopher Columbus, Bartolomé de las Casas, Hernán Cortés, Cabeza de Vaca), together with those of the Andean region (Pedro Pizarro, Pedro Cieza de León, Juan de Betanzos and José de Acosta), as well as other texts (e.g., by Peter Martyr, Agustín de Zárate and Diego Durán), and finishes its consideration of European expansion by discussing the translation of science. Chapter six ("Native chroniclers and translation") deals with native chroniclers such as Domingo Chimalpáhin in Mesoamerica and Inca Garcilaso de la Vega in the Andean region, as well as with native translations of Spanish literature.

In the final section, "Conclusions," the author discusses the key points of the study from a modern critical perspective. He starts by emphasizing the perils of approaching the subject with a binary (reductionist) view of the participants in the conquest and how this approach tends to persist even today, and by highlighting the (almost invisible) role of women in the conquest and colonization, the role of the dominant elites and of the Amerindians involved and how the identities of the latter changed, and evolved

into hybridity. The author's final remarks point to translation and the purposes it served: the trope of colonialism, the trope of the colonial discourse of other European emerging powers, the trope of (mis)communication, the trope of the contradictions of the period, and also the trope of resistance.

A clear asset of the book is the wealth of information resources from and about the Spanish conquest analyzed by Valdeón. It will be extremely valuable to the reader with an interest in the history of translation in the construction of Spain and the Americas, and their identities—for a deeper insight see Lafarga and Pegenaute (2013). This interest will also be shared by historians specializing in the periods covered, as the texts considered for the study are "the chronicles of the conquests, the religious texts used by the missionaries and the Church, the legislation produced in Spain and in the colonies themselves, and administrative documents of all sorts (such as those issued by the governing bodies of towns and cities)" (ix). Translations of the Spanish chroniclers serve as primary sources, whereas texts produced by literary and translation scholars, anthropologists, historians and ethnographers serve as secondary sources, and include legislation and religious texts that originated in Spain and were translated into indigenous languages, Spanish and indigenous visions of the conquest (and their translations into European languages), and contemporary approaches to the use of translation in the sixteenth and seventeenth centuries.

To sum up, simply saying that *Translation and the Spanish Empire in the Americas* deals with the role of translation and translators in the history of the Spanish colonization of the Americas would constitute a misleading oversimplification of what readers will find in these pages. Not only the quantity and rigor of the data, but also the comprehensive perspective adopted to study the complex role of translators and translations in the process of the Spanish conquest of the Americas, will provide scholars, graduate students and lay readers with hours of both entertainment and illumination. In a nutshell, the book is an ambitious (and successful) attempt to account for the multifaceted complexities of the Spanish conquest from a fresh perspective, that of the translators and interpreters who were active participants in the process, on the side of both the conquerors and the conquered, who with their work helped shape the images and representations of the conquest in different ways.

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Izaskun Elorza is Associate Professor in the Department of English Philology at the University of Salamanca (Spain). She is interested in and has published on discourse analysis, translation and intercultural communication, especially from a contrastive perspective (English and Spanish). Recent work includes the edition of a monograph issue of *Clina*, "Intercultural Translation in a Global World" (two volumes, coedited with Ovidi Carbonell in 2015).

Address: Departamento de Filología Inglesa. Universidad de Salamanca. C/ Placentinos, 18. 37007, Salamanca, Spain. Tel.: +34 923292500; ext. 1751. Fax: +34 923294568.

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SEVERAL BOOKS BY THE SAME AUTHOR (AND SAME YEAR OF PUBLICATION):
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