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"What Are Novelists For?" *Atonement* and the British Novel

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This essay emerged from the intersection of two texts: a 2009 article by Alistair Cormack claiming that Ian McEwan's *Atonement* (2001) was a rejection of postmodernism in favor of a return to F.R. Leavis's "Great Tradition," and the protagonist Briony's closing question: "What are novelists for?" This essay criticizes the ongoing legacy of Leavis's association of literature and moral improvement, an argument still being recycled today by critics like Harold Bloom and Martha Nussbaum, by tracing McEwan's long history of interrogating this presumed ethical link in his fiction. Far from affirming Leavis's position, McEwan's work shows that some of humanity's worst atrocities have coincided with its greatest periods of education and literacy. Rather than a moral phenomenon, the concluding section of the essay draws on the recent work of Nancy Armstrong, among others, to argue that the novel reflects the production of a peculiarly modern form of subjectivity that allows *Atonement*, by combining postmodern strategies with references to seminal texts from the British tradition (Richardson, Fielding, Burney, Austen, Woolf), to reveal the obscured roots of what gave birth to the novel in the first place.

Keywords: Ian McEwan; *Atonement*; British novel; F.R. Lewis; postmodernism

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"¿Para qué sirven los novelistas?" *Expiación* y la novela británica

El presente ensayo surge de la intersección de dos textos: un artículo de 2009 de Alistair Cormack que afirma que la novela de Ian McEwan *Expiación* [*Atonement*] (2001) fue un rechazo del postmodernismo a favor de un retorno a la "Gran Tradición" de F.R. Leavis, y la pregunta final de la protagonista, Briony: "¿Para qué sirven los novelistas?" Este ensayo critica el legado actual de la asociación por parte de Leavis de literatura y mejora moral, un argumento que siguen reciclando hoy en día críticos como Harold Bloom y Martha Nussbaum, cuando investigan la prolongada tendencia de McEwan a interrogar este presunto vínculo ético en su obra. Lejos de afirmar la posición de Leavis, la obra de McEwan muestra que algunas de las

peores atrocidades de la humanidad han coincidido con sus mejores periodos de educación y alfabetización. Más que un fenómeno moral, la sección final del ensayo hace uso del reciente trabajo de Nancy Armstrong, entre otros, para argumentar que la novela refleja la producción de una forma de subjetividad peculiarmente moderna que permite a *Expiación*, mediante la combinación de estrategias postmodernas con referencias a textos seminales de la tradición británica (Richardson, Fielding, Burney, Austen, Woolf), revelar las raíces ocultas de lo que dio origen a la novela en primera instancia.

Palabras clave: Ian McEwan; *Expiación* [*Atonement*]; novela británica; F.R. Lewis; postmodernismo

In his essay "What Are Poets For?" (1946), Martin Heidegger argues that the task of the poet in the "destitute" time of modernity is to recover the remaining traces of the gods in order to prepare humanity for their return. "It is a necessary part of a poet's nature that [...] the time's destitution must have made the whole being and vocation of the poet a poetic question for him," writes Heidegger and "[h]ence 'poets in a destitute time' must especially gather in poetry the nature of poetry" ([1946] 1971, 94). A similar question confronts the reader in Ian McEwan's novel *Atonement* (2001). "What are novelists for?" asks Briony as she, like Heidegger's poets, positions herself in relation to the divine, although not as an intermediary of the gods but as their effective replacement (McEwan [2001] 2003, 349). "[H]ow can a novelist achieve atonement when, with her absolute power of deciding outcomes, she is also God?" Briony wonders; "[t]here is no one, no entity or higher form that she can appeal to, or be reconciled with, or that can forgive her. There is nothing outside her. In her imagination she has set the limits and the terms" (350-351). This query runs through McEwan's novel, a work that engages in a profound interrogation of what purpose in life is served by writing novels. "I read this novel as a work of fiction," writes Brian Finney in his analysis of *Atonement*, "that is from beginning to end concerned with the making of fiction" (Finney 2004, 69). Just as Heidegger's poets must reassess the role of poetry in a destitute time, so too must novelists like McEwan reexamine the purpose of the novel in the context of (post) modernity, a task that requires a reconsideration of the very foundations of the genre.

1. The Great Tradition

In his essay "Postmodernism and the Ethics of Fiction in *Atonement*" (2009), Alistair Cormack sees Briony's question as "surprisingly damning," an open admission that the contemporary novel has lost its way (82). The object of McEwan's critique, Cormack argues, is how postmodern fiction has overreached itself by confusing the lines separating imagination and reality. "*Atonement*'s metafiction is not there to present the reader with the inevitable penetration of the real with the fictive," he writes. "Instead the novel serves to show that the two worlds are entirely distinct: there is the world of the real and there is the world of literature, and woe betide those who confuse the two" (82). The novel's pointed references to Jane Austen, Cormack contends, are a confirmation that McEwan is contrasting the vitality of Austen's realism to the "latter-day Jacobins" of postmodernism who "are guilty of making over-elaborate claims for the novel, and the literary imagination in general" (82). He concludes that McEwan returns to a "tradition of English empiricism," with *Atonement* constituting an implicit rejection of postmodern strategies (82). For most critics, however, *Atonement* remains a postmodern novel that, for all its apparent return to realism, only plays at drawing a line between reality and fiction. Kathleen D'Angelo, for example, points out: "The reality that [Briony] renders as fiction is not a material reality; it exists only within the pages of the novel" (2009, 88-89). The very existence of Briony's accusation that

Robbie Turner, a longstanding family friend in a budding new romance with Briony's sister Cecilia, attempted to rape her cousin Lola is open to doubt. Despite being the central pivot of the plot of *Atonement*, it does not appear in Briony's first manuscript, *Two Figures by a Fountain*, and it is entirely possible she invented it to give her revised story the "sense of forward movement" suggested in the rejection letter she receives from *Horizon* in response to that manuscript (McEwan [2001] 2003, 294). Just as Briony laments at the novel's conclusion that it is impossible for the author to step outside the text to establish complete authority, so too is coming to a definitive judgment about the truth of the novel undermined by the fact that Briony, by her own admission, is "an unreliable witness" who repeatedly changes and distorts the facts (338). We cannot entirely trust anything she says, and yet her testimony is all that we have to go by.

Cormack is on sturdier ground when he examines the impact of earlier English novelists on the formation of McEwan's novel, arguing convincingly that F.R. Leavis, especially in *The Great Tradition* (1948), exercises an important influence. "Though Leavis's list of great writers—Austen, George Eliot, Henry James and Joseph Conrad—is not identical" to McEwan's own references to the English canon in *Atonement*, Cormack writes, "those he specifically excludes [...] match those excluded by McEwan" (2009, 71). Leavis's main criterion for judging the worth of literature stems from his humanist sense of morality, which sees literature as developing the ethical capacity of a human being. Cormack's argument, criss-crossing between a consideration of *Atonement*'s literary influences and the novel itself, concludes that McEwan has "written a story that passes through modernism and postmodernism to return to the heart of the 'Great Tradition' of English novelists" (2009, 79). For Cormack, *Atonement* is not only a rejection of postmodernism but a reinvigoration of Leavis's ideas about literature as a tool for moral development: *that*, supposedly, is what novelists are for.

Cormack is not the only critic to have examined the impact of earlier writers on *Atonement*—Earl Ingersoll (2004) convincingly traces the debt owed to L.P. Hartley's *The Go-Between* (1953), while Richard Robinson (2010) provides a detailed commentary on the novel's connections to modernist fiction. No critics, however, have considered in depth McEwan's allusions to Samuel Richardson's *Clarissa* (1748), a work missing even from Cormack's extensive list. Richardson is writing at a time when the novel is considered a low form, a reputation that requires *Clarissa* to exact respectability by dressing itself up in the rhetoric of moral improvement. Richardson thus reassures his readers that while some of his characters are "professed libertines as to the female sex," they are not "infidels and scoffers" in defiance of all "moral duties" ([1748] 1986, 35). The task of the novelist is to "warn and instruct" readers about the moral challenges of life, with the novel functioning as a simulation in which readers vicariously gain experience and wisdom without placing their actual virtue at risk (36). Richardson thus anticipates the moral concerns that characterize Leavis's work.

The problem with such a conclusion is that Richardson's moral rhetoric was viewed, even in the eighteenth century, as a cynical gesture, epitomized by the response to

his earlier novel *Pamela, or Virtue Rewarded* (1740). Henry Fielding's *Shamela* (1741) and Eliza Haywood's *The Anti-Pamela* (1741) sought to expose the inherent hypocrisy of Richardson's heroine. The subsequent split between Richardson and Fielding constitutes one of the great literary rivalries of the eighteenth century. They not only reacted to each other's work during their lifetimes—just as *Shamela* and *Joseph Andrews* (1742) were Fielding's response to *Pamela*, *The History of Sir Charles Grandison* (1753) was Richardson's rejoinder to *Tom Jones* (1749)—but they have also come to symbolize opposing qualities. Richardson and Fielding represent two different visions of what the novel is for, with the sober morality of Richardson standing in contrast to the ironic playfulness of Fielding. Leavis revisits this dispute in *The Great Tradition*, preferring Fielding over Richardson for the possibilities he opens up with his work. "Fielding deserves the place of importance given him in the literary histories, but he hasn't the kind of classical distinction we are also invited to credit him with," writes Leavis. "He is important [...] because he leads to Jane Austen," she who is the centerpiece of Leavis's canon ([1948] 2000, 11). This literary debate provides a crucial context for an early exchange in *Atonement* between Cecilia and Robbie:

> "How's *Clarissa?*" He was looking down at his fingers rolling the tobacco.
> "Boring."
> "We mustn't say so."
> "I wish she'd get on with it."
> "She does. And it gets better."
> They slowed, then stopped so that he could put the finishing touches to her roll-up.
> She said, "I'd rather read Fielding any day." [...]
> "I know what you mean," he said as they walked the remaining few yards to the fountain. "There's more life in Fielding, but he can be psychologically crude compared to Richardson." (McEwan [2001] 2003, 24)

Beneath Robbie's words lies a deeper question, a secret lover's curiosity that wants to discover how Cecilia views the world through the window of her literary tastes. Cecilia's dislike of Richardson is confirmed in a later conversation with her brother Leon, when she confides to him that *Clarissa* "proved the case of *Paradise Lost* in reverse—the heroine became more loathsome as her death-fixated virtue was revealed" (103). Yet Robbie's defense of Richardson suggests that McEwan believes his novels contain a hidden value that exists in spite of the repellent moralism of his work.

Leavis's views on Fielding and Richardson are the platform on which he elevates Austen to the center of the English tradition. Austen's influence is pervasive in *Atonement*, from McEwan's opening quotation from *Northanger Abbey* (1817) to the final transformation of the Tallis house into Tilney's Hotel. Although Leavis claims that Fielding is the gateway to the tradition established by Austen, he also argues that Richardson cannot be dismissed completely, for "his immediately relevant historical

importance is plain: he too is a major fact in the background of Jane Austen" ([1948] 2000, 13). Austen unifies the opposition between Richardson and Fielding, since her work brings together key elements of *both* writers. Leavis goes on to claim that while Richardson made an important impression on Austen, the "social gap between them was too wide [...] for his work to be usable by her directly" (13). "It was Fanny Burney who, by transposing him into educated life, made it possible for Jane Austen to absorb what he had to teach her," argues Leavis (13). "Here we have one of the important lines of English literary history—Richardson—Fanny Burney—Jane Austen" (13). While Burney's most famous novel is *Evelina* (1778), the work of interest here is her second novel *Cecilia* (1782), a text Austen references several times, and which seems the likely inspiration for McEwan's choice of name for his character. In keeping with Leavis's argument, she—that is, Burney/Cecilia—also provides the bridge between Richardson and Austen in *Atonement*.

Through Austen, Richardson and Fielding come to represent the dual tasks of the novelist: a serious consideration of ethics on the one hand, a playful but incisive skepticism on the other, a balance that avoids the unhealthy extremes of puritanical self-righteousness and bleak nihilism. Austen's influence is so crucial that McEwan told *Newsweek* he regularly referred to *Atonement* in his notebooks as "my Jane Austen novel" (Giles 2002, 62). As Juliette Wells explores in "Shades of Austen in McEwan's *Atonement*" (2008), Austen's influence is evident not only in the parallel between Briony's journey into experience with that of Catherine Morland but also in the evocations of the Gothic in McEwan's descriptions of the Tallis house. Even Catherine's conviction that Northanger Abbey conceals some terrible secret, which leads to her false indictment of General Tilney, finds its counterpart in Briony's accusation of Robbie. *Northanger Abbey* is a landmark work not only because it skillfully parodies the Gothic novel but because it does so without rejecting the value of fiction. Henry Tilney makes it clear that, for all his "cool reasonings," he is a voracious reader of Gothic novels (Austen [1817] 2003a, 181). Austen is not renouncing the Gothic any more than McEwan is renouncing postmodernism. Rather, both writers share a willingness to evaluate critically the texts they are producing, a self-reflexive strategy that asks repeatedly the question posed by Briony at the end of *Atonement*: "What are novelists for?" (McEwan [2001] 2003, 349).

2. The Empirical Test of Literature's Virtue

There is no shortage of recent answers to Briony's question. Harold Bloom's *How to Read and Why* (2001), for instance, gives an array of overlapping reasons for the ongoing importance of literature. One reads, he says, for "pleasure," for "healing" from "all the sorrows of familial and passional life," because reading "alleviates loneliness," teaches method and discipline, and lastly, because it is a pleasure in itself (19-20). "Information is endlessly available to us," laments Bloom, "where shall wisdom be found?" (19). The answer for him lies in the literary classics, an argument that also appears in *The*

Western Canon (1994) and *The Anatomy of Influence: Literature as a Way of Life* (2011). In *Why Literature Matters in the 21st Century* (2004), Dean Mark William Roche argues that literature "opens up for us the value of diversity, the richness of different stories, even as we recognize through these works certain common aesthetic principles" (24). Frank B. Farrell, in *Why Does Literature Matter?* (2004), supplements his claim that literature "allow[s] for experiences important to the living out of a sophisticated and satisfying human life" by arguing that the literary canon has a proven track record, so that "a relatively small number of texts carry out these functions in so exceptional a manner that we owe it to past and future members of the species to keep such texts alive in our cultural traditions" (24). Martha C. Nussbaum, in *Not for Profit: Why Democracy Needs the Humanities* (2010), contends that literature and the humanities are crucial for the cultivation of the civic virtue necessary for a successful democracy to flourish.

If these responses seem familiar, it is because they are all essentially variations of Leavis's influential argument that tradition and virtue are the twin pillars of literary studies, the core on which individual moral character and a successful society are built. Yet the importance of literature is repeatedly questioned in *Atonement*, most notably when Robbie undertakes his own refutation of Leavis:

> Despite his first, the study of English literature seemed in retrospect an absorbing parlor game, and reading books and having opinions about them, the desirable adjunct to a civilized existence. But it was not the core, whatever Dr. Leavis said in his lectures. It was not the necessary priesthood, nor the most vital pursuit of an inquiring mind, nor the first and last defense against a barbarian horde, any more than the study of painting or music, history or science. At various talks in his final year Robbie had heard a psychoanalyst, a Communist trade union official and a physicist each declare for his own field as passionately, as convincingly, as Leavis had for his own. (McEwan [2001] 2003, 86)

The advocates of literature, from Leavis to Bloom to Nussbaum, all champion its value from the assumption that reading instills a sense of ethics and tradition while improving one's critical abilities, an orthodoxy that McEwan boldly dares to question in this passage.

The humanities have been belittled in recent times by the accusation that the kind of knowledge they produce is speculative, arbitrary, lacking in rigor. Literature does, nonetheless, possess its own highly-developed logic of empirical measurement, one that is meant to complement, rather than supplant or rival, the scientific method. The scientific method aims to exclude the inherent bias of the person conducting the experiment in order to reveal the objective truth about reality. In the realm of human interaction, however, actions are weighed instead by the perceived authenticity of their agent. When rereading *Atonement* with the crucial knowledge of Briony's authorship, for example, a surprise twist that is only revealed in the novel's epilogue, the reader becomes aware of the sheer extent of her narrative manipulation. Suspicions are aroused

by her decision to withhold vital information, to wait until part two to relate how Robbie saved her from drowning three years earlier, for instance, an incident that reveals her childhood crush on him. Such a revelation, were it to appear in part one, would have dramatically altered the reader's view of her actions, since her spurned passion would have brought her motives for accusing Robbie immediately into question. What the reader wants to know, primarily, is whether or not Briony has been *duplicitous*, an evaluation that is qualitatively different from assessing the *factual* veracity of her tale—it is possible, after all, to reveal all the facts about a matter in a surgical, scientific manner while still being cunning, manipulative, deceitful.

This human capacity for duplicity is what separates scientific thought from the kind of knowledge dealt with by the humanities. The facts observed by science may sometimes work in strange and unexpected ways (quantum particles) or create illusions that trick the human senses (moving images), but there is no active duplicity at work in these phenomena. The capacity for duplicity therefore requires a different set of tools for assessing the authenticity of human behavior. Rather than seeking to eliminate all falsehood in favor of discovering the naked truth, as scientists do, literary authors explore instead how illusions, which have no value as facts, nonetheless possess value in human social interactions, depending on the context in which they appear. In *Atonement*, for instance, the value of illusion is illustrated by Briony's behavior toward Luc Cornet, a dying French soldier who, in his delirium, mistakes her for an English girl he once met. Witnessing the soothing effect this delusion has on the soldier's last minutes on earth, Briony plays along with his fantasy, eschewing the truth in order to bring him a final sense of comfort. Scenes like this deviate from reality in order to reveal a different *kind* of truth, which is that human beings operate in a complex system of values that is not limited by the factual rules of the scientific method. It is naive to assume that human beings naturally seek after factual truth in most cases, and an empirical approach to human behavior anyway soon reveals otherwise. "How quick come the reasons for approving what we like!" quips Austen in *Persuasion* (Austen [1817] 2003b, 16). It is important, therefore, to draw a critical distinction between truth and value: in the human mind, it is an everyday phenomenon for illusions to carry a weight that is greater than the objective truth. What distinguishes value from fact is the social dimension of power that marks all human interactions. Robbie uses his literary training to gain psychological control over his circumstances during the war, for example, just as Briony uses her skills as a storyteller to reshape her own history. The exploration of this discursive power is the domain of the novelist, not the scientist.

McEwan's empirical approach, which provides him with insight into the subtle duplicities of humanity, in turn makes him a rational skeptic of the idea that literature is inevitably connected to moral improvement. Studiously avoiding any self-serving assumptions about the impact of literature on virtue, *Atonement* expresses numerous doubts about its ability to change the ethical character of the world. In his rejection letter, for instance, Cyril Connolly assures Briony that she need not apologize "*for not*

writing about the war" (McEwan [2001] 2003, 296). "*Since artists are politically impotent,*" he tells her, "*they must use this time to develop at deeper emotional levels*" (297; emphasis in the original). As a soldier, Robbie reiterates his earlier stated preference for practical knowledge over poetry: "No one at Cambridge taught the benefits of good marching order. They revered the free, unruly spirits. The poets. But what did the poets know about survival?" (249). The reservations that McEwan expresses throughout the novel are not a literary game—they are genuine questions about whether literature can truly have a positive impact on life when so much historical evidence points to the contrary.

These doubts are a reflection of the chief concerns of this period of McEwan's work. *Atonement* is the third in what I consider to be a loose trilogy of novels meditating on the close of the twentieth century. The first of these is *Black Dogs* (1992), a novel that explores the horror and disillusionment resulting from the utopian ideas of the twentieth century, which is epitomized by the loss of faith in communism by the book's central characters, Bernard and June Tremaine. Their failed marriage is chronicled by their son-in-law Jeremy, who meets his own wife, Jenny, while on a trip to Poland, where their love blossoms in the shadow of the Majdanek concentration camp, a horrifying reminder of the depths of human cruelty. As Jeremy digs through the past, both public and private, he discovers that no one is willing to take responsibility for the atrocities he uncovers. Bernard condemns June for being interested only in "poetic truth, or spiritual truth, or her own private truth, but she didn't give a damn for *truth*, for the facts, for the kind of truth that two people could recognise independently of each other" (McEwan [1992] 1999a, 86; emphasis in the original). The scientific training that shapes Bernard's point of view fares little better at gaining a clear view of reality, for by his own admission it is "easy [...] to bend a result to fit a theory. It isn't even a matter of dishonesty. It's in our nature—our desires permeate our perceptions" (89). *Black Dogs* thus seeks to evaluate the ideas of the twentieth century, not from their idealistic intentions, but according to their empirical consequences. The terrible outcome, for McEwan, is embodied in the desolation of the concentration camps and the "shameless indignity" of the perversely realized "utopia" that separated one side of the Berlin Wall from the other (92).

The second novel in this trilogy, *Amsterdam* (1998), is a still darker examination of humanity's capacity for transforming even the most optimistic philosophies into a twisted caricature of their original intentions. McEwan shows this distortion at work in the friendship between Clive Linley, a composer, and Vernon Halliday, a newspaper editor, who bond after the funeral of a mutual friend, Molly Lane. The indignity of Molly's sudden illness leads the two friends to agree that, should similar circumstances arise, they would arrange a merciful, medically-administered death for each other in Amsterdam, where such procedures are legal. When the two friends fall out over Vernon's decision to publish some compromising photos of a cabinet minister, their former rapport spirals into a vicious desire for revenge. McEwan refutes any intrinsic connection between art and virtue, using the thoughts of Clive, in this passage, to take a particular swipe at novelists:

> It would have been possible to back out of his engagements by assuming the license of the free artistic spirit, but he loathed such arrogance. He had a number of friends who played the genius card when it suited, failing to show up for this or that in the belief that whatever local upset it caused, it could only increase respect for the compelling nature of their high calling. These types—novelists were by far the worst—managed to convince friends and families that not only their working hours but every nap and stroll, every fit of silence, depression, or drunkenness, bore the exculpatory ticket of high intent. A mask for mediocrity, was Clive's view. (McEwan [1998] 1999c, 66)

In *Amsterdam*, the utopian political visions of *Black Dogs* are replaced by the equally utopian artistic aspirations of romanticism. As the plot plunges toward its murderous *dénouement*, the romantic message of salvation through art in Clive's new symphony turns from harmony into "dissonance" (171), so that what "should have been the symphony's moment of triumphant assertion, the gathering up of all that was joyously human before the destruction to come" comes across "as a simple fortissimo repetition, it was literal-minded bombast, it was bathos; less than that, it was a void" (173). With this musical metaphor, *Amsterdam* looks back on the twentieth century, on romanticism, indeed, on the entire history of the past millennium, as resembling a symphony of human perversity that reproduces over and over again the same depressing tune. What begins as a grand, optimistic vision repeatedly descends into a cruel parody of its ideal, just as Clive's final work, conceived in a spirit of revenge, turns out to be nothing more than a "shameless copy of Beethoven's Ode to Joy" (191).

This loose trilogy of novels stands as a pertinent critique of the view that virtue and literature are inextricably linked. The empirical evidence, McEwan points out in these works, suggests otherwise, for as the size of the reading public has grown, so too the scale of humanity's atrocities has increased. McEwan is not saying that literature *cannot* have an effect on virtue—what he is disputing is its inevitability, its universal application. In McEwan's novels, therefore, literature affects his characters in different ways, but the depth of this impact is variable and uncertain. In *Enduring Love* (1997), for instance, Joe Rose, a journalist who writes about science, scoffs at the humanities, dismissing them as the work of "scientific illiterates" (McEwan [1997] 1999b, 46). Joe's feelings arise from the fact that he "is jealous, one might say, of literature itself," an emotional hurdle inseparable from the process of reconciling with his wife Clarissa, a Keats scholar (Greenberg 2007, 99). In *Atonement*, Robbie believes that his training in literature will help him in his future medical practice:

> For this was the point, surely: he would be a better doctor for having read literature. What deep readings his modified sensibility might make of human suffering, of the self-destructive folly or sheer bad luck that drive men toward ill health! Birth, death, and frailty in between. Rise and fall—this was the doctor's business, and it was literature's too. [...] [H]is kind of doctor would be alive to the monstrous patterns of fate, and to the vain and comic denial of

> the inevitable; he would press the enfeebled pulse, hear the expiring breath, feel the fevered hand begin to cool and reflect, in the manner that only literature and religion teach, on the puniness and nobility of mankind… (McEwan [2001] 2003, 87)

McEwan's more recent works feature characters that remain staunchly deaf to literature's value. In *Saturday* (2005), the capacity of Baxter, an uneducated thug, to be moved by poetry is meaningfully juxtaposed with Henry Perowne's own indifference to literature, an outlook he maintains despite his upper-class lifestyle, his training in neurobiology, and the interventions of his daughter Daisy, an aspiring poet. Michael Beard, the vulgar protagonist of *Solar* (2010), reads Milton's poetry for the cynical purpose of seducing an English student, later to become his first wife, and in the process develops a lifelong contempt for the humanities, which he sees as superficial and vastly inferior to his own studies in physics. In *Sweet Tooth* (2012), literary authors are recruited as propaganda agents, employed by secret government agencies under the rubric of combating communism. McEwan thus meticulously dismantles the hypothesis that literature plays an indispensable role in the formation of either public or individual virtue. It may have an impact in some cases, but the historical evidence suggests that literature is not a reliable tool for improving the ethical behavior of humanity as a whole.

3. The House of Fiction

These ethical failures require us to return, once again, to the question of what novelists are for—if not for moral improvement, then what? Furthermore, within the field of literature, is there not something peculiar to the novel genre that distinguishes it from other forms? Poetry, after all, plays an important role in *Atonement*—Cecilia sends Robbie a clipping of W.H. Auden's "In Memory of W.B. Yeats" (1939), for instance, and Robbie owns an extensive collection of poetry, from the "eighteenth-century poetry that had almost persuaded him he should be a landscape gardener" to his copies of "Wilfred Owen, [...] the priceless 1783 edition of Crabbe's *The Village*, his Housman, the autographed copy of Auden's *The Dance of Death*" (McEwan [2001] 2003, 87). Robbie's rejection of poetry as impractical for today's world begins with his decision to become a doctor and continues, in part two, with his meditation on how the mindset of a poet might inhibit him as a soldier. Finally, there is Cyril Connolly's observation to Briony that the "*crystalline present moment is* [...] *a worthy subject in itself, especially for poetry*" but that "*an underlying pull of simple narrative* [...] *is required*" to engage the modern reader fully (294-295; emphasis in the original). *Atonement* also contains important references to drama. At Cambridge, Robbie played Malvolio in Shakespeare's *Twelfth Night* (1602), and there are further references to that play, as well as *Troilus and Cressida* (1602), in the list of doomed lovers to which Robbie and Cecilia compare their plight. The novel's most obvious connection to drama is Briony's play

The Trials of Arabella, although its initial failure and her incipient adulthood lead her to reject drama as a vehicle inadequate to convey the complex states of mind she wishes to explore. "And how close she had come to wasting that life as a playwright!" she exclaims with childish pique (McEwan [2001] 2003, 71). The evocation of poetry and drama in these examples, and their subsequent incorporation into Briony's novel, requires that we consider the specificity of her query—what, specifically, are *novelists* for?

An established discourse exploring this question already exists, of course. In *The Dialogic Imagination* (1981), for instance, Mikhail Bakhtin traces the evolution of the novel, a form he defines by its innovative use of polyphony, emerging from such earlier, monological forms of literature as the epic. Georg Lukács's seminal *Theory of the Novel* (1916) also draws a connection between the novel and the epic, arguing that the former is "the epic of an age in which the extensive totality of life is no longer directly given, in which the immanence of meaning in life has become a problem, yet which still thinks in terms of totality" ([1916] 1974, 56). In Briony's closing ruminations that "atonement for God, or novelists, even if they are atheists" is impossible (McEwan [2001] 2003, 351), we can hear the distant echo of Lukács's assertion that the "novel is the epic of a world that has been abandoned by God" ([1916] 1974, 88). In *The English Novel* (2005), Terry Eagleton argues that there has been a historical shift away from poetry toward the novel because, in an echo of Robbie's sentiments, the concerns of poetry now focus on private experience, with the novel having come to occupy the public space where poetry once reigned.

> As poetry gradually ceases to be a public genre somewhere between Shelley and Swinburne, its moral and social functions pass to the novel, in a new division of literary labour. By the mid-nineteenth century the word "poetry" has become more or less synonymous with the interior, the person, the spiritual or psychological [...] The poetic has now been redefined as the opposite of the social, discursive, doctrinal and conceptual, all of which has been relegated to prose fiction. The novel takes care of the outer world, while poetry copes with the inner one. (12)

The common thread that connects these various theories is that the novel constitutes a genre that, because it comes into existence at the same time as a certain permutation of modernity, is particularly well-suited to exploring the conditions of that era.

This idea finds its affirmation in Briony's youthful desire to create a new kind of novel, one that goes beyond plot and character, those "quaint devices that belonged to the nineteenth century" (McEwan [2001] 2003, 265). "A modern novelist could no more write characters and plots than a modern composer could a Mozart symphony," muses Briony, "a great transformation was being worked in human nature itself, and [...] only fiction, a new kind of fiction, could capture the essence of the change" (265). This attempt is undermined by the inherent contradictions of her ambition, for this supposedly new approach to fiction comes from her having "read Virginia Woolf's *The*

Waves three times" (265). Briony's imitation of Woolf's style is ultimately derivative, so that for all its promising qualities, the editors of *Horizon* note that her manuscript "*owed a little too much to the techniques of Mrs. Woolf*" (294; emphasis in the original). This example nonetheless allows McEwan to pinpoint an important contradiction shared by both the novel and modernity: in their capacity for reinvention, each of these discourses is often blind to the forces that motivate them, so that what is conceived as being new is often a reconditioned version of an earlier, misrecognized impulse.

This inconsistent attitude toward the past, in which history is simultaneously referenced and disavowed, is particularly evident in the first part of the novel. The Tallis house is used as the main metaphor of this contradiction: the original building was an Adam-style house, a neoclassical mode of architecture that was in fashion during the eighteenth century. McEwan creates an implicit parallel between this house and the English novel—the basic "architecture" of which, the features that will inform all later permutations, is laid down during this same time. The conflagration of the Adam-style house in 1880 coincides with the publication of Henry James's *The Portrait of a Lady* (1880), which James, in his preface to the New York Edition, would later famously compare to a "house of fiction" that possesses "not one window, but a million [...] every one of which has been pierced, or is still pierceable, [...] by the need of the individual vision and by the pressure of the individual will" ([1880] 2003, 45). James's ideas in turn sowed the seeds of Woolf's later experiments in perspectivism, a pattern of revolutionary succession that marks the entire history of the novel's evolution.

Just as Charles Baudelaire, in "The Painter of Modern Life" (1863), defines modernity as "the ephemeral, the fugitive, the contingent, the half of art whose other half is the eternal and immutable," so too the novel captures this restless spirit of change in its protean capacity to fit the whims and fashions of the time ([1863] 1995, 12). That is why revolutionizing the novel can never be the same thing as destroying it—on the contrary, revolution is the energy on which the genre feeds. McEwan symbolizes the ongoing survival of the novel's literary architecture in *Atonement* using the island temple, which eludes the fire that destroyed the original house.

> The island temple, built in the style of Nicholas Revett in the late 1780s, was intended as a point of interest, an eye-catching feature to enhance the pastoral ideal, and had of course no religious purpose at all [...] [T]he temple was supposed to embody references to the original Adam house, though nobody in the Tallis family knew what they were. [...] The idea that the temple [...] grieved for the burned-down mansion, that it yearned for a grand and invisible presence, bestowed a faintly religious ambience. Tragedy had rescued the temple from being entirely a fake. (McEwan [2001] 2003, 68-9)

The temple thus remains as a trace of the house's original design, though neglected and forgotten, an "orphan [...] with no one to care for it" (69). Yet this neglect gives it a new authenticity, one which is enhanced by its setting as the location of the novel's

primal scene. In the temple's ongoing existence McEwan thus establishes a connection to the eighteenth-century rise of the English novel—even the putative rape of Lola bears an uncanny parallel to the violation of Richardson's Clarissa Harlowe. In this way, McEwan turns the tradition of the novel into a masterfully realized return of the repressed. The principles that animated Defoe, Richardson and Fielding have never truly disappeared. They have lain dormant, forgotten, repressed, but they were always latent in the postmodern novel, waiting for the right moment to be reanimated so as to demonstrate the full extent of their power. It is in this respect, rather than Leavis's moral purpose, that *Atonement* is the inheritor of the Great Tradition.

McEwan's engagement with the tradition of the English novel is a logical consequence of his investigation into what novelists are for, a question that necessarily returns to the origins of the genre. As such, looking beyond the novel's immediate historical context by understanding the evolution of the novel provides a richer understanding of what McEwan is doing in *Atonement*. Ian Watt's *The Rise of the Novel* (1957), for instance, outlines the emergence of a new philosophical mindset in the seventeenth century that thought in terms of concrete, individual experience rather than abstract universals. These philosophical influences brought about a crucial series of literary innovations: the creation of realistic plots grounded in contemporary settings, the exploration of the psychology of individualized characters, and the invention of an impression of truth through such devices as found letters and journals. Watt thus lays out the historical foundations of the genre's empirical tradition that resonates in *Atonement* through the prism of Austen.

Michael McKeon's *The Origins of the English Novel, 1600-1740* (1987) focuses on the political history of the genre, extending Watt's observation that the novel was built on the "great power and self-confidence of the middle class," McKeon examines how two opposing notions of virtue inform the novel's formative years ([1987] 2002, 59). "The social significance of the English novel at the time of its origins lies in its ability to mediate [...] the revolutionary clash between status and class orientations and the attendant crisis of status inconsistency," writes McKeon, outlining a critical division between "progressive" and "conservative" ideology, the two sides of a political debate over whether virtue springs from personal merit or aristocratic birth (173-174). While this specific dispute has disappeared from today's society, its importance continues to resonate, argues Nancy Armstrong in *How Novels Think* (2005), because it helped create the modern notion of the individual. "[T]he history of the novel and the history of the modern subject are, quite literally, one and the same," writes Armstrong, "[t]he British novel provides the test case" (3). The rise of the novel, and its attendant notion of the individual, reflect, for Armstrong, an ongoing social revolution, the history of which must be delineated if we are to understand not only the novel but also ourselves.

The genealogies that Watt, McKeon and Armstrong provide of the English novel are crucial for interpreting *Atonement*, since McEwan portrays the Tallis family as inhabiting an environment saturated by historical objects they do not fully understand.

This pastiche of tradition extends beyond the orphaned island temple, the purpose of which "nobody in the Tallis family knew" (McEwan [2001] 2003, 69), to Emily Tallis's survey of the family's dining room: "The walls, the paneling, the pervasive heaviness of nearly new fixtures, the colossal firedogs, the walk-in fireplaces of bright new stone referred back through the centuries to a time of lonely castles in mute forests. Her father-in-law's intention, she supposed, was to create an ambience of solidity and family tradition" (136). A further touch is the portrait that hangs in that room, a picture of an unknown aristocratic family: "The portrait, in the style of Gainsborough, showed an aristocratic family [...] posed before a vaguely Tuscan landscape. No one knew who these people were, but it was likely that Harry Tallis thought they would lend an impression of solidity to his household" (118). Cecilia's genealogical investigations reveal that her "family tree was wintry and bare, as well as rootless," the family name having been changed from Cartwright to Tallis during her grandfather's lifetime (102). The Tallises are thus commoners who, were they living in a different age, would be seen as merely pretending to be gentry. So successful is their transformation, however, that the current generation of Tallises feels no need to suppress or deny their lowly past. The "smoothing hand of time" has allowed their family to recreate itself according to a new image of gentility (152). The rise of this new mindset, as Armstrong contends, parallels the rise of the novel, not only as overlapping phenomena peculiar to modernity but also in this shared capacity for innovative reinvention.

The primary impulse of the novelist is thus to innovate, to overcome the feeling of exhaustion that John Barth (1997) famously identifies in the twentieth-century English novel. The plot of a novel, writes Peter Brooks, "animates the sense-making process," a practice that reflects, in turn, the burgeoning ability of modern humans to shape the meaning of their lives (1984, 37). The characters in *Atonement* repeatedly employ the conventions of narrative as a means for seizing hold of the shapelessness of life and endowing it with a sense of structure and meaning. "Modern man," writes Michel Foucault, "is not the man who goes off to discover himself, his secrets and his hidden truth; he is the man who tries to invent himself. This modernity does not 'liberate man in his own being'; it compels him to face the task of producing himself" ([1984] 1991, 42). Far from being a rejection of the past, Foucault's words are framed by an implicit engagement with it—not, as in Heidegger or Lukács, so as to recover a state that has been lost, but to understand the fractured, amnesiac manner in which modernity continually reinvents itself. The "ideological core" (Armstrong 2005, 10) of what novelists do, Armstrong contends, has never really changed since the novel's inception, for despite its endless permutations the genre always comes back to "the presupposition that novels think like individuals about the difficulties of fulfilling oneself under specific cultural conditions" (10). Endless renovations to the "house of fiction" have caused its origins, like the Tallis house, to become lost and obscured. Austen was a great novelist, claims Leavis, because "her relation to tradition is a creative one" in which her work "like the work of all great creative writers, gives a meaning to

the past" ([1948] 2000, 13-14). In the same spirit as Austen, McEwan uses his fiction to remind readers that the task of the novelist is to create something new while at the same time acknowledging the past. *Atonement* successfully reconciles these opposing principles of modernity, functioning simultaneously as a forward-looking experiment in fiction and a critical reminder of the founding ideas that gave rise to the English novelistic tradition.

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Race Relations in Black and White: Visual Impairment as a Racialized and Gendered Metaphor in Ralph Ellison's *Invisible Man* and Herman Melville's "Benito Cereno"

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While scholarship has increasingly acknowledged Ralph Ellison's indebtedness to Herman Melville, whose novella "Benito Cereno" (1855) was used as an epigraph to *Invisible Man* (1952), fewer scholars have discussed their common literary foci on blindness as a racial and gendered visual metaphor. Borrowing from the latest scholarship on whiteness and/as racial dominance, this article revisits "Benito Cereno" to show how Captain Delano's lack of belief in the possibility of a slave insurrection throughout the novella is itself an effect of racism, stemming mostly from the taken-for-granted-ness of white superiority, which Melville shows as distorting the whites' perceptions of blacks. In so doing, I will also explore Ellison's reworking of Melville's racial imagery in *Invisible Man*, which seems to extend the blindness metaphor to both black and white characters, re-presenting cross-racial blindness as reciprocal rather than unidirectional. As part of this argument, the article posits the inseparability of gender and race, suggesting that Ellison's depiction of white racism may be traced back to the (antebellum) definition of American manhood as free and nonenslaved, which Melville's novella both illustrates and undermines. I thus conclude that Ellison's and Melville's works skilfully anatomize, and critique, the discourses on whiteness and/as masculinity of their respective historical moments, highlighting their interdependence, but also their internal contradictions, which the black characters end up using to their own advantage.

Keywords: Herman Melville; Ralph Ellison; "Benito Cereno"; *Invisible Man*; literary influence; black-white relations

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Relaciones raciales en blanco y negro: la ceguera como metáfora racial y de género en *El hombre invisible*, de Ralph Ellison, y "Benito Cereno," de Herman Melville

Si bien la crítica ha reconocido progresivamente la deuda de Ralph Ellison para con Herman Melville, cuya novela corta "Benito Cereno" (1855) fue usada como epígrafe a *El hombre invisible* (1952), menos estudiosos han analizado su interés común en la *ceguera* como metáfora visual marcada por la raza y el género. Usando la crítica más reciente sobre la raza blanca y/como dominación racial, este artículo revisa pues "Benito Cereno" para demostrar cómo la incredulidad del Capitán Delano ante la posibilidad de una insurrección de esclavos a lo largo de la novela es de hecho un efecto del racismo, derivado de su asunción de superioridad racial, que distorsiona las percepciones que los blancos tienen de los negros. En este sentido, se explora igualmente la reformulación de las imágenes raciales de Melville en *El hombre invisible*, que parece ampliar la metáfora de la ceguera a personajes blancos y negros indistintamente, re-presentando la ceguera interracial como recíproca antes que unidireccional. Como parte de este argumento, el artículo defiende la inseparabilidad de la raza y el género, mostrando cómo la representación del racismo blanco por parte de Ellison se remonta a la definición de la masculinidad estadounidense (anterior a la Guerra Civil) como libre y no esclavizada, que la novela de Melville ilustra a la vez que critica. Se concluye pues que tanto Melville como Ellison diseccionan hábilmente, y critican, los discursos alrededor de la raza blanca y/como masculinidad de sus momentos históricos respectivos, subrayando su interrelación pero también sus contradicciones internas, que los personajes negros acaban usando en beneficio propio.

Palabras clave: Herman Melville; Ralph Ellison; "Benito Cereno"; *El hombre invisible*; influencia literaria; relaciones blancos-negros

1. Introduction

"'You are saved,' cried Captain Delano, more and more astonished and pained; 'you are saved: what has cast such a shadow upon you?'" It is no coincidence that such an intriguing question, posed by the American Captain Amasa Delano to his Spanish counterpart Benito Cereno at the end of Herman Melville's 1855 novella (1981, 208), is used by Ralph Ellison as an epigraph to his 1952 magnum opus *Invisible Man* (1995b, n.p.). For, even though Don Benito's answer—namely, "the Negro"—is omitted from Ellison's epigraph, it is obvious that "the shadow" of blackness (Melville [1855] 1981, 208) lingers in *Invisible Man*, which continued to denounce white racism in mid-twentieth-century American culture. Yet while Ellison's classic has been seen as reflecting numerous and varied literary influences, and even as scholars like Jeffrey B. Leak (2005) have set out to explore the continued influence of Ellison's depiction of blackness on contemporary or postmodern fiction, little attention has been paid, surprisingly enough, to its indebtedness to Herman Melville's nineteenth-century slave fiction.[1] Admittedly, some critics have explored the interrelationship between the two texts. For example, Valerie Gray's classic study on the relations between Melville and Ellison (1978) explicitly connected *Invisible Man*'s "literary heritage" to Melville's nineteenth-century apology for American democracy, just as Stuart E. Omans (1975, 15) traced back to Melville's *Confidence Man* (1857) Ellison's own portraiture of Rinehart, one of the main characters in *Invisible Man*. Similarly, Mark Busby's study on Ralph Ellison (1991), particularly its fourth chapter entitled "The Actor's Shadows," has identified Melville as one of Ellison's main literary antecedents. Yet, while there is an acknowledgement of Ellison's indebtedness to Melville, especially in terms of their shared struggles for democracy, much less has been said, surprisingly enough, about their strikingly similar racial imageries and, particularly, their shared interest in slavery and American racism. One exception was Alan Nadel's classic study *Invisible Criticism* (1988), which masterfully showed how Ellison's *Invisible Man* spills over with literary allusions to several nineteenth-century American texts, including Melville's "Benito Cereno," which he used "consistently and effectively to engage the issue of canonicity" (xii). Not only does Nadel illustrate how Melville reverberates in Ellison's text but also how "Benito Cereno" is itself reinterpreted by Ellison through the use of allusions. In other words, allusions, he argues, both alter our understanding of Ellison's text and of Melville's original novella.[2] Challenging traditional critical approaches to Melville,

[1] "I am not so much interested in how Ellison rewrites or revises Wright, Baldwin, and other writers, for that has been done already," Leak contends. "Rather, I will concentrate on the contemporary or postmodern 'response' to Ellison's 'call,' or construction, of black masculinity" (2005, 31). While it is true that much has been said on the influence on Ellison of writers like Frederick Douglass or W.E.B. Du Bois, and while much work still needs to be done on his own influence on postmodern fiction, the influence of "Benito Cereno" on Ellison remains, by comparison, largely unexplored.

[2] To make his case, Nadel establishes an explicit comparison between "Benito Cereno" and chapter three of *Invisible Man*, the "Golden Day," both of which he identifies as dealing with an "uprising of enslaved blacks, in which they overthrow their oppressors and take part in a few moments of ultimately futile chaos" (1988, 105).

which he sees as having been "clouded for many years" by the assumption that he was "not very aware of or concerned" about slavery (1988, 110), Nadel thus concludes that "Benito Cereno" was centrally engaged with "the moral burden that the problem of slavery placed on the ideals of American democracy" (1988, 111). Following in Nadel's steps, other scholars, like Rita Keresztesi, have more recently continued to relate Ellison's novel to Melville's antislavery work, arguing that Ellison's use of the epigraph from Melville's novella "specifically addresses the issue of white guilt and the national and historical legacy of slavery" (2005, 162). These studies notwithstanding, race does indeed seem to remain the pending subject of most intertextual comparisons between Melville and Ellison. Surprisingly enough, even less attention has been paid to the two writers' common literary foci on blindness, rather than simply invisibility as a racial visual metaphor, let alone from a specific whiteness studies perspective. Borrowing from the innovative scholarship on whiteness and/as racial dominance—see Aanerud (1997), Frankenberg (1997), Fredrickson (1997), hooks (1997), Mahoney (1997), McIntosh ([1988] 1997), Wildman and Davis (1997) and Young (2015), among others—then, I will revisit Melville's classic to argue that Captain Delano's inability to perceive the slave revolt on the *St. Dominick* is a direct result of his assumption of white hegemony as natural, transparent and inalienable. Following in Toni Morrison's steps in her seminal *Playing in the Dark* (1992), this study takes up her claim that (African) American literary studies should explore both "the racial object" and "the racial subject" of white supremacy discourses. Even though most of the existing critical work on Melville's story has focused on the effects of racism on the black slaves, I will argue that Delano's blindness to the possibility of a slave insurrection is itself an effect of racism, stemming mostly from the taken-for-granted-ness of white superiority. In so doing, I will also explore Ralph Ellison's reworking of Melville's visual metaphor in *Invisible Man*, showing how even as most scholarship has focused, predictably enough, on the subject of invisibility in the novel, this is indissolubly linked to short-sightedness, too, which Ellison seems to extend to both black and white characters, re-defining it as cross-racial rather than unidirectional. Ultimately, then, this article illustrates the distorting effects of racism on both masters and slaves, revisiting both the benighted character of Delano and Invisible Man as victims of their own (racial) delusions. As Morrison herself has argued of Melville's insights into whiteness, "to question the very [...] idea of white superiority, of whiteness as privileged placed in the evolutionary ladder of mankind, and to meditate on the fraudulent, self-destroying philosophy of that superiority—that was dangerous, solitary, radical work. Especially then. Especially now" (1989, 18).

As a parallel argument, this article will posit the inseparability of the categories of gender and race, particularly masculinity and whiteness, suggesting that Ellison's depiction of white racism may be traced back to the (antebellum) definition of American manhood as free and nonenslaved, which Melville's novella specifically both illustrates and undermines. Drawing on the available work on the correlation between whiteness and manhood —Bederman (1996), Frankenberg (1997), McIntosh ([1988] 1997), Sale

(1997), Segal (1997), Van Tassel (1997) and Dyer (2004), among others—this part will thus focus on illustrating the feminization of blacks in both Melville's and Ellison's texts, where they are recurrently objectified by their white counterparts as dependent, infantile, docile, simplistic, emotional and sensuous. Following the dominant ideology of his times, Delano does indeed seem to keep in place the distinction between, on the one hand, independent entities—particularly white men—and, on the other, dependent entities—including children, servants, women and slaves. Despite their seeming dependency and feminization, however, the black slaves on the *St. Dominick*, commanded by Babo, are, in fact, determined to reclaim their freedom (i.e., their manhood), which Delano finally has to recognize, even if only as a threat. In this sense, I will also focus on Ellison's portraiture of Dr. Bledsoe in *Invisible Man* as Babo's most immediate literary successor, proving Bledsoe's equally subversive resistance to feminization by whites. Ultimately, then, I argue that Ellison's and Melville's works skilfully anatomize, and critique, both the white supremacist and the patriarchal discourses of their respective historical moments, highlighting their interdependence and, above all, their inevitable fissures and contradictions, which black characters end up using, as we shall see, to their own advantage.

2. Unmasking White Privilege in "Benito Cereno" and *Invisible Man*

As is widely known, much of Melville's "Benito Cereno" revolves around the strange events following the slave mutiny on the *St. Dominick*, a Spanish vessel apparently controlled by the Spanish Captain Don Benito, who, as the action begins, is, in fact, already mastered by the black slaves aboard. However, although the slaves maintain control of the ship, one of them, Babo, directs a masquerade which results in the American Captain Amasa Delano remaining blind to the truth about who is actually in charge throughout much of the story. Delano's blindness is apparent, both literally and symbolically, from the very start of the story, generating a sense of uncertainty and distrust.[3] Soon after landing for water on the desert island of St. Maria, off the coast of Chile, Delano finds himself drenched in "gray vapors" and "creeping clouds" (Melville [1855] 1981, 131). Tellingly enough, such vapors, which he describes as anticipating "deeper shadows" (131) to come, seem to have the effect of weakening his perception, which he himself qualifies, for example, as "equivocal," "uncertain," "unreal," "shadowy," "colorless" and "gray" (131-135). Clearly, Delano's great difficulty

[3] Such feelings of discomfort are increased throughout the narrative not only by the unreliability of Delano's voice but also by the story's own narrative structure, especially Benito Cereno's final deposition. After all, the deposition, though laying a claim to objectivity as a legal document, cannot be taken at face value since many of its details, as Melville himself writes, are only "irregularly given" (Melville [1855] 1981, 206). In this respect, Sale argues that the very structure of Melville's story generates an uncertain sense of reality by purposefully suspending sure knowledge of the *St. Dominick*'s history. In so doing, the story makes its readers anxious, "not only about the outcome of the story, but about the reliability of the characters, and ultimately, about their/our own perceptions" (1997, 154).

in "seeing," symbolized by the mists, represents his inability to perceive, especially his blindness to the revolt on the slave-trader, which seems to remain hidden due to "a deception of the vapors" (132). It is only when Delano is about to leave the *St. Dominick* to return to his ship that Don Benito's desperate attempt to join him and Babo's attempt to murder Cereno make the Africans' rebellion apparent. Only then will he and his crew set out to pursue, board, and eventually recapture the *St. Dominick*. For much of this long first section Delano remains oblivious to Babo's plot while the text spills with suggestions of rebellion, ranging from Cereno's saturnine mood to Babo's and the other slaves' strange behavior. The question, then, becomes *why* it takes so long for Delano to see what is going on when the Africans' behavior appears so obviously suspicious from the start? Why does he fail to interpret the obvious signals given out by both Cereno and the slaves? Or, to put it differently, why does he read these signals in the *wrong* way?

Traditionally, white dominance has been legitimized by making it ostensibly normal and neutral. As Ruth Frankenberg has argued, whiteness tries to pass itself off as "natural," universal and transparent in contrast with the marking of "Others," especially blacks, on which its transparency relies (1997, 3). Like other superordinate categories such as masculinity or heterosexuality, whites are taught not to recognize white privilege, as it is simply taken for granted.[4] The normalization of privilege did actually work to transform (racial) privileges into societal norms. As a result of the race power system of white supremacy, white privilege, unless threatened, often remains invisible to its holders. The fact that whites do not need to look at the world from a racially specific perspective may itself be seen as a privilege, a societal advantage. They are, in other words, conferred the privilege of ignoring their own race and racism. As Stephanie Wildman and Adrienne Davis skilfully note, "it [white privilege] is merely there, a part of the world, a way of life, simply the way things are" (1997, 316).

Such ideas may prove extremely helpful, I believe, in understanding Captain Delano's racial views, which also seem to rest on the common-sense assumption of white supremacy and black inferiority—and, therefore, on the implausibility of organized black action, let alone insurrection. In this vein, as soon as the American captain boards the *St. Dominick*, he criticizes the Africans' physical appearance, particularly their "unsophisticated" aspect (Melville [1855] 1981, 136) and "small stature" (137), before going on to celebrate their qualities as docile and servile creatures. In particular,

[4] Hence Peggy McIntosh's much-cited definition of white privilege as an "invisible package of unearned assets" on which white people can rely, but about which they were meant to remain "oblivious." Besides "unearned asserts"—things which everyone should have in a just society but are in fact awarded to the dominant race only—such an "invisible weightless knapsack," as McIntosh ([1988] 1997, 291) describes it, also includes "unearned power"—those things that are damaging in human terms even if they bring advantage and are associated with dominance, such as the freedom not to be concerned about the needs or reality of others. It must be noted, however, that McIntosh states that while whites are in some ways privileged, they are in other ways profoundly damaged and retarded by this system of "unearned dominance" (291). Delano's blindness to the reality of slavery may be considered, as we shall see, an example of this.

Babo's subservience is explicitly connected by Delano to the slave's allegedly inferior intellectual capacity and skills, his "docility arising from the uninspiring contentment of a limited mind" (71). While briefly suspecting Don Benito of complicity with the blacks, Delano will soon be reassured of the unfeasibility of such a notion, since the blacks were "too stupid" and the whites, "by nature, the shrewder race" (162-163).

Paradoxically, though, Delano's assumption of white supremacy turns into a liability rather than an asset. If part of white privilege is the ability to "not-see" whiteness, another fundamental part, as Martha R. Mahoney reminds us, is "not seeing how what we do appears to those defined as 'other'" (1997, 306). In "Benito Cereno," however, white privilege becomes doubly blinding, as whites not only fail to see themselves clearly, they also fail to see how white privilege appears to blacks. Thus, for example, when Atufal, one of the leaders of the slave revolt, simply feigns his refusal to beg his master's pardon, Delano wrongly assumes the slave to be chained, and Don Benito's possession of the key to his padlock he sees as evidence of his lordship over the black slave. Clearly, Delano keeps misreading what he himself defines as "significant symbols" (Melville [1855] 1981, 149) of the role reversal that is taking place between master and slave, since Atufal is only pretending to be enslaved, while Don Benito, though he is seemingly wearing the key to unlock the slave, is himself imprisoned.[5] In Melville's story, then, Delano's "self-satisfied whiteness" (Aanerud 1997, 47) and his objectification of blackness as simplistic end up backfiring on him, for he is totally blinded from reality by his own white supremacist biases.

Though seldom acknowledged, Melville's visual metaphor is at the root of Ellison's *Invisible Man*, too, which, I would argue, both draws on and revisits "Benito Cereno" in highly subversive ways. It is true that much of the novel focuses on the negative feeling of invisibility experienced by Ellison's black protagonist, who bitterly complains that he is "invisible" because (white) "people refuse to see me." "Like the bodiless heads you see sometimes in circus sideshows," he elaborates in the Prologue, "it is as though I have been surrounded by mirrors of hard, distorting glass. When they approach me they see only my surroundings, themselves, or figments of their imagination" (Ellison [1952] 1995b, 3). No wonder, then, most readings of the novel have focused on the racial/racist process of invisibilization of blacks by whites.[6] Borrowing from both Lacan's mirror stage and Fanon's study of the racial dynamics of narcissism, Hsuan Hsu, for example, has revisited the visual regime of racism in Ellison's novel, considering it as exemplifying both "identification"—i.e., narcissistic and often hostile projections on the part of both black and white subjects—and "surveillance"—which frames black bodies as objects

[5] "Against the ideology that saw slavery as the most organic of social relations," as Michael Rogin (1985, 216) argues, "Melville conventionalized, as stage props, the symbols of authority which slaveowners insisted were theirs by nature."

[6] See, for instance, Hogeland (1996), Hsu (2003), Hardin (2004), Kim (2005), Lamm (2003) and Leak (2005, 29-58).

of a "panoptic white gaze" (2003, 108).[7] For her part, Lisa Hogeland has paid special attention to Ellison's novel as illustrative of the sex/race analogy of the 1970s, showing how Ellison's trope of (racial) invisibility vs. hypervisibility was very helpful to second-wave feminists in describing the similar situation of women at the time. In her words, "the visibility/invisibility trope is [...] ironic in the sense that it turns *hyper*visibility into *in*visibility. That is, the Other named as invisible is unseen as an individual, while simultaneously hypervisible as a stereotype" (1996, 36; my emphasis).[8]

Despite, or precisely *because of*, the special emphasis placed upon invisibilization in the novel, I would like to suggest, nonetheless, that this process is indissolubly linked to the parallel visual metaphor of blindness, which Ellison, unlike Melville, uses to describe the racial biases embodied by both black and white characters. As Hsu, one of the few Ellison scholars to acknowledge this, has noted, "blacks are as blind (to both themselves and to whites) as they are invisible" (2003, 109). Thus, Ellison seems to borrow from Melville's depictions of white male characters as shortsighted, with the invisibility of his protagonist stemming from "a peculiar disposition of the eyes of those with whom I come into contact" ([1952] 1995b, 3). While Invisible Man himself acknowledges that it is sometimes "advantageous to be unseen," this causes him many troubles, as well, as when he bumps into a white man who had not seen him since "he was in the middle of a walking nightmare!" (4).[9] Like Melville's Delano, then, Ellison's white character is depicted as just "a poor blind fool" (5) who, just as in the case of Don Benito, is portrayed as a sleepwalker "lost in a dream world" (14). Challenging what Ellison himself defined as "pseudoscientific sociological" notions that "held that most Afro-American problems sprang from our 'high visibility,'" *Invisible Man* thus deals instead with the "*in*visibility" of black people, showing how the alleged "high visibility" associated with dark skin "actually rendered one *un*-visible" in social, cultural, and political terms (Ellison [1952] 1995a, xv; emphasis in the original).

At the same time, however, Ellison, like Melville, continues to identify (self-willed) blindness as the origin of this invisibilization of colored people by whites. The whole of *Invisible Man* does indeed abound with references to cross-racial blindness, both literal and figurative. Thus, in chapter one, for example, the bronze statue of the Founder of Invisible Man's college seems to be "lifting a veil that flutters in hard, metallic folds above the face of a kneeling slave," even though in reality Ellison's protagonist stands

[7] More specifically, it is Hsu's contention that the novel exemplifies an "ethics" of visuality in the specular form of "giving oneself to be looked at." Thus, Ellison, Hsu suggests, challenges the white power vs. black victimization binary as it "ultimately aligns 'denigration' not with the visual but with invisibility as such" (2003, 108).

[8] This does not mean, however, that Ellison has remained unaffected by charges of sexism. For a critique of his sexual politics in the novel, and the invisibility of women therein, see, for example, Walker (1983, 231-243), Sylvander (1975), Rohrberger (1989) or Nayak K. (1994), who argues that "the picture that emerges of Negro sexuality in *Invisible Man* is one of all-around degradation and insult" (41).

[9] "Now, aware of my invisibility," he explains, "I live rent-free in a building rented strictly to whites, in a section of the basement that was shut off and forgotten during the nineteenth century" (Ellison [1952] 1995b, 5-6).

"puzzled" in front of the statue, "unable to decide whether the veil is really being lifted, or lowered more firmly in place; whether I am witnessing a revelation or a more efficient *blinding*" ([1952] 1995b, 36; my emphasis). Clearly, the veiled black figure is reminiscent of W.E.B. Du Bois' famous metaphor in *The Souls of Black Folk* (1903) of the (invisible) veil separating blacks and whites. Yet while Du Bois sees the veil as mostly negative for blacks, who are provided with the irreconcilable disjunction or what he calls "double-consciousness" ([1903] 2005, 7) of being American and black, I would like to argue that this separation has a negative effect on whites themselves, too, particularly regarding their ignorance about blacks, as Ellison's story illustrates. Indeed, the bronze face is not only eyeless but, ironically enough, covered with "liquid chalk" (Ellison [1952] 1995b, 36) from bird droppings. Equally sightless is Homer E. Barbee, one of the college trustees, just as white New Yorkers, though polite, "seemed impersonal" (133) and "*hardly saw* me" (168; my emphasis). Even more apparent, perhaps, is Mr. Norton's blindness to (black) reality. While funding a college for blacks, he seems unable to withstand the reality of black poverty when he sees it through Jim Trueblood and his family, which eventually causes him to faint "with his *eyes closed*" (86; my emphasis).

Ellison's protagonist does himself recognize the (political) vision of both blacks and whites as equally impaired by the end of the novel. As he lectures his audience during one of his political speeches in chapter sixteen, "they[whites]'ve dispossessed us of one eye from the day we're born. So now we can only see in straight white lines [...] we're *blind as bats*" (343; my emphasis). Yet for all his admonitions to blacks to "reclaim" their sight, Invisible Man himself seems to remain blind to the truth throughout most of the novel. If Ras the Destroyer's confrontational racial stance "leaves him blind to the possibility of progressive—rather than regressive—change," Hsu (2003, 100) rightly notes, Invisible Man's initial conformism to white racial norms contributes to his own blindness, too, as his racial overidentification ends up buttressing his own internalization of racism.[10] Only at the novel's end, after he has gained a deeper understanding of the internal workings of racial prejudice, black and white, will he begin to recover his sight, acknowledging himself that "I'd been asleep, dreaming."[11]

[10] Ellison recurrently emphasized the connections rather than divisions between black and white American culture, repeatedly stressing their interrelatedness and indivisibility. In his view, African Americans were neither "white" nor "black" but both, since he saw them as deeply involved in "the texture of the American experience" ([1964] 2003b, 299). He not only underlined the centrality of blackness to canonical American literature, but praised the representation of the Negro as "a symbol" of humanity in writers like Whitman, Twain or Melville, suggesting, for instance, that Melville's "democratic" worldview led him to represent the "symbol of evil" as white (Ellison [1953] 2003a, 88).

[11] Indeed, the novel seems to provide a harsh critique of all types of racism, black and white, presenting Ras the Destroyer, for example, as an anachronistic and even ridiculous black leader who defends the war on whites as the only "solution" to white racism (Ellison [1952] 1995b, 556-561). While the Brotherhood welcomes blacks and whites in the common struggle against racial inequality, Ellison ultimately exposes its political dogmatism, too, which is clearly reminiscent of Soviet Communism. Indeed, Invisible Man's confrontation of Brother Jack's narrow-mindedness causes the latter to drop his glass eye, which literally and figuratively exposes him as half-blind, as well (555).

Thus, he ultimately remains "invisible" (Ellison 1952 [1995b], 444), as he himself recognizes, but "not blind" (537) looking for the first time "through the gray veil that now seemed to hang behind my eyes" (576).

3. The Whiteness of Masculinity, or the Feminization of Blackness

If, as it seems, both Melville and Ellison expose the blinding effects of racism on blacks and whites alike, I believe both texts are also equally concerned with illustrating the inseparability of gender and race and, especially, of masculinity and whiteness. In *Slow Motion* Lynne Segal (1997) argues that hegemonic masculinity, white and heterosexual, has traditionally been defined by opposition. The power of dominant models of masculinity, she suggests, stems from their difference from, and superiority to, that which they are "*not*". In her words, "[t]o be 'masculine' is *not* to be 'feminine,' *not* to be 'gay,' *not* to be tainted with any marks of 'inferiority'—ethnic or otherwise" (1997, xxiv; emphasis in the original). Much of the existing theoretical work on whiteness does indeed seem to confirm the strong association between masculinity and whiteness and, by implication, between blackness and "the feminine." Such a connection, as Gail Bederman reminds us, became particularly strong during the nineteenth century, when white Americans elevated whiteness to a manly ideal, linking gender to racial dominance through the discourse of "civilization" (1996) As white middle-class men of the time actively worked to reinforce male power, their race became a factor central to their gender. These men repeatedly resorted to the idea of civilization to explain male supremacy in terms of white racial dominance and, conversely, white supremacy in terms of masculine power. Recurrently, white Americans contrasted civilized white men with savage dark-skinned men, "depicting the former as paragons of manly superiority" (1996, 22).[12]

Since maleness and whiteness thus seem to be constructed together, and because hegemonic—i.e., white—masculinity has usually been defined in opposition to both women and black men (Segal 1997, xxxiv), it should come as no surprise that Melville's "Benito Cereno" mirrors (but, as we shall see, also problematizes) the nineteenth-century classification of both (white) women and (black) slaves as dependent beings, a moral economy of dependency between master and servant which seemed to determine both the institution of slavery and the patriarchal family. The Southern version of domesticity, as Emily Van Tassel (1997, 152-153) states, helped Southern slaveholders articulate a patriarchal vision of slavery based on the "support for labor" ideology,

[12] Admittedly, white Americans had long associated dominant manhood with white supremacy. Since the inception of the US Constitution, American citizenship rights had indeed been defined as "manhood" rights which inhered in white males only. Thus, pro-slavery writers often called into question the manhood of black men, and hence their "manhood rights." Like women, black males were considered "dependents" and therefore denied the right to vote, among other "civil" rights. By the mid-to-late nineteenth century, however, white Americans were also influenced by the dominant discourses of imperialism and Darwinism, both of which increasingly linked masculinity to whiteness through the racial/racist discourse of "civilization."

which was nothing but a reflection of the usual domestic relations between husband and wife in the nineteenth century. It is no wonder, then, that most of the arguments for the abolition of slavery connected racism and patriarchal oppression, with numerous collaborations between abolitionism and feminism in the mid-nineteenth century. Indeed, the oppression of black men, as Richard Dyer has argued, constantly put them into "feminine" positions by placing them "structurally" in the same positions as women (2004, 112).

Such ideas are important, I believe, because Captain Delano's firm belief in white supremacy throughout "Benito Cereno" is, in reality, synonymous with his assumption of hegemony as a white male, which leads him to stereotype black slaves as inferior but also, as we shall see, as dependent, submissive and, therefore, as inevitably "feminized." Drawing on the (racialized) gender prejudices of the time, Delano indeed appears to feminize Babo from the start, his description of the African slave resembling in every aspect that of the ideally submissive and docile nineteenth-century wife. Just as women in nineteenth-century America had been traditionally defined as intellectually inferior and morally subservient beings whose primary (indeed only) function was to act as men's foundation and support, so is Babo repeatedly feminized. Rather than Don Benito's slave, Delano sees Babo as the Spaniard's "devoted companion" (Melville [1855] 1981, 137) a faithful and obedient confidant, who, like a traditional wife, is equally eager to please and to serve. As a result, Delano can do nothing more than accept Don Benito's "weakness for Negroes" (172), particularly Babo, who, he insists, may be treated "with familiar trust" (137). According to Delano, it is the black man, rather than a woman, who famously makes "the most pleasing body servant in the world" (137), which seems to be confirmed by Babo combing his master's hair "as a nurse does a child's" (180), with Don Benito relying upon his servant's "tasteful hands" (176). Indeed, Delano becomes so envious of the "beauty of [the] relationship" (143) between Don Benito and his confidant that he tries to buy Babo from Cereno for fifty doubloons, even though the slave boasts that his master would not part with him "for a thousand doubloons" (157). It seems clear, then, that Babo is recurrently feminized by Delano, both literally and symbolically, throughout the novel. The American Captain not only applauds, but himself seems to feel a homoerotic affection for Babo, seeking to acquire him for his own "as a man might a wife" (Sale 1997, 158).

Interestingly, however, Babo will use the feminization of blacks as inferior and dependent beings to his advantage, playing the role of the emasculated black slave to meet his own ends. Of all the Africans, it is Babo who remains, arguably, the best actor when it comes to putting on a mask of "female" submissiveness to fool the whites. Like a "Nubian sculptor" (Melville [1855] 1981, 175), Babo, leader and creator of the plot, challenges—indeed, manipulates—white supremacist assumptions of the blacks' submissive and *feminine* nature for his own profit. This is nowhere clearer, perhaps, than during the shaving scene, wherein the Negro terrifies Don Benito in a reversal of power relations which goes totally unnoticed by Delano. While supposedly shaving—i.e.,

serving—Don Benito, Babo is actually controlling his master, threatening to cut his throat with the razor should he decide to give Delano any clues regarding the rebellion on board the *St. Dominick*. Even as Delano thinks Babo is only a slave playing his natural role as a docile and submissive—i.e., *feminine*—body servant, Babo is using the traditional stereotype of the emasculated black slave to his own advantage, revealing black/female submissiveness itself to be a charade. Undermining the supposedly natural relations of master and slave, Babo's "exaggerated fidelity" (Rogin 1985, 215) serves to mock the paternalism of not only master and slave but also of husband and wife, while Don Benito, who has in fact lost the authority that his dress suggests, is forced to play the part of master/husband, while he is in reality being manipulated by his slave/wife. By feigning docility and obedience, Babo not only reveals the relation of dependency between master and slave, just as between husband and wife, but also subverts the performance of subordination usually enacted by both women and slaves in the nineteenth century. Cunningly, Babo plays at being innocent while all the while plotting how to overthrow the master. Just as the childlike mask protected the slave from the master, the enslaved rebel must put on the mask of black submissiveness, and hence feminization, since his deceptions are absolutely essential "to his survival and possible escape" (Jay 2008, 387).

In line with the historical alignment of blackness with *femininity*, Ellison's black characters also seem to be recurrently *feminized* by their white male counterparts, which often results in black male sexual objectification by the white male gaze. In this sense, a number of critics have recently set out to revisit the still largely unexplored role played by homoeroticism in the novel. Thus, Daniel Y. Kim, for example, has focused on the "libidinal" qualities of white male racism in the novel to suggest that "the optics of white male racial vision are fundamentally shaped by homoerotic impulses" (2005, 47). In his view, Ellison depicts white racism as a fundamentally homosocial act which may be seen as "proximate, if not equivalent, to homosexual desire" (47). Quite convincingly, Kim argues that episodes such as the Battle Royal and characters like young Emerson clearly represent white male desire for the black male body. If the Battle Royal, which assumes a paradigmatic status in the novel, depicts a homoerotic performance through which a group of black boys, including the narrator, are forced to fight each other blindfolded, young Emerson is depicted as a white rich homosexual heir who threatens to *emasculate* the narrator by trying to seduce him. Such actions by white men, in Kim's view, attempt to *feminize* the narrator by defining him as the (sexual) object of the male gaze. Combining racial and sexual desire, they are, in Kim's words, "*voyeuristic* rituals in which enjoyment seems to derive from the watching rather than from the doing" (49; emphasis in the original).

Yet while most critics have focused on the racial-sexual objectification—i.e., feminization—undergone by Ellison's protagonist on the part of white males, and even as others have focused on the narrator's subversion of the same in the novel, much less has been said about the racialized and gendered oppression experienced by other black

characters, like the narrator's grandfather, and particularly Dr. Bledsoe, whose strategies of resistance are clearly inspired, I would argue, by Melville's Babo.[13] Thus, in chapter one, for example, Invisible Man recalls how his grandfather, who had been "the meekest of men," called his son to his deathbed and declared himself a "traitor" and a "spy," asking his son to "overcome" white people with "yeses, undermine 'em with grins, agree 'em to death and destruction, let 'em swoller you till they vomit or bust wide open" (Ellison [1952] 1995b, 16). While this definition of meekness as treachery seems hard to understand at first, its *mise-en-scène* is nowhere better exemplified than in the character of Dr. Bledsoe, the black President of the state college for blacks. While his grandfather's strategy to "yes" white people seems to fail Invisible Man, it does though work for Bledsoe.[14] Following in the steps of Melville's Babo, Bledsoe is cunning enough to continue to use white racism for his own gain. Acknowledging that it is dangerous to waken "sleepwalkers" (5), his work will indeed consist in keeping them asleep, using the pretense of black submissiveness to flatter rich white trustees and, in so doing, convince them to keep the school running. As he tells Invisible Man, "we take these white folks where we want them to go, we show them what we want them to see" (102). Like Melville's "Nubian sculptor" ([1855] 1981, 175), Dr. Bledsoe thus hides his real emotions by "composing" his face "like a *sculptor*, making it a bland *mask*" (Ellison [1952] 1995b, 102; my emphasis), using false humility as a strategy to flatter white people and thus retain his presidential job. Just as Delano had mistaken the crew on the *St. Dominick* for "a ship-load of monks" with "Black Friars pacing the cloisters" (Melville [1855] 1981, 133), so too is the student choir of Dr. Bledsoe's college made up of "faces composed and stolid above uniforms of black and white" (Ellison [1952] 1995b, 111). And, as in Melville's story, Ellison's black characters are just pretending to be nice to whites, their faces "frozen in solemn masks," with "the voices" of the black choir "mechanically raised in the songs the visitors loved" (111). No wonder, then, that Bledsoe is bitterly disappointed after Invisible Man drives Mr. Norton to a poor black area outside the campus, as it causes the white trustee to get dangerously acquainted

[13] See Hardin, for instance, who contends that Ellison's narrator is not just *feminized* by the white male gaze, as Kim (2005) suggests, but is himself attracted to other (black) men, as well: "The one failing of Kim's argument," he argues, "is that he fails to recognize the narrator's own desire for the black male body (2004, 110). This is perhaps most clearly seen in the narrator's description of Tod Clifton, a young member of the Brotherhood: "I saw that he was very black and very handsome, [...] that he possessed the chiseled, black-marble features sometimes found on statues in northern museums and alive in southern towns in which the white offspring of house children and the black offspring of yard children bear names, features and characteristics as identical as the rifling of bullets fired from a common barrel [...] I saw the broad, taut span of his knuckles upon the dark grain of the wood, the muscular, sweatered arms, the curving lines of the chest rising to the easy pulsing of the throat, to the square, smooth chin, and saw a small X-shaped patch of adhesive upon the subtly blended, velvet-over-stone, granite-over-bone, Afro-Anglo-Saxon contour of his cheek" (Ellison [1952] 1995b, 363).

[14] Ultimately, Invisible Man's failure results from Bledsoe's (unfair) decision to expel him from school for his allegedly "inappropriate" behavior with Mr. Norton, which highlights the central role played by Bledsoe in both the novel and its protagonist's life. As Invisible Man himself complains, "I had kept unswervingly to the path placed before me, had tried to be exactly what I was expected to be, had done exactly what I was expected to do yet, instead of winning the expected reward, here I was stumbling along" (Ellison [1952] 1995b, 146).

with the black poverty, which, Bledsoe claims, sleepwalking whites do not want to see: "Didn't you know you were endangering the school? [...] the dumbest black bastard in the cotton patch knows that the only way to please a white man is to tell him a lie!" (139). Thus, not only does Bledsoe expel Invisible Man from school for his indiscretion but, in so doing, he also reveals his real Babo-like approach to whites, which consists, in his words, in "acting the nigger": "The only ones I even pretend to please are *big* white folk, and even those I control more than they control me. This is a power set-up, son, and I'm at the controls [...] I had to be strong and purposeful to get where I am. I had to wait and plan and lick around [...] Yes, I had to act the nigger!" he said, adding another fiery, "Yes!" (142-143; emphasis in the original).

It may be argued, then, that both Babo and Bledsoe are in "virtual blackface" (Lott 1995, 234), as in a blackface minstrel show, performing for whites too blinkered to know better. In order to try to achieve their own ends, these two rebellious blacks feel equally obliged to put on the mask of blackness, thus reassuring the blinded whites of their own delusions. Indeed, the theatrical aspect of this may be more literal than has been usually recognized, for both Babo and Bledsoe indeed seem to re-present the dominant role played by blacks in the popular theatre and literature of the late eighteenth century, that is, that of the docile and contented slave—childlike, illiterate, dependent and so, ultimately, *feminized*. "Probably more whites—at least in the North—received their understanding of African-American culture from minstrel shows," as Richard Delgado and Jean Stefancic have argued, "than from first hand acquaintance with blacks" (1997, 171). If what bell hooks has defined as "the mask of whiteness" presents whites as always "benign" and "benevolent" to blacks (1997, 176), both Babo and Bledsoe will put on "the mask of blackness" in order to always appear happily submissive and subservient to whites rather than dangerous or threatening. Only at the very end, "with mask torn away," will we come to realize that the racialized and gendered "spectacle of fidelity" (Melville [1855] 1981, 143) between master and slave was indeed a charade, the slave/wife taking revenge on the master/husband, paradoxically enough, in the very act of obeying him.

From this, it is no wonder that Captain Amansa Delano, who, as in a minstrel show, had taken for granted the blacks' stupidity as well as their natural passivity and feminization, is absolutely amazed when, "now with scales dropped from his eyes" (188), he sees what is actually going on, as it suddenly dawns on him that the African slaves, "with mask torn away" (188), are not simply in misrule but rather "in ferocious piratical revolt" (188). Equally surprised is Ellison's narrator when he sees Dr. Bledsoe's true nature. While "acting the nigger" (Ellison [1952] 1995b, 142) and playing the submissive and emasculating role traditionally given to both women and blacks, he is finally revealed to be more masculine than his white (male) counterparts, claming to control them "more than they control me" (142). Yet both Bledsoe and Babo, I would argue, are as much perpetrators as victims of racial and gendered violence, their masks constituting nothing but strategies of self-defense in the face of white

(male) racism, which has long worked to diminish black men by, literally and/or symbolically, castrating and emasculating them.[15] As Bledsoe himself acknowledges to Invisible Man, "it's a nasty deal and I don't always like it myself. But you listen to me: I didn't make it, and I know that I can't change it. But I've made my place in it" (143). Similarly, and despite the seeming wickedness of Babo's plot in "Benito Cereno," it must not be forgotten that the *St. Dominick* is a slave-trader, that the black people on board the ship have been enslaved by the Spaniards, and that the Africans' rebellion simply aims to sail the ship back to their homeland so as to achieve their self-liberation. No wonder, then, that concurrent with Delano's discovery of the Africans' rebellion is the unwrapping of the figurehead of the ship, which shows the skeleton of Alexandro Aranda, the Spanish commander of the *St. Dominick* who, as we finally learn, had been murdered by the black slaves at the very start of the mutiny. While seemingly an example of Babo's brutality, the unwrapping of Aranda's skeleton may well be read as a "brilliant postcolonial metacommentary" (Wallace 2005, 62), since the ship's proper figurehead had been the image of Christopher Columbus, the discoverer of the New World.

4. Conclusion

While Delano appears to restore the natural order on the *St. Dominick* by finally recapturing the ship, Don Benito remains far from "saved," for "the negro" seems to have "cast [...] a shadow" (Melville [1855] 1981, 208) over him. Even after Babo is executed, his head, fixed on a pole in the plaza, looks toward the church where Aranda's (white) bones, once they are recovered, are interred and toward the monastery where Don Benito, bereft of his energy, dies soon afterward. Babo's dark shadow thus seems to continue to linger in the two white men. Babo's decapitated head, with its shadow covering Don Benito's monastery, continues to haunt the Spanish sailor until the very end. In this sense, then, Babo appears to symbolize the death-blowing shadow of blacks on whites, embodying the fear that the former may be as intelligent, rational and independent—in other words, as *masculine*—as the latter. The shadow may be taken, in other words, as a critique of the white supremacist assumption of black inferiority, dependency, submissiveness and, in short, *emasculation*, a critique which Ralph Ellison took up, as has been argued, in *Invisible Man*. Both Melville and Ellison seemed to feel obliged not simply to question whiteness as an invisible and dominant social norm, but also to make white privilege visible to whites, warning against the dangers of racial blindness, black or white. Foreshadowing the Civil War to come, Melville warned against the dangers of racial segregation, suggesting that a real understanding between the two races would only be possible if whites learned to see themselves from the

[15] On the infamous homosocial ritual of lynching, which usually involved the castration of black men by white men, see Wiegman's seminal study (1995).

perspective of blacks, if they learned, that is, to occupy the position of the Other. Unfortunately, it took almost one century for Melville's ideas about race to become completely *meaning-full*, when, in the wake of the Civil Rights movements of the 1950s, writers like Ralph Ellison began to really understand the importance of lifting the (black) shadow cast on Benito Cereno, and that still hung over the nation at mid-century.[16]

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[16] On the influence of Melville on the Civil Rights movement, see Sundquist (2008), who has shown, for example, the influence of "Benito Cereno" on Robert Lowell's 1950s poetry.

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Grounding Oneself at the Crossroads: *Getting Home Alive* by Aurora Levins Morales and Rosario Morales

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This article analyzes some of the multiple dimensions of hybridity in *Getting Home Alive* (1986) by Puerto Ricans Aurora Levins Morales and Rosario Morales. This revolutionary autobiography is experimental in both form and content, containing poems, stories, journals, reportage and so forth. It is not clearly categorized in terms of genre, it does not defy any one culture or language and it presents a sense of place rooted in multiple places. The voices of mother and daughter fuse into one, together with the voices of all their ancestors. The multiple sensitivities of both women, products of multidirectional migrations, ethnicities, cultures, languages and classes are symbolized in their grounding of themselves at a crossroads which embraces a relational collective identity, wholeness and choice, while rejecting fragmentation or alienation.

Keywords: hybridity; sense of place; multiple sensitivities; migrations; identity; cosmopolitanism

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Arraigarse en el cruce: *Getting Home Alive* de Aurora Levins Morales y Rosario Morales

Este artículo analiza algunas de las múltiples dimensiones de hibridación en el texto *Getting Home Alive* (1986), escrito por las portorriqueñas Aurora Levins Morales y Rosario Morales. Esta autobiografía revolucionaria es experimental tanto en cuestiones de forma como de contenido, al incluir poemas, relatos, diarios y reportajes, entre otros. Se resiste a una tipificación de género literario al igual que rechaza una cultura o lengua única y reafirma un sentido de arraigo en múltiples lugares. Las voces de madre e hija acaban fusionándose en una identidad colectiva con las voces de sus antepasados. Las múltiples sensibilidades de

ambas mujeres, productos de múltiples migraciones, etnicidades, culturas, lenguas y clases sociales se simbolizan en el arraigo en el cruce, donde abrazan una identidad relacional y colectiva, rechazando la fragmentación o la alienación.

Palabras clave: hibridación; sentido de arraigo; sensibilidades múltiples; migraciones; identidad; cosmopolitismo

> I am a child of the Americas,
> a light-skinned mestiza of the Caribbean,
> a child of many diaspora, born into this continent at a crossroads.
> [...]
> I am new. History made me. My first language was spanglish.
> I was born at the crossroads
> and I am whole.
>
> Aurora Levins Morales "Child of the Americas" (1986)

These lines are from the poem, "Child of the Americas," from the autobiography of daughter and mother, Aurora Levins Morales and Rosario Morales, *Getting Home Alive*.[1] The lines speak clearly of multiple migrations and *mestizaje*, but conclude with a strong affirmation of wholeness. This "revolutionary and subversive" (Torres 1998, 276) autobiography, published in 1986, is one of the three autobiographical collections, together with Cherríe Moraga's *Loving in the War Years: Lo que Nunca Pasó Por sus Labios* (1983) and Gloria Anzaldúa's *Borderlands/La Frontera* (1987), that, according to Lourdes Torres, marked a new genre for Latina writers (1998, 276). These collections challenge in multiple ways traditional notions of the autobiographical genre, both in terms of form and content, much as seminal works by other ethnic women, such as Maxine Hong Kingston's *The Woman Warrior* (1976) and Audre Lorde's *Zami* (1982). Inmaculada Lara-Bonilla considers the text to be "one of the worthiest contributions to the theorization of Latino/a identities before the 1990s" (2010, 358). The authors of *Getting Home Alive* advocate and invoke a *mestiza* consciousness from the beginning. Their work is clearly a conscious effort to create a new type of text, one of *mestizaje* or hybridity. Moreover, both the title and the metaphor of the crossroads standing for *mestizaje* also imply the authors' grounding of their identity in place. Yet it also problematizes different origins without claiming one sole original home place:

> I am Caribeña, island grown [...]
> I am not african. Africa is in me, but I cannot return.
> I am not taína. Taíno is in me, but there is no way back.
> I am not european. Europe lives in me, but I have no home there.
> (Morales and Morales 1986, 50)

The objective of this article is to analyze some of the multiple layers of hybridity in this text. Gender and racial/ethnic issues, frequently addressed in the text, have

[1] The research for this article was carried out under the funded research project "Humanidades ambientales. Estrategias para la empatía ecológica y la transición hacia sociedades sostenibles" ["Environmental humanities. Strategies for ecological empathy and the transition towards sustainable societies"] (HUAMECO); Subproyecto 2: "Relatos para el Cambio" ["Stories for change"] HAR2015-67472-C2-2-R (MINECO/FEDER).

received considerable critical attention. However, this radical text also explores culture, language and class, and underlying it all, there is a strong sense of multiple places, which will be the focus of this article.

Hybridity goes beyond the notion of multiculturalism, or that of several cultures coexisting; it implies "both/and" and the interplay of multiple hybrid states or multiple identities fusing into a new heterogeneous identity. Hybridity can also be viewed as Alfred Arteaga's use of the cross (1997) and Guillermo Gómez-Peña's use of X (1993), the crossroads or the matrix, a site of multidirectionality, a simultaneity of cultures such as Mary Louise Pratt's notion of the "contact zone" (1991), where these cultures meet, collide and grapple with each other. In literature, this hybridity plays out as a new vision of literature, one that clashes with the notion of writing as discrete, coherently structured and monolingual (Benito and Manzanas 2002, 15).

In addition to textual or cultural hybridity, place is another area of meeting. Sense of place traditionally has implied being grounded in one place for a long time, knowing its physical features but also having an emotional attachment. For example, for Setha Low and Irwin Altman this means "the symbolic relationship formed by people giving culturally shared emotional/affective meanings to a particular space or piece of land that provides the basis for the individual's and group's understanding of and relation to the environment" (1992, 2). For historian John Brinckerhoff Jackson, sense of place "is something that we ourselves create in the course of time. It is the result of habit or custom" (1994, 5). Modern technology and mass media have dissolved distances; special places seem to disappear, often succumbing to urbanization or resource extraction and are increasingly being substituted with more uniform places. According to Edward Relph, placelessness is both an environment without significant places as well as an underlying attitude which does not acknowledge significance in places (1976, 143). While *Getting Home Alive* does highlight the difficulties of migrations, displacement and nomadism, it refuses to return to a traditional, idealized "home" place, nor does it float in placelessness. Lawrence Buell mentions as one of the dangers of place attachment the "maladaptive sedentarism, hankering to recover the world we have lost, [and] xenophobic stigmatization of outsiders and wanderers" (2005, 68), which this autobiography avoids by recognizing the "multilayering [of places] and openness to others" (Goodbody and Flys Junquera 2016, 20).

In an increasingly globalized world, fewer people have traditional attachments to one place. Ursula Heise, in *Sense of Place and Sense of Planet* (2008), points out that contemporary cultural critiques are questioning the role of the local, regional, national and global in identity formation, and addressing the seemingly ultimate modern non-places, such as hospitals, malls and airports (Augé, 1995), precisely those places of uniformity which Relph denounces. One of the major insights of these theories is on the "emergence of new forms of culture that are no longer anchored in place" (Heise 2008, 10). Yet place remains important, albeit in a different manner. In

a text where both authors are immigrants and have moved several times, the ability of grounding oneself in place becomes a key issue. According to Lara-Bonilla, *Getting Home Alive* links personal experience, grounded in the body, to collective experiences, situated in other specific locations, creating a new identitary map (2010, 359). Thus, an analysis of place in *Getting Home Alive* becomes a relevant issue in an increasingly globalized world.

Getting Home Alive can be seen as a hybrid text from multiple perspectives. Firstly, the cover of the book depicts a multicolored quilt, which seems to portray an abstraction of two homes, identical in structure but varying in tones, separated by a field; yet both the homes and the landscape are clearly part of the same whole. In the tradition of quilting, this design points to the idea of making a home, of making a new identity out of fragmented bits and pieces. Secondly, the co-authoring by a mother and daughter, whose voices end up blurring into one voice reinforces this. From a generic point of view, this clearly clashes with the traditional notion of autobiography, both in structure and in the creation of the self. The subjectivity of the authors is also hybrid in nature, in that their multiple identities meet and fuse, and no aspect is denied or rejected—both mother and daughter embrace each and every one of their multiplicities. And finally, the language of the text is not monolingual, although it is heavily English-dominant.

The text is strongly feminist and militant, and while issues of gender and ethnicity have been the primary focus of previous studies, this article will focus on other issues, particularly textual and cultural ones, which are noticeably grounded in place. The two voices are marked in the table of contents, each fragment having a title and specific author, which is also reflected throughout the text by a different type of font for each voice. However, in the work itself, no allusion to authorship is made in the individual pieces. Although the different typeface theoretically sets them apart, the fonts are very similar, and in reading, the difference becomes blurred, the reader not being able to clearly distinguish which fragment belongs to whom, without returning to the table of contents. The book is structured into several sections, the titles of which very clearly reveal aspects of the authors' *mestiza* consciousness linked to metaphors of place: the borderlands, the meeting of roads, racial identity, shared roots and heritage, the growth of the new from the old, hurricanes and chaos, ideological commitment, and the blending of voices in the final poem which brings us home. Not only the sections, but the individual fragments also highlight migrations and *mestizaje* as for example "Getting Out Alive," "Immigrants," "Africa," "The Other Heritage," "El Salvador," "Roadkill," "Old Countries," "California," and so forth. While at times, given the subject matter or date, the reader can deduce whether it is Rosario or Aurora speaking, at others, their voices become a kind of "call and response" where one fragment speaks to the other, such as in the fragments "I Recognize You" and the following "I Am The Reasonable One," or "Storytelling" and "I Never Told My Children Stories." And

yet in others, this relationship is not clear, at least until the end of the fragment. The life stories, dreams and meditations of the two women overlap, offer different perspectives on the same experience, talk about each other and their difficult moments. The combination of the narratives, furthermore, according to Lara-Bonilla, "creates an effect of constant interchangeability and mutation, of dynamism and spatial/subjective simultaneity that facilitates the constant superposition and alteration of enunciatory spaces and points of departure" (2010, 360). But in the end, the two voices unite. The use of two voices becomes an act of re-definition, a relational self-fashioning. The autobiography does not create a monolithic self, but a relational one, between mother and daughter but also as the creation of the self as a member of an extended family, group of friends and multiple oppressed groups.

This latter aspect, the creation of a relational self, was initially posited by Nancy Chodorow who claimed that feminine identification was based on learning "a way of being familiar in everyday life […] [and was] continuous with [a girl's] early childhood identification and attachments" (1978, 51). These attachments are exemplified by the person(s) with whom the "girl child" had been more involved and, rather than the firm, differentiated boundary usually developed by the "boy child" (50), girls develop a fluid relationship between self and others (51). Chodorow's theory was a major influence on literary critics (Smith and Watson 1998, 17) and this relational and fluid identity has been a constant feature in much feminist literary criticism, particularly linked to life writing—see Mason ([1980] 1998) and Friedman ([1988] 1998). Another landmark definition of women's autobiography, comes from Estelle Jelinek's "Introduction" to *Women's Autobiography. Essays in Criticism*, where, among other characteristics, she states that the genre tends to be disconnected, fragmented into a pattern of diffusion and diversity, and multidimensional, in contrast to the linear, ordered and coherent male autobiography (1980, 17; quoted in Smith and Watson 1998, 9). These two aspects, the relational self and the multidimensionality, are clearly manifest in *Getting Home Alive*. Other than the fragmentation of the two voices, the book consists of small texts belonging to different genres, styles and registers: essays, sketches, short stories, poems, meditations, journal entries and references to an oral tradition. There is no privileging of any set genre or style. There is no apparent logic, neither chronological, nor in the sequencing of the fragments. Rosario and Aurora do not alternate systematically. While this structuring could be viewed as chaotic or confusing, Torres sees it as a "daring experiment with structure" (1998, 277), or it could be perceived as an attempt to represent the "fragmentary, interrupted, and formless nature" of women's lives (Jelinek 1980, 19; quoted in Smith and Watson 1998, 9). This structure, new at the time of publication, incorporates the often contradictory aspects of gender, ethnicity, class, sexuality and feminist politics while refusing to accept any one single position and the radicalness of the text lies precisely in that refusal, which leads them to create radical personal and collective identities (Torres 1998, 279). Suzanne Bost claims that the Morales women, together with Rosario Ferré, Ana Lydia Vega and Judith Ortiz

Cofer, are the first generation of self-proclaimed "feminists" writing from Puerto Rico and as a result of their crossing of gender and sexuality with issues of nationality, race and culture, their stories divide subjectivity "into multiple, overlapping components" (2000, 191). Bost, in highlighting how *mestizaje* problematizes conventions of race, nation and gender, contrasts writers from either side of the US/Puerto Rico divide, finding more similarities than differences, the latter being only a question of degree (190). Although Lara-Bonilla does focus on aspects of diaspora, displacement and exile, neither she nor Torres or Bost refer to the actual grounding of identity in place, the focus of this article.

One of the most interesting aspects of *Getting Home Alive* lies in the subjectivity of the self-fashioned multiple author. As the poem "Child of the Americas" reflects, Aurora is a "US Puerto Rican Jew" (Morales and Morales 1986, 50). But that is only a brief synthesis of her life. She is "daughter and grand-daughter of immigrants" (50). Her mother, Rosario is the daughter of Puerto Rican immigrants to New York during the Depression (one could question here the term "immigrant" given the particular status of Puerto Rico vis-à-vis the United States). She arrives at age thirteen first to El Barrio, the Spanish Harlem, and then to the Bronx Jewish Community, where she marries a Jew, Dick, the son of Ukrainian immigrants. They are active in the Communist movement and decide to return to Puerto Rico to escape political difficulties. Aurora, daughter of a Ukranian Jewish immigrant father and a New York, Puerto Rican mother, is thus born in New York, but raised in Puerto Rico. She calls New York "the Old Country" and has the same nostalgic curiosity as other immigrant children have of Europe:

> I grew up in a rainforest, hearing, like earlier immigrant children, of the horrors and delights of the Old Country. Schools there were called PS and then a number. There were neighborhoods with lines as clearly marked as any international border: Italian, Irish, Polish, Black, Jewish, Chinese, and the new populations seeping in: Puerto Ricans, Dominicans, Haitians, Jamaicans, Cubans. In the old country they sold hot chestnuts on the street ("What's a chestnut, mami?" I think, sucking on a fresh-picked orange), and there were vendors who sold hot yams. (Morales and Morales 1986, 89-90)

Here it is interesting to note the issue of which is the Old Country and which the new, the sense of multidirectionality. According to Arnold Krupat, hegemonic narratives mark progress in a movement from East to West and South to North (1996, 52). If the directions of the grandparents follow the hegemonic logic (both Ukraine and Puerto Rico to New York), Rosario and Dick counter the direction by moving East and South to Puerto Rico, a supposedly less developed area than New York. In this sense, the US-Puerto Rican border is a true fluid border separating the two cultures and countries in terms of distance, language, racial difference and civic rights, although at the same time there is a merging of developed and developing countries. Bost posits that Puerto Rican writers highlight the *mestizaje* which forces

a radical rethinking of the terms of national identity and complicates the drawing of national borders (2000, 189). Later, Aurora and her mother move more times, both together and separately: to Chicago, Minnesota, New England and California. Krupat affirms that hegemonic history erases the tracks of migration because the movement seemingly goes from low to high, thus marking progress (1996, 52). However, the counter-hegemonic narrative of *Getting Home Alive* does the contrary: it narrates the tracks themselves, and their implications, and even retraces them in the opposite direction. This fluidity and shifting of place undoubtedly contributes to the grounding of identity in multiple, rather than a single, place, thus pointing to a more cosmopolitan perception.

In the narrative, both mother and daughter discuss the pull of both identities, the Puerto Rican and the Jew, yet they refuse to choose one and discard the other. In the excerpt called "Synagogue" Rosario recalls passing the Synagogue and crossing herself in the Catholic manner and then being afraid that someone would see her. Yet she had grown up questioning both customs, and the history and the typical insults—"who killed Christ." She observed and learned: "I know now [referring to the 1940s and the contested creation of Israel] who it was did the killing, who the dying" (Morales and Morales 1986, 112). Within these diverse contact zones, the Morales women begin to practice "creative appropriations" (Benito and Manzanas 2002, 10) and set up new areas of negotiation. A graphic example of this creative appropriation is seen in the following excerpt. Rosario returns to the Bronx and reminisces on her childhood:

> The knish place is still there selling knishes in every flavor: potato (that goes without saying), and cabbage and dasha and cheese and apple and strawberry. Though not the ones I made in Chicago one year, with (forgive me!) pork, and raisins and garbanzos and green Spanish olives, the inside of pasteles, in fact. I want a pure Jewish neighborhood to return to but I make Puerto Rican knishes in Chicago, make Morales blintzes in the mountains of Maricao, make my Jewish chicken soup with cilantro and oregano, raise Jewish-Puerto Rican-American children on aceite de oliva and kosher pickles, pasta de guayaba and pirozhni, empanadas and borscht mit sour cream. (116)

Rosario and Aurora end up creating a greater self, a composite of all the oppressed peoples of the world. In the section called "Getting Out Alive" written by Rosario, she reflects on seeing the Bronx on TV. The poem begins with the Bronx as a war zone with refugees, despite the official US rhetoric of multiculturalism; it continues with more war in Chicago and finally turns to international war zones.

> [I]t was a war zone of sorts
> I'd known
> and I hadn't known.
> [...]

I wear a yellow star behind my heart
Above my liver
I still hear Guernica burning
Yesterday I walked the dusty miles to a hungry reservation.
Today I staggered from Shatila bleeding. (17, 21)

In another section, "The Dinner," also written by Rosario, she identifies with and pays homage to all the unknown women and downtrodden people whose work permits the rest to live in comfort:

> Perhaps you have seen The Dinner Party, tables set with linens and fine tableware. Dinner, in the dining room, decorous.
>
> I didn't go. My folks didn't either, not my women folks. They don't go to things like that, weren't invited [...]
>
> My womenfolks are giving their own party. In the kitchen. First names only, or m'hija, negra, ne, honey, sugah, dear. The table is scrubbed and each plate and bowl is different, wood, clay, papier mâché, metal, basketry, a leaf, a coconut shell. Each is painted, carved by a woman [...]
>
> This is the dinner. We don't know our forbears' names with a certainty. They aren't written anywhere. We honor them because they have kept it all going, all the civilizations erected on their backs, all the dinner parties given with their labor. And they gave us life, kept us going, brought us to where we are. (51-52)

Thus, her identity is the product of a collective historical subjectivity. In another extract, "I'm On Nature's Side," Rosario identifies with nature and again makes common cause with all exploited subjects, human and non-human, in a very ecofeminist way. This excerpt is one of the few clearly environmentalist pieces, echoing environmentalisms from the south—to use Guha and Martinez Alier's term (1997)—or those of environmental justice, taking into account both oppressed people and nature, rather than the traditional US environmental concerns. In the last section of this extract she also seems to echo Anzaldúa's description in *Borderlands/La Frontera* (1987) of people on the border and their capacity to adapt and survive:

> I'm on nature's side. Man the scientist, white man the scientist, white ruling class man the scientist, the entrepreneur, the corporation president set out to control nature—to make it behave!
>
> But I'm a Third World, born working-class woman. I look at it from nature's point of view, from the insects' point of view [...]
>
> Pest control takes on a different meaning now. Pest control [...]
>
> We know we're pests for wanting to live our lives in peace and plenty. We're pests for not fitting into the grand plan of cornering markets and conquering peoples, increasing

> profitability and productivity, of sheltering taxes and fixing prices. And we've got to be made to fit in, we've got to be controlled. A la buena o a la mala, or come quietly cause I carry a big stick [...]
>
> To control [pests], gardeners and agricultural schools, farmers and multinationals spray poisons, distribute infected blankets, unleash predators and armies, demolish nesting sites and villages and neighborhoods. And we die. Many of us die.
>
> But not all. Some of us survive. Our survivors are stronger in some ways, more wily, more versatile. We protect ourselves. We fight back.
>
> [...] We will survive! (Morales and Morales 1986, 68-69)

This fragment echoes an ecofeminist analysis of the logic of domination which is used to justify the parallel subordination of *othered* groups. Despite the many types of ecofeminism that exist, all agree on, according to Karen Warren, the "interconnections among the unjustified dominations of women, other human Others and non-human nature" (2000, 43). The passage quoted, while denouncing political and economic forms of colonialism, conflates the suffering of insects and people, nests and homes, and highlights the strength and resilience of those who are oppressed. In several fragments, the Morales women identify not only with other peoples but also with earth *others*—for example in "Distress Signals," where Rosario takes on the persona of dying beached whales—in a clear ecofeminist strategy.

In one of the final sections, "If I forget Thee, Oh Jerusalem," Aurora begins by recalling the suffering of the Jews, but then turns to the suffering the Jews are causing in Palestine, and to all the suffering of the world. In this gloss to Psalm 137 she calls for the solidarity of all people, rejects the vision of revenge found in the Psalm and speaks of another vision, one of a truly hybrid community in Jerusalem, living in peace:

> The music would be Arabic and Mediterranean and Eastern European and Latin and African and Asian [...]
>
> I want to see a flowering of Arab and Jewish cultures in a country without racism or anti-Semitism, without rich or poor or spat-upon: everyone beneath the vine and fig tree living in peace and unafraid. A homeland for each and every one of us between the mountains and the sea. A multilingual, multireligious, many-colored and -peopled land where the orange tree blooms for all. I will not surrender this vision for any lesser compromise. (Morales and Morales 1986, 205-209)

As mentioned earlier, another important aspect of this hybrid identity is that of place. Traditionally, a sense of place derives from an intimate knowledge of the surrounding environment together with its emotional dimension. Like most environmentalists, Mitchell Thomashow states that in order to achieve a sense of place one needs to ground oneself in the land and explore "home and community, ecology and history, landscape and ecosystem." It implies a deliberate search for one's

ecological roots, linking them to one's identity (2002, 76). Place, history, community and identity are all linked. Thomashow argues that the interpenetration of species, peoples and landscapes are the basis of any local language and thus the stories of inhabitation provide the necessary knowledge of habitat and history (178). Rosario writes about this interpenetration of habitat, history and identity, noting that she needs her natural surroundings to blossom. For example, she addresses the needs of an American from the mainland saying "You, / You're like a crocus, like a sugar maple / Your juices ooze in the tepid sun" (Morales and Morales 1986, 140), and then contrasting them with her character:

> I need steady warm breezes to unfreeze my blood
> I need to sink my chilled bones in a soup warm sea [...]
> Oh! I will be a lizard and sit on a sun hot stone
> I want to lie flat, lie lifeless [...]
> Eyes closed
> Limbs still
> Soaking
> Waiting
> For the strong, slow, baking heat
> To stir me into life. (140)

In the poem "Coffee Bloom" Aurora describes Puerto Rico and her rootedness—note she says *my* country—in these terms:

> In *my* country
> the coffee blooms between hurricanes
> [...]
> Here in the green shadows we whisper, the bush and I, our secret,
> that hidden root
> the reason we don't tremble, though the bruised petals flail
> no matter how wildly the wet wind blows. (61; my emphasis)

Rosario remembers her childhood in the Bronx where summers "smelled of concrete, of asphalt melting [...] of sticky bus seats, of sunburn carried home from the beach, like seashells, all the long hours of subway to my room" (124), which contrasts with the summer she went to Puerto Rico and lived among "the wide green leaves of the plantain [...] my feet stained pink by the red mud, my skin dark from the noon sun. I will taste the sweetness at the pit of the red hibiscus bloom with a child's tongue [...] jump from the tall rock into the springy ferns below [...] into the green of their summers again and again" (125). While she lived in the Bronx, Rosario agonized to see nature. She writes about looking forward to seeing the starlings every

evening as they fly through the city. She would try to sketch them because it was "all [she] had to replace the banana plants, flamboyanes, hibiscus, avocados and fern trees [she] had left behind" (143). That sketch would carry her through the "brick and cement insane asylum of a city [where she] could reach out and reel in some bird lines, a bird shape wrapped in paper for the winter, to feed [her] hunger for the joy, the winged aliveness that had shot through [her]—eye to hand to paper—pinned to the creamy page" (143). While the sense of place of both Rosario and Aurora evolves, as we will see, that soft, sweet and warm climate, has its permanent niche within each of them.

Yet, in "Child of the Americas" Aurora states that she finds her home at the crossroads. A crossroads is a similar metaphor to that of "contact zones" or "borderlands" as stated earlier, although it has the added nuance of choice. As we have mentioned, one of the characteristic signifiers of our postmodern society is that of rootlessness and a loss of the sense of place, which may entail a loss of identity. Yet it is not necessarily so. Gloria Anzaldúa (1987), Guillermo Gómez-Peña (1993) and Homi K. Bhabha (1994), all anchor themselves to the borderlands, to a third space, to the site of multiple crossings. Currently, theorists are identifying changes in the concept of sense of place, given the increasingly globalized world. While Ursula Heise invokes an eco-cosmopolitanism where we can "envision individuals and groups as part of planetary 'imagined communities' of both human and non-human kinds" (2008, 61), I developed the notion of a "cosmopolitan sense of place" where "place becomes the locus of multiple tensions" and it is felt through "multiple sensitivities, allegiances and identities" and a "confluence of habitat and history" (Flys Junquera 2015, 57). As suggested by Val Plumwood, travel can be perceived as the goal, as multiple sites of encounters with place (2002, 233). In these encounters, each previous place enriches and modifies the traveller, providing "learning both about the place and about the self, a reciprocal exploration which adds new layers of meaning to both the world and the self" (Flys Junquera 2015, 57). And finally, I argue that cosmopolitans choose a home place, adapting it to their own multiple subjectivities. This chosen place—which echoes the crossroads—expresses those multiple identities, yet cosmopolitans are "always aware of the interplay of transience and permanence, of the factors of contingency that bring about change" (57).

In *Getting Home Alive*, we have seen Aurora's description of the "Old Country," which is a significant variation of the traditional concept. She claims to have "inherited all the cities through which [her] people have passed": Kirovograd, Granada, Jerusalem, Cairo, Damascus, Dakar, Lisboa, New Orleans, Ellis Island (Morales and Morales 1986, 90). Doreen Massey views the spatial as an "everlasting social geometry of power and signification" (1994, 3). Thus, any place inherently implies a multiplicity of spaces which intersect, clash or merge in meanings and relationships. In the "Old Countries" section Aurora considers herself part of the different cultures of the world, and to be at home at the crossroads, where all histories and races meet, reaffirming her *mestizaje*.

Her identity deliberately lies in multiple places. These multiple spaces acquire layers of meaning, a physical narrative of the multi-directional migrations of her family history, stories of settlements and re-settlements, but no final destination, thus acknowledging the transience of all homes. Her ancestors have traveled and migrated, and each place has left its imprint on her identity. As she speaks of all the cities of her people, she reflects on the importance of place:

> *Place. How I always begin with place: the most potent imagery for a wandering Jew, an immigrant Puerto Rican. "What will this place give me, do to me? What landscapes, what houses will it leave in my dreams? What layers will it add to the collage of my identity, my skin, my permanent passport?"* (Morales and Morales 1986, 192; emphasis in the original)

Jamil Khader posits that neither Aurora nor Rosario can make their home in Puerto Rico due to the gender oppression (2003, 68) which is clearly present there. Furthermore, he claims that they cannot make a home in continental United States due to the inherent violence there (69). While that violence is openly portrayed in different passages of the text, in the end, I believe, both of them do establish a home. Aurora has chosen her home place, California, "the place no one took me or sent me to. The place I chose for myself" (Morales and Morales 1986, 192) and she makes her kitchen the site of the multiple crossings. The kitchen, as cooking is in other extracts, is a significant metaphor because it has been viewed as a traditional female space—the matrix of feminine culture based on story-telling, female control and domesticity. However, as Bost points out, it is also the place where one brews new concoctions, producing new blends, new selves (2000, 201). Here Aurora cooks the foods of all her identities, following all the traditions, and breaking each of them, inhaling different places and refashioning her new self:

> So I peel my bananas under running water from the faucet, but the stain won't come out, and the subtle earthy green smell of that sap follows me, down from the mountains, into the cities, to places where banana groves are like a green dream, unimaginable by daylight: Chicago, New Hampshire, Oakland. So I travel miles on the bus to the immigrant markets of other people, coming home laden with bundles, and even, now and then, on the plastic frilled tables of the supermarket, I find a small curved green bunch to rush home, quick, before it ripens, to peel and boil, bathing in the scent of its cooking, bringing the river to flow through my own kitchen now, the river of my place on earth, the green and musty river of my grandmothers, dripping, trickling, tumbling down from the mountain kitchens of my people. (Morales and Morales 1986, 38-39)

In the section "Puerto Rico Journal" Rosario writes of a trip back to Puerto Rico and her contradictory feelings on different occasions. The idea of home blurs throughout the passage, oscillating between Puerto Rico and Cambridge, Massachusetts. The idea shifts according to where she is, what she is doing. It illustrates that tension between

transience and permanence. She begins writing her diary on the airplane going to Puerto Rico: "Home [...] and the happiness bubbled in me and spilled over. Home to the broad split leaves of the plantain and banana, the gawky palm, the feathery tree fern, to the red bell of the hibiscus and the yellow trumpets of the canario, to the warm moist sweet smell of the air" (76). Her bicultural experience is expressed as language and nature: "My tongue has been clipped and trimmed and trained, but my heart is all softness, like the air blowing through the palm leaves. My core is red and orange and bright green, and the turquoise of the sea. I am a tropical child, I carry my island tucked inside and I'm going home" (76). But, once in Puerto Rico, she realizes she is displaced:

> But this was never home! [...] I bounce around Santurce like a tourist [...] I'm more at home with the vegetation than with this city's streets.
>
> *Home*, like Australians talking about an England they have never seen. The home country: Italy, Ireland, Poland, Puerto Rico. Photographs, someone else's memories and my vivid dreams as I grew up. Home? A place where I am never completely at home. But then where am I completely at home? [...]
>
> Ironic. On the plane down I'm conscious only of my soft tropical core. Here I'm only aware of the North American scaffolding surrounding it, holding it up. (76-79)

The journal passage continues and several weeks later, on her return flight to Cambridge, Massachussets, she writes:

> It has been a hard wearying trip. I look forward to my own life as to a rest cure. I've been anticipating the return home so much, and now as I pack for it, I'm sad about leaving. Ah me, no peace [...]
>
> The atmosphere on this plane is completely changed since the passengers got off at Philadelphia [...] I'm stretched out with my journal on my lap. I have to smile. I've written, "I'm going home." (82-83)

Her home is home, but not necessarily permanent or just one home. Both Puerto Rico and Cambridge are home, depending where she is and how she feels. Her identity is grounded in multiple places, shifting with her moods and needs. As we have seen in the poem "Child of the Americas," Aurora feels part of several continents and countries: Puerto Rico, Africa, the Caribbean and Europe. But place and nature also inhabit her body, physically. Place, language and culture are all embodied and interrelated aspects of who she is:

> I am Caribeña, island grown. Spanish is in my flesh,
> ripples from my tongue, lodges in my hips:
> the language of garlic and mangoes,

the singing in my poetry, the flying gestures of my hands.
I am of Latinoamerica, rooted in the history of my continent:
I speak from that body. (50)

A final yet essential element of *mestizaje* is that of language, but language is also grounded in place, as Thomashow commented (see above). Likewise, David Abram writes that "each Human language arose not only as a means of attunement between persons, but also between ourselves and the animate landscape" (1996, 263). In his book he carefully traces the development of language and its ties to the natural world and place. Similarly, Tom Lynch notes that any given landscape shapes and influences the development and use of language. Different realities require different languages (2008, 30-34). In some of the excerpts we have seen the mixing of Spanish and English. This code-switching is a way to call attention to a multiple identity, the claim to both languages, cultures and places. In the first poem Aurora clearly states that her "first language was spanglish" but she highlights the emotional quality of her Spanish which contrasts with the precision of her English: "I speak English with passion: it's the tongue of my consciousness, / a flashing knife blade of crystal, my tool, my craft (Morales and Morales 1986, 50). Rosario admits that she will always be "clumsy with the language" (79), referring to Spanish, not her mother tongue; but her identity is clearly mixed in with the Spanish of the Barrio. She describes El Barrio and "the high rapid fire of Puerto Rican speech with the softness of dropped syllables and consonants, round and soft and familiar. The laughing: high loud laughter out of wide open mouths" (19). Lourdes Torres, however, notes that although *Getting Home Alive*—different to the autobiographies of Moraga and Anzaldúa—does not present the theme of Spanish as a lost tongue to be reclaimed (1998, 282), I believe, there is a slight sense of loss. English is clearly the dominant language of the text; however, there are significant lines in Spanish and a sprinkling of Yiddish. In the fragment "I Recognize You" Rosario does indeed lament the loss of Spanish in her daughter Aurora: "But I am sad, too. For the English language robbed of the beat your home talk could give it, the words you could lend, the accent, the music, the word-order reordering, the grammatical twist. I'm sad for you too, for the shame with which you store away—hide—a whole treasure box of other, mother, language" (Morales and Morales 1986, 145). For Rosario, speaking in her Puerto Rican inflected Spanish affirms the multiracial components of her identity. More important than the actual use of the languages in the text are the comments made on language and its relationship to identity and place. Rosario recalls, in the passage "Immigrants," the mixture of languages in Central Park but also her mother's experience of language:

My mother, the child in the Central Park photo, grew up an immigrant child among immigrants. She went to school speaking not a word of English, a small Puerto Rican girl scared out of her wits, and learned fast: learned accentless English in record time, the sweet cadence of her mother's open-voweled

> *words ironed out of her vocabulary, the edges flattened down, made crisp, the curls and flourishes removed. First generation.* (24; emphasis in the original)

Language is one of the first obstacles for immigrants, yet it also becomes the key to acculturation and security. In the following excerpt, written in the style of stream of consciousness, we see how Rosario learned "to pass" but doesn't feel at home unless she is surrounded with her linguistic and racial mix where she can hear "Black folk speak and the sounds of Spanish" (56) together:

> [W]hat I do remember is to walk in straight and white into the store and say good morning in my see how white how upper class refined and kind voice all crisp with consonants bristling with syllables protective coloring in racist fields looks white and crisp like cabbage looks tidy like laid-out gardens like white aprons on black dresses like please and thank you and you're welcome like neat and clean and see I swept and scrubbed and polished ain't I nice que hay de criticar will I do will I pass will you let me thru will they let me be not see me here beneath my skin behind my voice crouched and quiet and so so still not see not hear me there where I crouch hiding my eyes my indian bones my spanish sounds muttering mielda qué gente fría y féa se creen gran cosa ai! Escupe chica en su carifresca en su carifea méate ahí en el piso féo y frío yo valgo más que un piso limpio [...] yo quiero salir de aquí yo quiero salir de ti yo quiero salir you see she's me she's the me say safe sarita safe when I see you many and Black around the table. (57-58; irregular spacing, spelling and capitalization in the original)

And finally, the text addresses the issue of class, as related to migrations and *mestizaje*, one often neglected in American critical discourse, masked as racial and ethnic issues. Rosario's cultural and ethnic identity was betrayed by her accent, by language and she quickly learned English so she wouldn't have to "[s]ee embarrassed faces turning away, getting the jeering voices, singing "Puerto Riiico [*sic*], my heart's devotion [...] let it sink into the oceans!" (25). Social class often hides behind racial and ethnic difference and language becomes the telltale sign of immigrant status. As we have seen, hybridity can be viewed as a privilege and a new multilayered identity. Debra Castillo questions this theoretical *locus* for a better world, saying that *mestizaje*, in reality is the *locus* of refusal, of waste, the margins of society (1999, 187). Rosario's descriptions of their home in Indiera, Puerto Rico, of El Barrio, of the Bronx, are just that: the waste and the dividing line between them and us, between privilege and non-privilege. Aurora, however, doesn't speak of these feelings but is well aware of class. Her stance in her "Class Poem" is highly significant.

> This is my poem in celebration of my middle class privilege
> This is my poem to say out loud

I'm glad I had food, and shelter, and shoes,
glad I had books and travel, glad there was air and light
and room for poetry. [...]
This poem is for the hunger of my mother
discovering books at thirteen in the New York Public Library
who taught me to read when I was five [...]
This is a poem to say:
my choosing to suffer gives nothing
to Tita and Norma and Angélica
and that not to use the tongue, the self-confidence, the training
my privilege bought me
is to die again for people who are already dead
and who wanted to live. (Morales and Morales 1986, 45-47)

Aurora recognizes her privilege, and refuses to apologize for it. Rather she states that it implies a debt, the need to speak out for those who can't. Something she sees as the role of artists. In the section called "The Flute" she tells a story, a story reminiscent of Native American oral traditions. In this story she calls for committed artists, for the need for the privileged to use their craft to help the others:

> Then they take us to the mouth of the cave. We look out and see everything has changed. We are high above the earth now. There are clouds below us, and far, far below, a green plain where two groups of people are gathered. They are praying and calling out and crying up to the keepers in the cave, asking to be sent poets, medicine ones, singers of the great Song. (178)

Aurora makes clear that she must use her privilege, her tongue, her language, her writing for the people, to give voice and hope to those who cannot speak up. In "Sugar Poem" Aurora writes:

My poems grow from the ground.
I know what they are made of:
heavy, raw and green. [...]
I don't write my poems
for anybody's sweet tooth.
My poems are acetylene torches
welding steel.
My poems are flamethrowers
cutting paths through the world.
My poems are bamboo spears
opening the air.

They come from the earth,
common and brown. (40-41)

She is clearly aware of the power of words, but also that words are grounded in place, in the soil, the fundamental basis of everything. So, while concepts such as hybridity and cosmopolitanism can evoke issues of privilege and elitism, the Morales women see privilege as an injunction to act. David Johnson and Scott Michaelson ask whether the concept of hybridity is too idealistic, a politically exciting concept that lends itself to intellectual creativity and moral wishful thinking, but stripped of reality (1997, 2-3). Steven Vertovec and Robin Cohen, in studying contemporary cosmopolitanism, state that cosmopolitanism has more to do with an attitude or worldview than with a geographic or economic reality. They note that more and more analysts admit that expressions of cosmopolitanism "exist among a wide variety of non-elites, especially migrants and refugees" (2002, 8). In this globalized world, connected by fast transport and digital media, it is increasingly more difficult to remain "pure" or loyal to one national or territorial identity. Jamil Khader makes reference to this aspect in his definition of a "subaltern cosmopolitanism." He claims that the multidirectionality of subaltern cosmopolitans situates them in a broader transnational context, and this perspective provides them with a sense of oppositionality, empowerment and agency (2003, 70). Furthermore, Khader posits that this position makes it possible for the Morales women to denounce colonialism and articulate new social agendas (74), something they actively do.

Migrations upon migrations, whether forced or voluntary, physical or virtual, have changed identities, allegiances and sensitivities. For those artists who can use their art, for theorists who make the art visible, for those who can see the advantages or wealth of multiple identities, who can reinvent themselves with multiple sensitivities and ground themselves at the global crossroads, these privileges imply giving to those who cannot.

Getting Home Alive ends with a poem that is co-authored by both mother and daughter, a poem that combines lines from preceding passages, but with alterations, a hybrid poem of multiple voices, which fashions a new self, one that is both mother and daughter, all their ancestors and also all those other people who need to see a new possibility.

I am what I am.
A child of the Americas.
A light-skinned mestiza of the Caribbean.
A child of many diaspora, born into this continent at a crossroads.
I am Puerto Rican. I am U.S. American.
I am New York Manhattan and the Bronx.
A mountain-born, country-bred, homegrown jíbara child,
up from the shtetl, a California Puerto Rican Jew. [...]
We didn't know our forbears' names with a certainty.

They aren't written anywhere.
First names only, or mija, negra, ne, honey, sugar, dear.
I come from the dirt where the cane was grown.
My people didn't go to dinner parties. They weren't invited. [...]
I am not European, though I have dreamt of those cities.
Each plate is different.
Wood, clay, papier mâché, basketry, a leaf, a coconut shell.
Europe lives in me but I have no home there. [...]
I am a child of many mothers.
They have kept it all going
All the civilizations erected on their backs.
All the dinner parties given with their labor.
We are new.
They gave us life, kept us going.
brought us to where we are.
Born at a crossroads.
Come, lay that dishcloth down. Eat, dear, eat.
History made us.
We will not eat ourselves up inside anymore.
And we are whole. (Morales and Morales 1986, 212-213; emphasis in the original)

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"In my Beginning is my End": Multidirectional Memory and the (Im)Possibility of Escaping the Holocaust in Anita Desai's *Baumgartner's Bombay*

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Anita Desai's novel *Baumgartner's Bombay* (1988) makes evident its alliance with the determinist view of history according to which history repeats itself without allowing human agency to escape the occurrence of events. *Baumgartner's Bombay* embodies this view by telling the story of Hugo Baumgartner, a man condemned to suffer the same destiny of exclusion and abuse all his life. My main aim is to demonstrate that, through this hybrid figure (German, Jewish, Indian), along with the circular structure of the novel and the repetitive use of images and metaphors evoking Otherness and alienation which this analysis discloses, Desai deploys the multidirectional model of memory, defined by Michael Rothberg as the overlap of individual and collective traumatic memories of different nations at different times. I conclude that Desai's work exemplifies the way individual and collective Holocaust memories may be transposed to divergent traumatic events and conflicts, like those of the Partition and the British internment camps in India. Furthermore, it reveals how the examination of notions of Otherness and stereotypical identity formation can be helpful to understand the mechanisms that underlie the diverse episodes of genocide and trauma witnessed during the twentieth century.

Keywords: Holocaust; multidirectional memory; Postcolonialism; history; Anita Desai; Otherness

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"In my beginning is my end": La memoria multidireccional y la (im)posibilidad de escapar al Holocausto en *Baumgartner's Bombay* de Anita Desai

La novela de Anita Desai titulada *Baumgartner's Bombay* (1988) muestra su alineación con un punto de vista determinista de la historia, según el cual la historia está condenada a repetirse

sin permitir que el ser humano intervenga a la hora de alterar el orden de los acontecimientos. *Baumgartner's Bombay* encarna esta perspectiva a través de la vida de Hugo Baumgartner, un hombre eternamente condenado a cargar con un destino ligado a la exclusión y al abuso. Mi principal objetivo es demostrar que, mediante este personaje híbrido (alemán, judío, indio), la estructura circular de la novela y el uso repetitivo de imágenes y metáforas evocando varias formas de alteridad y alienación que se examinarán en el análisis, Desai despliega un modelo de memoria multidireccional, definido por Michael Rothberg como la superposición de memorias colectivas e individuales de naciones muy diversas y acontecidas en momentos diferentes de la historia. Finalmente, se llega a la conclusión de que esta novela ejemplifica la manera en la que memorias del Holocausto, individuales y colectivas, pueden transponerse a hechos y conflictos traumáticos de índole muy diversa, como los relacionados con el proceso de partición en India y los campos de internamiento británicos en ese país; por otro lado, intento demostrar que el estudio del fenómeno de la alteridad y la formación estereotipada de la identidad puede ayudarnos a entender los mecanismos que subyacen a episodios diversos de horror, genocidio y trauma que han definido al siglo veinte.

Palabras clave: Holocausto; memoria multidireccional; postcolonialismo; historia; Anita Desai; alteridad

1. The "Holocaust Metaphor" and the Postcolonial Debate

More than sixty years have passed since Theodor Adorno contended that writing poetry after Auschwitz was barbaric ([1949] 1997).[1] This statement reflected the mainstream view held after the Second World War that the only way to represent the horror of the Holocaust was silence. Over time the situation completely changed, though, and this initial advocacy of silence has given way to diverse representations of the Holocaust. From the 1980s to the present, many testimonies of Holocaust survivors have been collected in written, oral and visual forms. The plight of survivors and later generations has also been narrated in diverse literary forms. This upsurge of representations, which includes the work of writers who did not experience the Holocaust first-hand, runs parallel to the new perspective in the humanities evident since the 1990s, when the need to theorise the representation of the Holocaust in fictional discursive practices gave rise to the field of Trauma Studies. This discourse has greatly impacted on our understanding of individual and collective trauma and explains the massive surge in literary works addressing individual and collective traumatic events. In fact, we have witnessed a kind of commodification of trauma as a result of the testimonial boom that contemporary culture has experienced since the turn of the millennium (Luckhurst 2003, 28).

In the case of the Holocaust, this commodification has been accompanied by its increasing "metaphorisation" to allude to other collective traumatic episodes of abuse and extermination suffered by different minority groups over the course of the twentieth century and the beginning of the twenty-first century. Indeed, I would concur with Efraim Sicher when he argues that this boom in the Holocaust novel "cannot be divorced from apocalyptic visions of millennial mass death, the cult of violence, and the appropriation of the Holocaust as a metaphor for universal suffering by emerging minority groups" (2005, xvii). Stef Craps and Michael Rothberg confirm this view when they argue that "the Holocaust has escaped its spatial and temporal particularism to emerge as a common moral touchstone in the wake of the Cold War, and can thus provide the basis for an emergent universal human-rights regime" (2011, 17-18). This tendency to connect the Holocaust to other traumatic collective events, making it part of our societies' collective consciousness, contradicts the theories about its uniqueness and unrepresentability. As explained by Lawrence L. Langer (2000, xv), these ideas were the result of humankind's incapacity to face the horror of the Nazi genocide; the special ethical limitations imposed on the representation of the Holocaust (LaCapra 2001, 11); and the dangers of trivialisation that threaten any artistic depiction of this event (Hartman [1996] 2002, 36). Due to its extreme nature, Michael Rothberg explains that the Holocaust has "come to be understood in the popular imagination, especially in Europe, Israel, and North America, as [a] unique, sui generis event"

[1] The research carried out for the writing of this article was part of a project financed by the Spanish Ministry of Economy and Competitiveness (MINECO) (code FFI2015-65775-P). The author is grateful for the support of the Government of Aragón and the European Social Fund (ESF) (code H05). Acknowledgements should also be given to the Project for Young Researchers at the University of Zaragoza (245216—JIUZ-2014-HUM-02).

(2009, 8). In Dominick LaCapra's view, the uniqueness of the Holocaust draws on the fact that it transgressed a certain limit and thus became a liminal experience (2001, 160). These contemporary scholars have pointed to the dangers of this line of thought as it could easily serve identity politics and even promote competition for the "first place in victimhood" (159). This article will show my agreement with these critics on the idea that placing the Holocaust at the centre of trauma and memory discourse has contributed to drawing attention away from other collective traumatic events.

Moreover, the ideas mentioned above have become very relevant to postcolonial discourse. There has been a recent broadening in the field, from the national to the transnational level, meaning that traumatic colonial histories have to be "considered in relation to traumatic metropolitan or First World histories for trauma studies to have any hope of redeeming its promise of ethical effectiveness" (Craps 2013, 72). In fact, the gap between Holocaust Studies and Postcolonialism has been addressed by critics who object to the traditional academic insistence on analysing the Holocaust and colonialism separately, given that both phenomena exemplify the human tendency to reject the Other (Cheyette 2009, 13-20). Theorists such as Hannah Arendt, Aimé Cesaire and W.E.B. Du Bois broke new ground when pointing out the continuities between the history of European Jews and the history of European colonialism. Their ideas have inspired the adoption of the contemporary comparative cross-cultural approach to Genocide Studies in historiography and literary and cultural studies.[2] In his seminal book, Rothberg (2009) has built on this large body of theoretical work and devised a multidirectional model of memory that seeks points of contact between the memories of the Holocaust and colonialism. His theories underlie this article as they provide the perfect framework to understand Anita Desai's *Baumgartner's Bombay* (1988). Taking this approach, Desai can be connected to other contemporary writers who have used the "Holocaust metaphor" in order to produce new multidirectional readings of some of the most traumatic events of the last century, such as Caryl Phillips in *Higher Ground* (1989) and *The Nature of Blood* (1997), Gish Jen in *Mona in The Promised Land* (1996), Nancy Huston in *The Mark of the Angel* (1999), W. G. Sebald in *Austerlitz* (2001) and Richard Power in *The Time of Our Singing (*2003).

I will therefore critically analyse Desai's *Baumgartner's Bombay* in order to demonstrate that it should be considered a convincing instance of how individual and collective Holocaust memories can be transposed to divergent traumatic historical episodes, reinforcing this cultural and philosophical trend that sees the Holocaust as a metaphor for the suffering undergone by other groups throughout the twentieth and the twenty-first centuries. In order to do so, I will start by questioning the conflictive relationship between Jewishness and Otherness exposed throughout the novel. This will lead me to challenge some previous assumptions about the representation of the Jewish question

[2] With key representatives in historiography such as Dirk Moses, David Moshman, Jacques Semelin, Dan Stone, as well as in literary and cultural studies, including Michael Rothberg, Stef Craps, Bryan Cheyette, Max Silverman, Paul Gilroy and Robert Eaglestone.

in Desai's work and to identify the universal and deterministic outlook on history—considering both its negative and positive connotations—fostered by *Baumgartner's Bombay*. Desai's work will demonstrate that current writers are increasingly aware of the need to establish multidirectional and cross-cultural connections in order to leave behind exclusively Western visions of genocide and trauma, and to open up to Eastern conceptions through the "Holocaust metaphor," encouraging more universal and productive visions of human suffering and conflict.

2. *Baumgartner's Bombay* in Context

Indian novelist Anita Desai was born in Old Delhi in 1937. The daughter of a German mother and an Indian father, she grew up in New Delhi speaking German at home and Hindi outside, while at school she learnt English—the language that became her literary tongue. Her first published novel was *Cry, the Peacock* (1963) and, since then, she has published several novels, children's books and short stories, a number of which have won various literary awards. Desai has been considered "part of a new literary tradition of Indian writing in English, which dates back only to the 30s and 40s" (Daiya 2006, 27). Generally speaking, her works are characterised by "finely crafted language, poetic imagery, a strong sense of place, and complex, interwoven characters" (Miller 2001, 81) and most of them deal with the inner struggles of contemporary Indian characters at the same time as vividly depicting the socio-cultural changes that affected their country during the second half of the twentieth century. In addition, she has addressed such noteworthy topics as German anti-Semitism, the demise of Indian traditions and the Western stereotypical views of the East, thus combining the portrayal of the individual with contemporary relevant historical events.

Focusing on *Baumgartner's Bombay* (1988), a variety of interpretations have been put forward by critics, and Desai has not escaped the controversy surrounding writers who deal with historical issues of such ethical complexity as the Holocaust in their fictional creations (Lang 1988, 38; Langer 2000, xv). As Axel Stähler has explained, the fact that this novel tackling the Holocaust was written by an Indian author with German roots, and that she did so from a fairly innovative perspective turned this novel into "a contested art of fiction" (2010, 76). This reaction is related to the "proprietorial" attitudes that dismiss Holocaust fiction written by non-Jewish writers who did not go through the Holocaust (Vice 2000, 4). Moreover, Desai has been criticised by several postcolonial critics, such as Ketaki Kushari Dyson (1989, 29-30), Ashok Chandwani (1988, 16), Tony Simoes Da Silva (1997, 67-70) and Patrick C. Hogan (2004, 31-52), for her maintenance of Western/Eastern stereotypical dichotomies whereby Westerners see the postcolonial subject as the inferior Other, endorsing a Eurocentric colonialist view and depicting India as a uniform and simple entity. However, more recent critical voices have remarked that Desai's work should be read as an innovative postcolonial narrative showing the heterogeneous experiences of postcolonial subjects (Parekh

2006, 189). Also, Stähler has objected to this previous negative criticism on the novel, arguing that it goes beyond established categorisations of what should be considered postcolonial and what Holocaust literature (2010, 77). Indeed, this view was shared by Bryan Cheyette who had previously praised Desai's novel for "engaging productively with Jewish history" in relation to her own Indian history (2000, 59). This article is based on these reinterpretations, which praise the novel for establishing a connection between the horror caused by European wars and the devastation of India during and after partition. But my study attempts to offer an invigorated perspective by reading it through the lens of the "Holocaust metaphor." This will allow me to provide Desai's novel with a more universal meaning, interrogate the ideological connotations behind its hybrid Jewish protagonist, and promote the idea that marginalisation and abuse are not reserved for a single ethnic group, but are rather part of the lives of many minorities around the world.

Even before the novel begins these premises are revealed through the epigraph: "In my beginning is my end. In succession / Houses rise and fall, crumble, are extended, / Are removed, destroyed, restored," quoting T. S. Eliot's famous second section of *The Four Quartets*, "East Coker" ([1909-1935] 1963).[3] Eliot's playful reference to the words uttered by Mary Queen of Scots before she was beheaded points to a cyclical view of history according to which civilisations are predestined to decay, be rebuilt and destroyed time and again without allowing human agency to alter this mechanism. In this passage, Eliot showed his pessimistic view of the possibility of regenerating European society after the First World War and his disillusionment with humankind. These words are indeed well chosen, as one of the main messages transmitted by Desai's novel is consistent with the idea that history will be repeated continuously, with no possibility that any change can be wrought by human agency. The story of Hugo Baumgartner embodies this view of history, as he is fated to suffer the same experience of exclusion over and over during his life. Being of German-Jewish origin, he has to flee Berlin as a child—following the suicide of his traumatised father, and leaving behind his mother who, as Hugo will discover, dies in a concentration camp during the Holocaust—and migrate to India to escape from Nazism. Once there, he is identified as a German and as a result is sent to a British internment camp. Released from this camp six years later, he has to endure the war caused by the partition of India in the city of Calcutta before finally moving to Bombay, where he lives as an outcast until he is murdered by a young German drug-addict whom he has sheltered in his house. As the writer herself has declared, this fictional story originated from the true story of an Austrian-Jew she had met in Bombay. When this man died of natural causes, she read through a package of letters in German among his personal effects, only later realising that they came "from a concentration camp. They had been so empty of information

[3] All the references to the novel are taken from Anita Desai, *Baumgartner's Bombay* (London: Vintage, 1998), originally published in Great Britain by William Heinemann in 1988.

that [she] had not realized that earlier" (quoted in Stähler 2010, 78). The fragmented meaning of these letters urged Desai to imbue them with a story of their own which could voice the suffering that they hid.

The novel starts with a flash-forward to the final episode, when Hugo's friend, Lotte, has discovered his murder. This circular structure is reinforced by the fact that the narration is divided, with odd numbered chapters recounting the wanderings of Hugo during the last day of his life, and even chapters telling the full story of the main character's life from his childhood in Germany to his final days in Bombay. The even chapters adopt the form of flashbacks prompted by the memories stirred up by the main character in the preceding odd chapter. The past and the present narratives come together in the last chapter, when Lotte's encounter with Hugo's death fuses the two time dimensions into the present. In this way, just as Lotte is portrayed trying to order the letters of Baumgartner's mother,[4] Desai forces readers to complete the puzzle of the main character's life by jumping between the past and the present, a present which is determined from the first pages. Regarding the construction of the narrative voice, the heterodiegetic extradiegetic narrator enters the main character's consciousness, portraying his inner stream of thoughts, thanks to the use of techniques such as interior monologues, free indirect style and free association of ideas. These literary techniques turn Hugo into the main focaliser of the action, the lens through which readers see the disturbing world depicted in the novel, but a lens which may be distorted as he is not fully aware of the historical events that surround him and he never acquires a voice of his own, remaining a passive object, both in history and in his personal life.

3. The Jew, the Eternal *Firanghi*?

If we analyse the character of Hugo Baumgartner with reference to the traditional criticism on Jewish identity, the stereotype of the Jew as the eternal wanderer looking for a homeland can be identified. As I have argued elsewhere, the Jewish community has traditionally built their identity upon their own nature as a diasporic people, i.e., immigration and foreignness are at the core of their sense of community (Pellicer-Ortín 2015, 169-170). This alien status is continuously highlighted in the description of Desai's main character. From the initial flash-forward to the last day of his life in Bombay Hugo appears as the stereotypical foreigner rejected by any society into which he has tried to settle. At the beginning of the story, the external narrator has access to Hugo's stream-of-consciousness by using free indirect discourse as follows: "How oriental, how exotic, Baumgartner used to think, smiling the abashed smile of one

[4] It can be argued that the letters Baumgartner received from her mother when she was imprisoned in a Nazi concentration camp act as a relevant narrative device in the novel. Based on a real story that called Desai's attention, Lotte's reading and attempt of understanding their meaning open and close the narration, emphasising the circularity of the narrative and the impossibility of comprehending both the true nature of the Holocaust and the ill-fated life of the protagonist that will be fostered throughout the novel.

who did not belong, [...] he had lived in this land for fifty years [...] Yet the eyes of the people who passed by glanced at him who was still strange and unfamiliar to them, and all said: *Firanghi*, foreigner" (Desai [1988] 1998, 19; emphasis in the original). And, again, in the last pages of the book he is portrayed as a "shabby, dirty, white man, *firanghi*, unwanted. *Raus*, Baumgartner, *raus*" (190; emphasis in the original). Right from the start, he does not see himself as part of Bombay. He assumes that isolation is something natural and even celebrates it in his thoughts: "he was relieved too, relieved not to join the crowd, the traffic, but to amble alone into the lanes and alleys that made off from the main road" (9). Moreover, the lack of a first-person voice to disclose his feelings and thoughts highlights his lack of belonging and the passivity with which he confronts his life. The next question must therefore be: to what extent are this isolation and lack of agency part of his Jewishness?

According to the great number of works aiming to define the concept of Jewishness, the main feature of Jewish identity has always been its ambiguity. As David Brauner argues: "For some, [...] Jewishness is an innate, inalienable property, for others a learned tradition; for some, a belief system, for others a cultural construct; for some a race, for others a religion; for some a nationality, for others a sensibility; for some a historical legacy, for others a metaphysical state" (2001, 3). In general, for Western societies, Jews have represented the Other that threatens their social order, defined in opposition to the Western rational mind. Westerners have defined themselves in contrast to the Jews; despising them because they feared them as the unknown, and because of their need to create mental structures which could enable them to assimilate the massive migration of Eastern Jews into Europe and North America.

In Baumgartner's case, belonging to a Jewish family in the Germany of the 1930s, he feels a variety of sensations related to the German exclusion of Jews. At first, as a child he experiences the common Jewish feeling of self-hatred and shame, and he neglects his Jewish origins in his German school (Gilman 1986). This may be seen when he asks his mother "Why don't you look like the other mothers?" (Desai [1988] 1998, 33); and in the episode when he cannot understand Christmas traditions, which leads him to feel ashamed of his lack of belonging (36). However, the children of the German-Jewish community also tease him about the shape of his nose (37-38), which does not look as sharp as the distinctive Jewish nose. All these aspects turn little Hugo into an insecure child who is unable to define his true self, as depicted in the following episode: "mystifying and alarming were the three-piece mirrors that sat on the dressing tables and showed *you* unfamiliar aspects of *your* head, turning *you* into a stranger before *your* own eyes as *you* slowly rotated to find the recognisable" (26; my emphasis). The mirror incident becomes very relevant at this stage of the narration. It appears as a metaphor for the complex sense of identity that little Baumgartner has of himself: not completely German, not completely Jewish, he sees his identity as made of fragments that do not fit together. And, in addition to this, the use of the pronoun "you" contrasts with the predominance of the third-person pronoun throughout the novel, showing

that at this early moment in the protagonist's life there is still some possibility of him developing his personality more consciously and actively, identifying himself, as he does, with the "I" in the mirror without the need of an external narrator that recognises him from the outside.

As the story goes on, after Hugo's father has committed suicide and his mother has decided to stay in Germany, India becomes Hugo's Promised Land (55). Before going there, he spends a week in Venice, the place where he really starts wondering about the meaning of his Jewishness (82); a place which is defined as: "the East, and yet it was Europe too; it was that magic boundary where the two met and blended, and for those seven days Hugo had been part of their union" (63). It is in Venice where, even though he is not even an adult yet, he realises that he belongs to that mysterious world of non-belonging. And in Venice this non-belonging is not reproved, quite the opposite, words like "magic" and "union" reveal its multifarious possibilities. However, as soon as he gets to India, this hope for positive self-development disappears. Feelings of hostility towards him are observed again; for example, people do not want to help him find the directions to the correct Taj Hotel because of his different colour and language (85-86). In addition, since the Second World War breaks out as he arrives in Calcutta, he is imprisoned in a British internment camp as an "enemy alien" (103), without his condition as a Jewish refugee being taken into account. This event reverses the situation endured in Germany, where he was excluded for not being a pure German. Once he is liberated from the camp, he moves to Bombay, the place where he becomes an outcast, the man who is finally "accepting—but not accepted [...] In Germany he had been defined as dark—his darkness had marked him as a Jew, der Jude. In India he was fair—and that marked him the *firanghi*. In both lands, the unacceptable" (20).

Hugo's view of himself as a *firanghi* exemplifies the feelings encountered by Jews across history, as well as the impossibility the inhabitants of their adoptive lands have in relating to them on egalitarian terms. As Kenneth Surin explains, the Jewish exile has differed from all other diasporic movements. It has had very different consequences and so, its exiles have received a very different treatment from other racial and cultural minorities (1999, 276). The foreign features represented by Baumgartner throughout the novel bring to mind Jean-François Lyotard's description of "the jews" in Europe, where they have always been expelled or exterminated on the grounds of their alien status ([1988] 1990, 47). Moreover, Lyotard and other theorists such as Hannah Arendt have pointed out that this is not only a status that Western civilisation has assigned to the Jews, but one that Jews themselves have incorporated into their own identity (Arendt [1978] 2005, 2-3), partly through the creation of their "myth of origins," which provides them with messianic hope for the Promised Land, and offers some explanation for their errant nature. In fact, I would contend that this mythical suffering undergone by the Jewish communities is one of the factors that have contributed to turning the Holocaust into "an organizing metaphor about the Jewish experience of reality in the 20th century and timelessly" (Stein 1984, 6-7).

The text, however, does not present Baumgartner as a very religious Jew; on the contrary, as a child, he does not understand the meaning of being a Jew (Desai [1988] 1998, 37-38) and, as an adult, he is unable to pray when he finds out about his mother's death (165). Explaining the process of identity formation, Stuart Hall asserted that "we should think of identity as a production, which is never complete, always in process, and always constituted within, not outside, representation" (1997, 225)—a process that is wisely illustrated in the mirror episode when Baumgartner struggles to obtain a complete view of himself. Hall's explanation matches Hugo's incapacity to actively engage with the identity assigned to him, just as he is unable to identify his own self with the distorted image projected in the mirror, revealing his individuality to be a construction formed by different socio-political discourses that have nothing to do with his individual choices. According to Hall, there are two models of cultural identity: the first defines it as a culture shared by a collective, while the second focuses on the differences between groups. As has been demonstrated thus far, it is this second type of identity, based on the differences between Self (the Germans, the British, the Indians) and Other (Hugo), which is constructed in *Baumgartner's Bombay*. The novel shows that this process does not only happen in Europe but also in the East. The main character embodies Lyotard's idea of "the jew," understood as the Other in the definition both of the European and the Oriental subject. By transposing this Otherness to the Indian context, Desai reproduces the archetypal nature of Jewishness, which characterises many Holocaust writings, and she personifies the myth of the Wandering Jew as the quintessential symbol of Otherness in order to allude to the universal human capacity to create Others.

The term Other was widely theorised by postcolonial scholars such as Edward Said, Homi K. Bhabha and Stuart Hall to refer to the process by which Western societies have justified the subordination exerted upon foreign societies which challenged their *status quo*. Hall defined the Others as "people who are in any way significantly different from the majority—them rather than us—[and they] are frequently exposed to this binary form of representation" (1997, 229). The process of identity formation observed in Baumgartner exemplifies the way this stereotyping works, reducing "people to a few, simple, essential characteristics, which are represented as fixed by Nature" (257) and denying the subject the possibility of recognising and accepting the jumbled shades forming his personality. Thus, for me, the fact that Desai's main character has become the object of stereotyping wherever he has settled underlines that this is a universal practice. As Sander L. Gilman has explained: "the stereotype is the perpetuation of a needed sense of difference, a difference between the self and the object, which in the creation of stereotypical mental representations becomes the 'Other'" (1991, 13). Consequently, one of the main messages in this novel would be that this deeply-rooted human practice has caused most of the genocides of the twentieth century. In fact, my argument may be supported by the author's explanation that the figure of Baumgartner is not aimed at dealing with the Jewish Question but at representing the whole human condition (Desai 1988, 522).

4. "Bombay which became, by magic, the Berlin of thirty years ago": Genocide, Otherness and Multidirectionality

The universal alienation embodied by Baumgartner is also supported by the multidirectional model of memory organising the narrative, which provides some clues to understand the deepest meaning of this Jewish *firanghi*. Michael Rothberg developed the concept of multidirectional memory "against the framework that understands collective memory as *competitive* memory," thus suggesting that we consider memory "subject to ongoing negotiation, cross-referencing and borrowing; as productive and not privative" (2009, 3; emphasis in the original). Although I agree with those scholars who posit the Holocaust as a caesura in our understanding of history (Lifton 1968, 479), my analysis accords with Rothberg's view that "minority and colonial histories challenged the uniqueness of the Holocaust and fostered research into other histories of extreme violence, ethnic cleansing, and genocide" (2009, 8). The multidirectional model of memory reveals the connections between diverse traumatic events, for all of them have caused suffering to minority social groups. Multidirectional memory "cuts across genres, national contexts, periods, and cultural traditions" and, although it focuses on collective and historical memories, it is never separated from individual stories (14-18). Again, this comparative perspective supports the idea that all forms of genocide are the final manifestation of a process of identity formation that promotes the idea of Otherness, one which is artificially constructed in the public sphere, defining the social attitudes, the policies and the ideologies that sustain societies. Endorsing this line of thought, Rothberg sees clear connections between the discourse of Holocaust and Postcolonial Studies (22-23); connections which are noticeably established in Desai's novel.

In the first place, just as Rothberg claims for the connections between the European Holocaust and the Postcolonial experiences of suffering, Desai creates overt links between the Nazi Holocaust in Germany and the disastrous effects of colonialism in India, leading to the conflict of Partition, by representing a character that becomes a victim of both. The structure of the novel and the arrangement of chapters is multidirectional in itself, linking the main character's current state as an outcast in Bombay to his life in Germany, Venice, the British camps and Calcutta, Desai anticipates Rothberg's model, given that she shows the experiences of marginalisation suffered by Hugo in Europe as a replica of those similar events he subsequently goes through in colonial and postcolonial India.

Secondly, there are instances in which ideologies that are reminiscent of those that led to the Holocaust can be partially observed in India, both before and after partition. For example, the character Farrokh, the owner of the Café de Paris in Bombay, shows the postcolonial subject's abhorrence of a particular kind of European. He rejects the German tourist Kurt, applying comparable principles—promoting Otherness as well as a binary model for the understanding of identity—to those according to which the German people looked down on the Jews, as he refers to him in this pejorative way: "this new race—men who remain children, like pygmies, dwarfs […]. 'But what

is there inside all that big, strong flesh and bones? Hah?' he queried threateningly. 'Anything there? No? You are right. Nothing. Empty. Hollow. Hah!'" (Desai [1988] 1998, 13). This discourse exposes the Indian prejudice towards the stereotype of the white Westerner looking for adventures and mysticism in Eastern countries like India—a quite common figure at the time when the novel was set. Farrokh's vision of these Western people echoes the Westerners' rejection of the Other that affected Hugo as a German-Jew in Germany. Thus, the narrative links two different historical moments by showing similar racist discourses of exclusion, based on stereotypes and prejudiced conceptions of the Other.

The multidirectional model of memory is also achieved thanks to the repetition of events throughout the narrative and the regular atmosphere of chaos that surrounds the main character. Desai uses Hugo to draw parallels between the Second World War in Europe, which he learns about while imprisoned in the Indian internment camp, with the partition of India, which takes place immediately afterwards (162). This endless repetition of armed conflicts makes Hugo come to the conclusion that "his war was not their war. And they had their own war. War within war within war. Everyone engaged in a separate war, and each war opposed to another war. If they could be kept separate, chaos would be averted" (173). These reflections go against the competitive model of memory: Baumgartner sees the war in India as part of the war in Germany; both conflicts, *all* conflicts, being part of the same universal war. He denies the pre-eminence of some armed conflicts over others and highlights that these two supposedly different conflicts cannot be separated. Even though they are taking place in opposite ends of the globe, they are part of the same human chaos. This is the global war that he mentions in the subsequent episode: "Baumgartner felt himself overtaken by yet another war of yet another people. Done with the global war, the colonial war, only to be plunged into a religious war" (180).

This repetition of events is also reinforced at the chronological level of the narrative. At times, some threatening circumstances which the characters have managed to avoid at an earlier point of the narrative reappear afterwards in a different place. For instance, Hugo's father is released from the concentration camp of Dachau, but a similar death comes to him when he gases himself using a domestic oven some weeks later (49). Also, the camp Hugo flees from and the one where his mother dies reappear in the form of the British internment camps in India (103-135), which are described by referring to many images of imprisonment that construct the contemporary mainstream Holocaust imagery. For example, Hugo describes the camps as follows: "in the central internment camp in Ahmednagar where the 'hostile aliens' from all over the country were poured like ants from a closed fist into a bowl of dust, and swarmed there in a kind of frenzy, it became daily more clear that a system was being devised to screen them and find reasons to keep them in captivity" (106). Here, he focuses on the insignificant status assigned to the prisoners in the camps, equated to ants in captivity, and to the mechanisation of their imprisonment. Yet the camp also seems to become a kind of shelter where

dullness and plainness may save Baumgartner from the war outside. These feelings are rendered in this way: "his own life seemed hopelessly tangled and unsightly, symbolised aptly by the strands of barbed wire wrapped around the wooden posts and travelling in circles and double circles around the camp" (111). Although there are various differences between the representation of Nazi camps in contemporary Holocaust fictions (Sicher, 2005; Vice, 2000) and the depiction of the British camps in Desai's novel, some connections can be made since the protagonist's feelings of desolation are associated with the barbed wire—one of the most recurrent Holocaust symbols—which is, like his own life, circular, evoking disheartened and tedious feelings. By disclosing Baumgartner's feelings of hopelessness and emphasising the "concentrationary universe" of the camps, understood as places that cannot be comprehended by human reason due to their extraordinary nature (Rousset 1946), Desai deploys another instance of the multidirectional connections between Germany and India.

Finally, the recreation of Hugo's stream of consciousness continually shows this multidirectional pattern. This can be clearly seen when he witnesses the murder of a boy in Calcutta, and that event makes him imagine his mother's death (Desai [1988] 1998, 179); also, when he goes to the horse races in Bombay, which automatically takes him back to his childhood in Germany when he could not go to the races with his father, "here in Bombay which became, by magic, the Berlin of thirty years ago" (194). These examples show that the multilayered model of memory is not only performed at the structural, ideological and thematic level, but the main character's consciousness also follows a multidirectional association of ideas in which some disturbing event in India forces him to recall and imagine other disturbing events that occurred in Germany.

All these aspects considered, I would argue that in *Baumgartner's Bombay* Anita Desai has "successfully jumped worlds and juggled time" (Jain 1988, 96), supporting Rothberg's tenet that "shared histories of racism, spatial segregation, genocide, diasporic displacement, cultural destruction, [...] provide the grounds for new forms of collectivity" (2009, 23). Forms which acknowledge the power of minor (hi) stories of separation and divergence like that presented by Desai. By juxtaposing the notion of traumatic multidirectional memories and the fact that Hugo embodies universal Otherness, the Jews are not the only ones who cannot escape the devastating consequences of racism and hatred, but it is humanity as a whole that is doomed to fall into repetitive episodes of hostility and violence.

5. "Here the world forced its way in without being asked": Historical Determinism and the Failed Quest for Belonging

The multidirectional model of memory deployed highlights the fact that traumatic collective events are happening every day and everywhere. However, it also points to a determinist view of history that goes back to the Hegelian interpretation of history,

i.e., the doctrine that posits the course of history as "determined by material or spiritual forces that are not open to human volition or change" (Saint-Andre [1996] 2017, n.p.). The philosophy of history elaborated by Georg Friedrich Hegel considered history as a process of constant progress directed by the concept of organic development towards a prescribed end, a dialectical process towards the triumphant end of history in which each successive historical movement emerges as a solution to the contradictions inherent in the preceding movement. In his seminal work *Phenomenology of Spirit*, Hegel openly encouraged this determinism by arguing that world history only worked following the predetermined plan of providence ([1807] 1979). It is one of my claims that Desai's novel exemplifies this view of history.

The circular structure of Hugo's story contributes to this historical determinism: it ends and finishes with Lotte ordering the letters of Baumgartner's mother "as if they provided her with clues to a puzzle, a meaning to the meaningless" (Desai [1988] 1998, 230)—a remark that ironically shows the impossibility of understanding the ending to Hugo's life or that of his mother. The novel consistently shows the individual's inability to alter the occurrence of events through Hugo's consciousness. For instance, he elaborates these significant thoughts: "the *lunacy* of performing acts one *did not wish* to perform, living lives one *did not wish* to live, becoming what *one was not*. Always another will *opposed* to one's own, always another fate, not the one of one's *choice* or even making. A great *web* in which one was *trapped*" (173; my emphasis). Through the accumulation of verbs that indicate lack of agency as well as negative and contradictory expressions, Hugo reflects on how Partition is destroying Calcutta, and his ideas advocate the view that he, as an individual, is not free to determine his fate. History is depicted metaphorically as a web from which the individual cannot escape.

Furthermore, this view on history is manifest in Hugo as a protagonist who is a passive character unable to get involved in his historical context. History happens to/through him and he cannot react and alter the course of events. Several episodes substantiate this claim. For instance, while he is surrounded by the chaos of the war in Calcutta he is depicted as "struggling yet *static* in the crowd at the station" (90; my emphasis); and he is usually described as a voiceless man: "silence was his natural condition" (117). Also, the following passage shows his reaction after the German defeat in the Second World War: "he stood helplessly, only aware how *crushed* and *wrecked* and *wretched* a representative he was of victory. Couldn't even victory appear in colours other than that of defeat? No. Defeat *was heaped on him*" (135; my emphasis). Again here, although the alliteration of suffocating sounds evokes the character's abhorrence of violence and war, he remains unable to react after the Allied victory. Also, the use of the passive form underlines his role as an inactive agent to whom defeat has been assigned by invisible historical forces. This aspect is made clearer when the narrator says: "the life of Bombay which had been Baumgartner's life for thirty years now—or, rather, the setting for his life; he had never actually entered it, never quite captured it; *damply*, *odorously*, *cacophonously* palpable as it was, it had been elusive still" (214; my emphasis).

According to these words, individuals like Baumgartner cannot interfere with the historical setting around them. Even though this setting is supposed to trigger one's senses and feelings, as the gathering of adverbs of manner shows; the only state that they can adopt is stillness, becoming puppets in a stage that they cannot alter.

This interpretation of the world is also supported by the various premonitions displayed in the narrative. In this sense, the initial racist discourse delivered by Farrokh—"it is now white man killing and robbing black man. And white man killing white man too" (Desai [1988] 1998, 16)—foretells the fatal ending of the novel. Moreover, just as the Hegelian philosophy considers history as a predetermined occurrence of events, Desai's novel harbours the view that once history is put into action there is nothing that can stop it. This can be seen in the following episode: "the trouble with such fascinating sights was their silence,[5] their tedium, the endless repetition of forms and actions that blurred and turned into endless labour of human forms—bent, driven into black caves from which they did not re-emerge. Nacht und Nebel. Night and Fog. Into which, once cast, there was no return" (119). This passage includes a deep reflection on general history and, more particularly, on Nazism. These thoughts are rendered while Hugo is in the British internment camp, where days seem endless. This is an aspect which he relates to the Nazi extermination camps, as he uses the German expression "Nacht und Nebel. Night and Fog" to describe the pointlessness of life in the Indian camps. This particular phrase was used by Hitler to condemn Nazism's opponents without a court order; in fact, these words were responsible for many deaths during his regime. The fact that Hugo parallels the feeling of endless repetition he experienced while being imprisoned with one of the Nazi formulas for carrying out mass killings works to frame both the British internment camps and those created by the Nazi regime within that cyclical view of history from which the subject cannot escape, cannot return. Another relevant instance of this is observed when Partition forces Hugo to realise that: "*Here the world forced its way in without being asked*: a hundred radios invaded it, either with the mournful songs so beloved of the Bengalis, full of regret, sorrow and sighs, or the rapid gunfire of news bulletins that marked the hours of the day and night" (175; my emphasis). Once more, the first sentence in the previous quotation aligns the novel with Hegel's determinism. Indeed, Anita Desai explained that she wanted to depict this view of history in her novel: "history as a juggernaut [...], something that once it's set into motion can't be stopped and crushes everything in its way" (quoted in Fielding 2000, 14). As has been observed, history has completely crushed Baumgartner's life.

All these aspects reach their maximum expression with the ending of the novel, the part that has received most critical attention. Hugo accepts the young German tourist despised by his fellow Indian into his house, but the German kills Hugo and steals his

[5] These "sights" refer to the scarce vestiges of life that can still be appreciated inside the camps. Baumgartner spends a lot of time observing the behaviour of the insects around him as a way of killing time in this tedious setting, which leads him to reflect on the futility of human life.

adored silver trophies,[6] escaping without being caught by the police. Thus, repetition has its most obvious manifestation here: the Jewish character is killed by the German in order to steal his silver trophies, years after his parents' deaths in Germany. In spite of the belatedness, a seemingly predetermined destiny catches up with him.

The two possible interpretations of this ending make the complexity of Desai's novel evident. On the one hand, if we link the theories about Jewishness exposed in the first section with this conclusion, we could argue that German-Jewish destiny as depicted in the book echoes the fatalistic view of history according to which the Jews cannot escape their fatal destiny. If read only in this light, the final message of the novel could be quite negative as it would turn the main character into a redemptory figure whose death validates the suffering experienced during his life. In this recreation of a story related to the Holocaust, Desai's work would reinforce negative connotations of Jewishness by portraying Hugo as a scapegoat figure who, in Todorov's terms, deprived of his freedom to choose his destiny, is deprived of his humanity altogether (1997, 61). Yet, on the other hand, I would argue that the fact that Desai deploys the process of Otherness both in the West and the East, together with the multidirectional model of memory and history previously identified, means the Jew is turned into a universal symbol of the impossibility of escaping the workings of history. Thus, the Holocaust acts here as a metaphor for the general condition of humanity and Hugo's destiny contributes towards this casting of light on the human condition. This is an aspect which becomes more apparent when Baumgartner's death is depicted as part of a theatrical scene—"the audience shivered with delight" (228).[7] A theatricality that illustrates that human beings are the audience of history and that history will go on and on, as it appears to do after Hugo's tragic death: "Other things to do, after all. Have to get on, with living" (229). This effect has been enhanced by the circularity of the novel as well as the multidirectional connections established at the formal, symbolical and ideological levels, launching a reflection on the meaninglessness of human life, and turning Hugo's failed quest for identity into a metaphor for humankind.

Following this interpretation, readers are left with a pessimistic view of the destructiveness of human beings, and might have to come to terms with the same feelings experienced by Hugo, namely that such destructiveness does not make any sense but cannot be avoided: "Germany there, India here—India there, Germany here. Impossible to capture, to hold, to read them, make sense of them" (216). Even though

[6] These trophies are of special importance for Baumgartner because he obtained them when gambling in the horse races during the first period of his life in Bombay. As soon as he arrived in the city, Chimanlal became his first employer; he was a business man that was very nice to him and gave him the prizes they won in the races in order for him to remember these lucky times. Baumgartner never sold the trophies and kept them since that time as they symbolised that moment of his life when he thought his luck could change and a new beginning could take place in the city of Bombay (194).

[7] This "audience" meaning Baumgartner's neighbours together with the police officers that appear to contemplate the crime scene.

it partly reinforces the view of the Jew as the eternal Other, the fact that this Jew is the Other in the West *and* in the East demonstrates that Desai has employed this stereotype in order to point out its universality. By depriving the Other of its particularity, she makes it applicable to a more general post-Holocaust and postcolonial human condition. Baumgartner's story acquires a universal meaning that has been defended by the writer when she argued that: "Hugo is not representative of the Jewish race to me but of the human race, of displaced and dispossessed people and tribes all over the world. [...] In India this happened to Muslims, in Pakistan to Hindus, it is still happening—people are being victimized because of their religion, or caste, because of war and history" (in Fielding 2000, 145). By making the main character die at the hands of one of those who would have killed him had he not escaped the Holocaust, the book reinforces the fatalistic Jewish view of history, that which dooms Jews to endlessly endure all kinds of miseries. Yet this is done to disclose the human disposition towards stereotyping practices and to unveil the historical determinism according to which in this novel, history is "a process of endless and meaningless re-enactment" (Newman 1990, 51).

6. No Escape from the Holocaust (Metaphor)?

Reading this novel through the lens of Jewish and Holocaust Studies allows me, then, to conclude that the character of Baumgartner should not be dismissed as a stereotypical representation of the Wandering Jew. However, as Stähler argues, Desai's intention of "stressing the universal character of suffering of which the Holocaust [and the traditional Jewish stereotype] becomes a sign" contributes to reaffirming a common humanity (2010, 85), one that is condemned to repetitive cycles of destruction. *Baumgartner's Bombay* endorses the current tendency to see historical and collective traumatic episodes within a more interrelated global context. In reading the novel within the context of the multidirectional model of memory, I find that Desai's work successfully challenges the competitive models of memory that attempt to politicise the degrees of victimisation of different collectives and the notion that Jewish suffering is unique. Likewise, by turning the Holocaust into the constant haunting element of the narrative, the novel still supports the discourse which sees it as a *referent* of the traumatic nature of the twentieth century. As such, my study shows that novels like Desai's do not foster an *either/or* view on the relevance of the Holocaust in current processes of memory negotiation, but rather they reveal the miscellaneous shades of those hegemonic views on history and binary interpretations of the world which are still predominant in our world. Thus, *Baumgartner's Bombay* substantiates the argument that the Holocaust has become a cultural metaphor alluding to a broad range of recent conflicts. The characters of this novel cannot escape the Holocaust, neither as victims nor as perpetrators, and the fact that the Holocaust is linked to the traumatic collective history of Partition and India's postcolonial legacy can be read as a metaphor in itself. Not only is Baumgartner unable to escape his Holocaust as a Jew,

but modern societies cannot escape from it either as the metaphorical meanings of Otherness, alienation, war and evil associated with it haunt our collective memories.

Nevertheless, just as one of my main claims is that the multidirectional re-interpretations of history and memory that appear in Desai's work should be welcomed, I would also argue that the deterministic view of history cultivated by this novel has several limitations. The structure of the novel, the inalterable interconnection of fatal events and the representation of such a passive protagonist may generate feelings of impotence, thus launching a reflection on human powerlessness in the face of the socio-political forces that move history. Yet this also shows a crude reality: as individuals, we are manipulated by forces which are out of our control once history has been set in motion. These are the same forces that have led civilisations to perpetually rise and fall, to put it in Eliotean terms. But, if books like this point a finger at these forces, their disastrous consequences and the universality of the human suffering that they provoke, perhaps they should also be viewed as a first step towards escaping the Holocaust as a metaphor for the worst atrocities of which humanity is capable, and in striving for refreshed views on memory and history according to which human beings are much more interrelated and implicated in each other's fates.

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Oblique Kinds of Blackness in Esi Edugyan's *Half Blood Blues*

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This paper addresses the meanings of blackness in Esi Edugyan's second novel, arguing that the text lends itself up to a multiplicity of readings. On one hand, this is achieved by exploring the historicity and geography of race, insofar as the text dwells on how the totalitarian German state and the Second World War concur to impose shifting and sometimes even antagonistic forms of racialization on all non-Aryans. On the other, it is the result of bringing together characters that, while phenotypically belonging to the same group, are yet altogether dissimilar as to origins, language and upbringing. Consequently, the novel showcases experiences and subjectivities across the spectrum of what Paul Gilroy has named "the Black Atlantic."

Keywords: Canadian literature; Afro-Europeanness; Black Atlantic; African diaspora; jazz; Esi Edugyan

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Negritudes oblicuas en *Half Blood Blues*, de Esi Edugyan

Este artículo se centra en los significados de la negritud en la segunda novela de la escritora canadiense Esi Edugyan, argumentando que el texto potencia múltiples lecturas. Por una parte, este efecto se consigue mediante la exploración de la raza desde una perspectiva historicista y geográficamente situada, ya que la obra analiza cómo el régimen totalitario alemán primero y la Segunda Guerra Mundial después coinciden en imponer formas de racialización diversas y a veces contradictorias sobre las poblaciones no arias. Por la otra, es igualmente el resultado de la convergencia de personajes que, aunque puedan ser agrupados fenotípicamente, de hecho, poseen características distintivas en cuanto a su origen, lengua y formación. Por todo ello, la novela constituye un claro ejemplo de las diversas experiencias y subjetividades afrodiaspóricas que Paul Gilroy denominó "el Atlántico Negro."

Palabras clave: literatura canadiense; afroeuropeidad; Atlántico negro; diáspora africana; jazz; Esi Edugyan

1. Introduction

Canadian author Esi Edugyan's fiction to date characteristically takes risks by depicting black experiences that fail to follow the scripts most familiar to a Canadian readership: the legacy of slavery and migration and adaptation to a large, mostly unwelcoming Canadian city.[1] Her first novel, *The Second Life of Samuel Tyne* (2004), focused on a lone black family in a white community of rural Alberta rather than in the midst of a multicultural metropolis. The second, *Half Blood Blues* (2011), shifts its settings to continental Europe in the 1930s and follows the tragic fate of an isolated black figure cast adrift in the midst of the savagery brought about, first, by the fascist rise to power and, subsequently, by the Second World War. In reframing race within more unexpected and lesser known contexts, Edugyan's texts challenge the reader to envision alternative forms of blackness in ways similar to those of another black Canadian writer, Wayde Compton, who has argued that "[t]here are things to be learned from owning and exploring *oblique kinds of blackness*. In the periphery, where there are fewer local expectations of what 'the black experience' ought to be, radical experiments of identity can be tried. And where the standard continental systems of anti-black racism have been unevenly applied, new systems of thought against racism might be expected to emerge" (2010, 13; my emphasis). Taking my cue from Compton, this paper contrives to unpack the meanings of blackness in Edugyan's second novel. I argue that instead of offering one sole meaning, one experience for the reader to take on board and respond to, the text lends itself up to a multiplicity of readings and meanings. On one hand, this is achieved by exploring the historicity and geography of race, insofar as the text dwells on how the totalitarian German state and the Second World War concur to impose shifting and sometimes even antagonistic forms of racialization on all non-Aryans. On the other, it is the result of bringing together characters that, while phenotypically belonging to the same group, are yet altogether dissimilar as to origins, language and upbringing. To that purpose, the novel showcases experiences and subjectivities across the spectrum of what Paul Gilroy has named "the Black Atlantic" (1993).

Edugyan's strong focus on the workings of racialization during the troubled 1930s and 1940s in Europe emphasizes the grammar of the readability of race on the basis of predetermined ideological positions, by setting up contrasting situations in which non-whiteness is visible or invisible to the viewer, and when the former, by looking into how it is construed. This is a subject in which Compton's ideas come in useful too, particularly as developed in his essay "Pheneticizing versus Passing" on the nuances of visual perception and the language of racialization. In it he takes exception to the term 'passing' due to the way it places the responsibility for seemingly crossing racial

[1] The author wishes to acknowledge the funding provided by the Spanish Ministry of Economy and Competitiveness (Research Project "Bodies in Transit," ref. FFI2013-47789-C2-1-P) and the European Regional Development Fund for the writing of this essay. Thanks are also due to Libe García-Zarranz and Beatriz Domínguez-García for their insightful comments on an earlier draft presented in the "Bodies in Transit" workshop held at Magdalene College (University of Cambridge, UK) on September 19th, 2016.

boundaries (intentionally or not) on the person viewed, rather than on the viewer: "The predisposition to make the *viewed* responsible for what the *viewer* sees, reinforced by such inexact terminology, locks together dangerously with prejudices already in play against mixed-race people, who are often seen as inherently destabilizing, ambivalent, or disloyal by definition" (2010, 23; emphasis in the original). Compton then goes on to coin two complementary terms, "pheneticizing" and "cladistizing," to name how people look and what their ancestry is, respectively. Racial passing, as will be described below, constitutes a recurrent theme in *Half Blood Blues*, as the title strongly suggests, and so Compton's terms will be of service in the analysis of this text in order to tease out the nuances of racialized discourses at work within it.

The complex representation of blackness in *Half Blood Blues* is further compounded by the non-linear arrangement of the story and by the conflicting accounts it incorporates. The book opens with the description of the arrest of Afro-German jazz musician Hieronymus ("Hiero") Falk by the Nazis—"Paris 1940"—and closes by providing some of the long delayed answers as to his later circumstances—"Poland 1992." In between those two dates, the narrative shuttles from the repressed memories of those hard times revisited in two large central sections—"Berlin 1939" and "Paris 1939"—to two shorter contemporary units both set in "Berlin 1992" recording Hiero's friends' troubled feelings over their recovery. One of them, the African American musician Sid Griffiths, is the story's narrator, but the author has embedded in the narrative certain clues to suggest his unreliability. Sid acknowledges hiding Hiero's passport and thus being instrumental in his arrest and deportation to a death camp, but he attempts to justify his betrayal by emphasizing how important it was to complete the recording they were engaged in, also named "Half Blood Blues." Sid's guilt over his role in Hiero Falk's tragic fate has plagued him for decades. He is haunted by Hiero's ghost to the extent that he gave up music after he managed to escape war-torn Europe and make his safe return to the United States. It is this haunting that constitutes the narrative's centre, as the repressed memories return with renewed force decades later, on the occasion of a festival in Berlin that will honour Falk's genius and with the surprising news that he is alive and resides in Poland under another name. Following Avery F. Gordon, haunting can be effective as a vantage point from which to examine the social exclusion of non-white people, and more specifically for my purposes here, the exclusion of people of African ancestry that constitute the novel's core. For Gordon, "[t]o write stories concerning exclusions and invisibilities is to write ghost stories. To write ghost stories implies that ghosts are real, that is to say, that they produce material effects. To impute a kind of objectivity to ghosts implies that, from certain standpoints, the dialectics of visibility and invisibility involve a constant renegotiation between what can be seen and what is in the shadows" ([1997] 2008, 17).

In *Half Blood Blues*, the borders of visibility/invisibility, excluding/including are noticeably in flux, the subject of successive renegotiations for which the character of Hiero Falk is the main—but not the only—sign. In order to analyze these discursive

negotiations, I will start by describing the historical context in which they take place, Europe in the 1930s and 1940s, and consider both Edugyan's handling of the subject and its import for (black) Canadian Literature.

2. The Politics of (In)Visibility: An Unlikely H(i)ero in (Afro-)Europe

In one of the sources for Edugyan's *Half Blood Blues*, the memoir *Destined to Witness: Growing Up Black in Nazi Germany* (1999), Hans-Jürgen Massaquoi critiques the fact that "[b]ecause Germans of my generation were expected to be fair skinned and of Aryan stock, it became my lot in life to explain ad nauseam why someone who had a brown complexion and black, kinky hair spoke accent-free German and claimed Germany as his place of birth" (xiii). Edugyan's interest in the history of black people in Europe was awakened after the publication of her first novel during the year she spent in Germany, a country in which Afro-Germans account for some 167,000 people in some estimates (Blakely 2009, 187) and 300,000 in others (Wright 2004, 185) out of what is roughly a total of eighty million: "As a black woman living in what is, admittedly, a homogenous society (compared to Canada), I began to wonder about the experience of black people who had lived in Germany in the past, specifically during the Third Reich" (Edugyan 2011b, n.p.). Michelle Wright records that, although the presence of black people in the country is much older, most Afro-Germans alive now can trace their origins back to three time periods, the Allied occupations after the First and the Second World Wars, and the postwar years, from the 1950s onwards (2004, 185). Chronologically, the birth of the protagonist of Edugyan's novel tallies with the first of those moments, the Allied occupation of the Rhineland. Over 100,000 troops from western and central Africa had fought in France during the Great War (Khalfa 2008, 15), and between 20,000 and 45,000 black French soldiers were stationed in the German Rhineland in the years 1919 to 1921, many of them from Senegal (Lusane 2002, 72). In *Half Blood Blues*, Hiero's is "a typical war story, but with a kink," that is, Hiero is one of the denigrated "Rhineland Bastards," and he grows up in Cologne bullied by his classmates, enduring their taunts and name-calling by going "to some cold place inside himself to wait out the teasing" (Edugyan 2011a, 210 and 209, respectively). As he is later re-fashioning himself as a jazz musician, Hiero manufactures a more acceptable past as the son of a Cameroonian prince studying Medicine in Hamburg who met and married a young German student of Nursing. Hiero's spurious biography is in fact modelled on the real one of Hans-Jürgen Massaquoi, born in 1926 to the oldest son of the Liberian general consul and a German nurse (Massaquoi 1999, xiii).

Edugyan has made selective use of Massaquoi's memories, often so as to bring out into the open the theme of the politics of (in)visibility. On one occasion Massaquoi recounts a visit to *Hagenbecks Tierpark*, Hamburg's famous animal park, which also featured "culture shows" that included "'primitive peoples' exhibits." There was an African exhibit displaying a spectacular array of African wildlife, but also an "'African

village,' replete with half a dozen or so thatch-roofed clay huts and peopled, we were told, by 'authentic Africans'" (1999, 25). Such ethnographic displays were popular throughout Europe at the time in conjunction with Europe's colonial expansion in Africa, as the sad story of the nineteenth-century South African woman known as Sara Baartman or "the Hottentot Venus" proves.[2] Massaquoi goes on to describe his shock at discovering Africans that looked nothing like any of his relatives or other African acquaintances, and how mortified he felt at being spotted by the Africans, who "as if they had seen a long-lost relative, [...] were all pointing and grinning" at him, which in turn made other visitors point at the black boy in their midst, mistaking him for "one of 'them'" (1999, 26). This powerful moment of simultaneous recognition—directed from the Africans towards the black German child—and misrecognition—from the white Germans towards the black boy—left a lasting mark on Massaquoi's psyche. For the first time he was discernibly and painfully viewed by other Germans as not one of their own kind. Following Compton's terminology, we could say that he was "pheneticized" as African by both kinds of viewer. This opened the first clearly recognizable fissure in his complete self-identification as both German and black, one that would grow as time went by and the Nazi ideology of race took over, predicated on a strong pre-existing layer of racism against all non-Aryans.

Significantly, one of the novel's most provocative passages builds on this memory (Edugyan 2011a, 168-171). Hiero similarly takes his friend Sid to *Hagenbecks Tierpark* and there is a significant exchange of looks between the African villagers and Hiero, but it is constructed in an altogether different way. There is no sense of embarrassment, no attempt to hide himself from the gaze of other Germans. Rather, Hiero's emotions veer towards resignation and acknowledgment: "Hiero ain't even blinked. There wasn't no shared curiosity in that gaze, no sense of shock. Just calm resignation, like when a man gazes at a portrait of hisself from another time" (171). The fracture in the self-perception of the black subject's German identity in Massaquoi's text is replaced here by a powerful realization—and even an acceptance of—the impossibility of such a double identity. We are given to understand that someone phenotypically black is unintelligible as German.

The difficulties of Hiero's life in the periphery of German citizenship as Afro-German are mitigated by the conviviality of the jazz band he joins, the Hot-Time Swingers, which is cast as a multicultural, multiracial group. Besides the African American musicians Chip Jones and the aforementioned Sid Griffiths, the band featured three Germans: one was a Jew, Paul Butterstein, and two were white, Big Fritz Bayer and Ernst von Haselberg, although from different classes, the latter hailing from the aristocracy. With the eventual inclusion of African Canadian Delilah Brown, the ensemble could hardly be any more dissimilar, joined only by their shared love of jazz. This multifaceted, open space is further characterized by its deployment of two

[2] On this general subject, see Archer-Straw (2000, 30-33); for Sara Baartman, see Hudson (2008).

syncretic languages: jazz—a blend of African rhythms and European instruments—and a multilingual combination of German and African American-inflected English, which later incorporates bits of French, an idiosyncratic speech that mirrored their complex identities. While making music as much as when talking to each other, the ensemble members became interlocutors in a complex, multilayered exchange, so that, as Molly McKibbin has aptly remarked, what "the novel proposes [is] a sense of diasporic community based on cultural expression" (2014, 424). However, the band's dialogical potential—that is, their music, but also their ability to produce this hybrid space or "third space"—was affected by the changing political climate. In fact, the description of the jazz band as filtered through Sid's memories betrays a conspicuous nostalgia for the more racially inclusive and tolerant atmosphere in 1920s and early 1930s Europe.[3] Several sections allude to this happier period between the wars, and more specifically the 1920s, when there was an international "eruption of black expressive cultures and political initiatives," as Brent Hayes Edwards points out (2003, 2). *Half Blood Blues* is set in the period of swing's highest popularity on both sides of the Atlantic, and its fictional jazz ensemble was one of many that catered for the European jazz craze. For Eric Hobsbawm, jazz music met the demands for leisure and entertainment of the urban middle classes and its rapid diffusion throughout Europe issued from its association not just with African exoticism, but also with American modernity (1998, 267). Europe rapidly became an important market for jazz, Berlin at the time boasting over twenty cabarets (Kater 2003, 4): "Played in nightclubs, it attracted a young, urban, bohemian audience that identified the music's syncopated rhythms with its own feelings of anxiety and anarchy" (Archer-Straw 2000, 107). Fittingly, in the text, Sid Griffiths recollects how his own band played in the best nightclubs, had fans across the continent, and made five famous recordings, while critics enthused over "German jazz's ingeniously complex rhythms" (Edugyan 2011a, 109) and African American musicians were welcomed with open arms, as they provided jazz bands with "black authenticity" in what were otherwise white ensembles: "See, we hailed from the cradle of jazz, and that gave us a feel for the music. I ain't saying it was racial. It had to do with rubbing up against jazz in your tadpole years" (Edugyan 2011a, 46).[4] Like Berlin, Paris, and more specifically Montmartre, underwent a radical cultural transformation: "Street life, soul food, strolling, and hairstyles—all familiar elements of Harlem's ambience—gave the quarter the name 'black Broadway' in black Paris, or Harlem in Montmartre" (Shack 2001, xvi). Indeed, the City of Light was home to a sizeable black community between the wars, and interest in black culture was so strong that Petrine Archer-Straw refers to this as a period of "Negrophilia," a term used by the Parisian avant-garde in

[3] I invoke here Horni Bhabha's concept of a "third space" of reinscription and negotiation in *The Location of Culture* (1994); see also his interview with Jonathan Rutherford (1990).

[4] This assertion may well exaggerate historical facts, as Kater estimates that "among the foreigners employed by German dance or jazz bands, there were extremely few blacks" (2003, 20) even though American bands came on tour.

order to defy bourgeois values (2000, 9). By 1939, the year the members of Edugyan's fictional band arrive in Paris, a community of black musicians and other entertainers had been thriving for two full decades, including such celebrities as Josephine Baker, who is glimpsed in the novel "sashaying all about town with those ridiculous swans and leopards and god only knows what else all following behind" (Edugyan 2011a, 248). Moreover, Paris as a multicultural "contact zone" had an advantage even over the United States, then under the grip of Jim Crow legislation, as a fictional Louis Armstrong off-handedly attests in the novel by remarking that French people treat blacks "a sight more decent than where we from" (260).[5]

The glamourous and overall positive tones of the "black Broadway" image and the stock-piling of famous historical figures in those sections of the novel help the author to set up a striking contrast with those chronologically later sections set in Nazi Berlin and in German-invaded Paris where she further develops her overarching theme that race in general and blackness in particular is not biological and that it is subject to constant renegotiation. Her case is made more obviously when it comes to historical Nazi discourses on non-Aryanness.[6] Edugyan in this sense has followed studies such as those by Clarence Lusane, who contends that "the Nazi racial agenda, rhetoric and practice changed over time, was unevenly applied and carried out, and was often contradictory, especially in the case of Afro-Germans and the experiences of other people of African descent" (2002, 6). Likewise, in his memoir Massaquoi had reflected on his unusual luck in being spared the fate of millions of non-Aryan people—extermination, sterilization or medical experimentation—largely attributing it to the fact that "blacks were so few in numbers that they were relegated to low-priority status in the Nazis' lineup for extermination," concluding that he "fell through the cracks of modern history's most extensive, most systematic mass-murder scheme" (1999, 16).[7] Edugyan registers the inconsistencies through the foreign eyes of Chip Jones, when he perceives that "Krauts got some kind of ladder when it come to blacks. Not like what been going on with the Jews" (2011a, 260). Black foreigners, he claims, are treated fairly, but Afro-Germans are instantly classified as "Rhineland bastards," and thus as physical reminders of Germany's humiliating defeat, as well as threats to the purity of the German race. As Chip continues: "'But if you a black Kraut, a *Mischling*, like our boy here, [it] get real ugly'" (260).

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[5] I follow Mary Louise Pratt's definition of a contact zone as "the space and time where subjects previously separated by geography and history are co-present, the point at which their trajectories now meet. The term 'contact' foregrounds the interactive, improvisational dimensions of imperial encounters so easily ignored or suppressed by accounts of conquest and domination told from the invader's perspective. A 'contact' perspective emphasizes how subjects are constituted in and by their relations to each other" ([1992] 2008, 8).

[6] On the definition of Aryanness in the period, particularly the legal nuances of the term, see McKibbin (2014, 413-418).

[7] However, other Afro-Germans were not so fortunate. Tina Campt has collected in *Other Germans* (2004) the testimony of Hans Hauck, who was sterilized.

Different racializations are, then, not just the result of different geographical coordinates and nation-states, but are historically driven. As the narrative unfolds, Edugyan manages to record momentous changes in racial policies and attitudes across the 1930s through their material impact on the band. The beauty of the music and the harmonious interracial collaboration it thrives on set up a strong tension with the darkness of the historical period. As Sid's memories guide us into the past, the impossibility of maintaining this "third space" of resistance against overwhelming odds becomes more evident. By 1939 Nazi discrimination against non-Aryan music had triumphed. Those that praised jazz now condemned it as "Jewish-Hottentot frivolity" (2011a, 110), that is, as a "degenerate" subculture that had to be expunged. The downturn in the band's fortunes is conveyed through the Gothic aesthetic that Edugyan also embraced in her earlier work, *The Second Life of Samuel Tyne*.[8] Thus, the fearful characters moving in a newly hostile Berlin become ghostly presences, seeking the safety of invisibility: "Even two years ago, we like to holler through these damn streets like we on parade. Now we slunk in the shadows, squeamish of the light" (97). The Gothic aesthetic does not only affect bodies but also spaces. Locations in the wartime sections are markedly claustrophobic. In "Berlin 1939," the once crowded, sophisticated nightclub "The Hound," erstwhile home of the Hot-Time Swingers, has been shut down and become yet another ghost of the past. Although at the beginning it is not "a dive" (79), after a Nazi ambush the members of the band are trapped within the venue for several days, unable to go out but also frightened of who might come in. The space becomes even more claustrophobic when the SS enter and search the club and the musicians are forced to hide in a small dark closet behind the stage, infusing the whole "Hound" with their fear: "I ain't never thought fear had a taste. It does. In that small darkness it was a thing filling my nostrils, thick as sand in my throat, and I near choked on it" (114). Fear also follows them to wartime Paris, where they all share an apartment, once more trapped inside a small space for months on end as the German troops advance, hiding behind blacked-out windows and awaiting a miracle. By then the band has suffered an onslaught. First, they lost Paul, when he was arrested and deported to the concentration camp of Sachsenhausen, where he would die, an event that foreshadows all subsequent losses. Later, they suffered Big Fritz's defection to another band, and by Ernst's decision to stay behind in Germany, in compliance with his father's wishes, in order to secure his friends' safe conduct to Paris when Berlin becomes hostile to black people. Once there, it will be Hiero's turn to be arrested, so that eventually only Sid and Chip remain of the original band. The narrative voice of a much older Sid stresses the ghostliness of their experiences when he summarizes their story early on in *Half Blood Blues*: "Think about it. A bunch of German and American kids meeting up in Berlin and Paris between the wars to make all this wild joyful music before the Nazis kick it

[8] For more on the manifestations of the Gothic in contemporary Canadian literature and their import in the context of the subgenre of postcolonial Gothic, see Sugars and Turcotte (2009).

to pieces? And the legend survives when a lone tin box is dug out of a damn wall in a flat once belonged to a Nazi? Man. If that ain't a ghost story, I never heard one" (35).

The section located in Paris, 1940, further exposes the arbitrary racialization that non-whites are subject to and the rapidly shifting forms of discrimination and exclusion attached to it. Hiero, Sid and Chip arrive in Paris just hours before the declaration of war against Germany, which converts Hiero, as a German citizen, into the enemy. Once more, a rift occurs between race and nation. Although phenotypically the French would "read" him as a French colonial soldier—and therefore a friend—his German language and culture exclude him—and so he is the enemy. Again, an Afro-German identity becomes unacceptable. As a result, Hiero must walk the beautiful streets of Montmartre in complete silence, hoping for his blackness to be construed as the outward sign of a French colonial identity. Such initial silencing is followed by an even grimmer situation as the French start losing the war and they decide to round up all Germans still remaining in the country. Gradually, things worsen for Hiero, as well as for Chip—who, unlike Sid, cannot pass for white—as the Germans advance towards Paris and the French authorities leave the capital for southern France. At that point, and in a complete turnaround, the fact that they are "pheneticized" as the retreating colonial soldiers, who have failed to fight off the German advance, places them in jeopardy from angry French civilians who target them with both verbal and physical violence (2011a, 296-300 and 313). The third and final shift occurs with the German occupation of Paris, which returns Hiero to his untenable Afro-German identity, and from there to his arrest and deportation to a concentration camp, where only extermination awaits. No other resolution appears viable for the conundrum of his paradoxical doubleness. In *Dreaming of Elsewhere*, Edugyan has admitted to having drawn while she was writing the novel from her own reactions on her first visit to Ghana, her parents' country, specifically "that dizzying feeling of not-belonging in a place where everything is at once both strange and familiar" (2014, 25). Partly at least, what she is describing accords with the scene of recognition and misrecognition between Hiero and the African villagers analyzed above. In particular, by narrating the successive turns and shifts in how black people are viewed by others, and how these always seemingly result in some form of exclusion, the novel successfully explores the periphery constituted by Hiero Falk. He is the outward sign that allows the author to make a case against the arbitrariness of race by denouncing the inherent contradictions in the historical theories and practices of racialization.

However, as the Paris episodes prove, the diverse forms of blackness that *Half Blood Blues* showcases do not end with Hiero Falk. On the contrary, as mentioned above, Edugyan's fiction brings characters taken from other black constituencies to the forefront of the story. In contrast with Hiero's isolation and exceptionality as an Afro-German stands the normative black identity represented by the African American musicians Sid Griffiths and Chip Jones, who display the confidence of those who have grown within the fold of a large black community. By selecting Sid as the narrative voice,

his black-inflected speech pervades the text and channels his world vision as being the dominant one, the norm to the exception embodied by Hiero's life and art. In fact, one of the main threads in this complex work is the rag-to-riches story of the two African American friends, who started out playing jazz in Baltimore's speakeasies at the tender age of thirteen and whose strong bond derives from having struggled together to make their way out of poverty. Even though they share a similar upbringing and many years of friendship, the two characters are shown to be racialized very differently. Edugyan herself has drawn attention to the asymmetrical links between physical appearance and citizenship in her fiction:

> The physical difference between the characters in my novel gradually began, for me, to become entangled with their sense of identity, as their freedoms were curtailed or widened accordingly. Sid Griffiths, a light-skinned African-American, can walk freely through the streets of Berlin without dread; Chip Jones, his darker-skinned friend from Baltimore, cannot. Paul, the band's pianist, is an Aryan in everything but blood: blonde, blue-eyed, and Jewish. Hieronymous, as a Black German, is declared a "stateless" person and denied citizenship in his own country. No man among them is allowed to be his authentic self. (2014, 18)

As the author notes, Chip's darker skin places him in constant jeopardy, while Sid is so light he can pass for white if he so wishes, which establishes a powerful difference between them, made explicit in a number of scenes in which passing is entirely performative, that is, "a dialogically negotiated act between the one passing and those who would accept or deny, support or sanction, that passage" (Alexander 2006, 70-71). Wayde Compton has pointed out that racial passing is usually seen as a deceptive act, one in which the person deliberately chooses to adopt another ancestry, and as a result is often perceived as a morally questionable one (2010, 24). This is precisely the way in which racial passing is codified in the novel. It consistently bears negative connotations, most often being associated to a kind of self-erasure and self-denial, for example in Sid's memories of their difficult times in Berlin towards the end, where their peripheral status as barely tolerated visitors is linked to some of his family's opting to pass for white: "And I thought of my ma's family back in Virginia, fair as Frenchmen and floating like ghosts through a white world. Afraid of being seen for what they truly was" (Edugyan 2011a, 97). Moreover, racial passing is not limited to the black characters. A strong parallelism is suggested between Sid Griffiths and Paul Butterstein, whose blue eyes and blonde hair make him "the perfect Aryan man" although he is of Jewish descent (75-76). In one of the earliest scenes in the novel, Sid watches Paul talk and smile charmingly to a man wearing the Nazi party badge on the tram, something that truly nauseates him while being essential to his survival. As Sid bitterly concludes: "sometimes it seemed we'd passed right out of our own skin" (78). The use of the plural pronoun is very significant, as it highlights the strategic alliances

between Jews and blacks in being placed in similar social circumstances. Each act of passing, however, takes its toll. Paul is described as having shaken with fury as he got off the tram, and the constant pressure to assume a fake identity and the need to repress his righteous anger torture him. Like Compton, then, Edugyan displays in *Half Blood Blues* a keen interest in the exploration of various contexts for passing: as a deliberate form of self-denial that can bring interesting social or economic rewards; as dictated by the need to survive in extremely hostile environments; or as an unintentional act of transgression whose responsibility rests solely with the viewer and depends on the racial policies of the period.

Nevertheless, while the novel constitutes a powerful account of the racially exclusionary acts enforced by Nazi legislation at the time, it also manages to contain a strong resistance to them by means of the aesthetics and ethics of jazz. In a defiant move, Hiero decides to record the music that will make his name years later, the "Half Blood Blues." By definition, the blues is a style of music of haunting melancholy, encoding the suffering of the hunted and persecuted. But this version also incorporates jazz's subversive potential, as Hiero's blues is a parodic remaking of the Nazi anthem, the "Horst Wessel." By recasting their sacred music in a code highly racialized as black, the "Half Blood Blues" talks back to the heart of Nazi ideology, defusing its racism with its inclusive biraciality, as conveyed in the name of the musical piece. As Burton W. Peretti observes: "Jazz was a biracial music, but the society that fostered it was violently opposed to biraciality. [...] Jazz musicians did not seek the assignment of hurdling the barriers of race, but they nevertheless were compelled to face them and to confound them on many occasions" (1992, 177). Consequently, playing "Half Blood Blues" becomes a moment of plenitude, when Sid and his friends reach a point of individual and collective fulfillment, which the novel associates with freedom, another key *topos* of the African American experience: "I known without a doubt I ain't never be involved in no greater thing in my life. This was it, this was everything. We was all of us free, brother. For that night at least, we was free" (Edugyan 2011a, 310).

The interplay of black subjectivities and forms of racialization at a time of crisis opens up critical conversations on race by departing from a black/white binarism. In fact, biraciality features prominently both in the blues itself and in the novel's title. At one point Chip muses that he always thought the blues was named for Hiero himself, but that he has now concluded that it was named for Delilah Brown, the African Canadian love interest in the tale. In fact, it might as well be named for Sid Griffiths, the main voice in *Half Blood Blues* and the third member of their love triangle, as all of them are mixed-race. They embody what racism always fears the most, the merging of bodies and affects, more evident perhaps against the background of Nazi rhetoric for preventing racial contamination and preserving the purity of the Aryan race that characterizes the period. Mixed-race black subjects like Hiero and the other "Rhineland bastards" raised what Campt has called "specters of racial mixture" (2004, 25). As

such, Edugyan's choice of characters and topics powerfully addresses both Europe and America by way of Africa. Very tellingly, as a black Canadian author Edugyan has also chosen to debunk the African American experience from its central role in the black diaspora. Although filtered through Sid's perceptions, it is Hiero Falk's life that bears the weight of the story and the Afro-European and, in a very small way, the black Canadian identity—as embodied in Delilah Brown, who hails from a black Montreal that made a strong contribution to the jazz scene between the 1920s and 1950s—that are reinserted into the historical script. In so doing, Edugyan is also 'signifying' on the canon of African American literature, and inserting her own black Canadian text, because

> [w]riters Signify upon each other's texts by rewriting the received textual tradition. This can be accomplished by the revision of tropes. This sort of Signifyin(g) revision serves, if successful, to create a space for the revising text. It also alters fundamentally the way we read the tradition, by defining the relation of the text at hand *to* the tradition. The revising text is written in the language of the tradition, employing its tropes, its rhetorical strategies, and its ostensible subject matter, the so-called Black Experience. This mode of revision, of Signifyin(g), is the most striking aspect of Afro-American literary history. (Gates 1988, 124; emphasis in the original)

Here it is evident that Edugyan has set about creating her own counter-hegemonic text, excavating different forms of blackness expunged from the record while using a black cultural form such as jazz to add her oeuvre to a "black Atlantic" continuum historically featuring the intricate trajectories of black bodies across national and transnational borders. It is worth noting, at least in passing, that such emphasis on biraciality/mixed-racedness together with the deployment of black Atlantic musical modes connect Edugyan once more to Compton in both topics and aesthetics, while the deployment of jazz brings her book close to other black fiction writing published both within Canada—for instance Mairuth Sarsfield's *No Crystal Stair* (1997)—and outside, like Toni Morrison's *Jazz* (1992) and Zadie Smith's newly released *Swing Time* (2016).[9]

It is significant, however, that the author does not fall prey to the temptation of projecting an idyllic, harmonious relationship between the several black constituencies represented in her fiction. On the contrary, resting at the core of this novel is a conflict of such import that it takes decades to untangle responsibilities and to repair the harm done. Sid's ecstatic statement about jazz and freedom cited above makes his subsequent betrayal of Hiero even more poignant. The news, fifty years later, that Hiero had survived the camp and lives in Poland under a new name unleashes conflicting emotions in the old man Sid Griffiths has become. Guilt over Hiero's demise has plagued him

[9] On the subject of jazz in black Canadian fiction, see Siemerling (2014); on jazz more widely in black women's writing, see Tucker (1993).

for decades, and his best friend Chip Jones publicly accuses him of betraying Hiero out of jealousy over Delilah Brown, rather than for the noble principles he maintains throughout (Edugyan 2011a, 57-58). Narrative reliability becomes an opaque issue; readers have to decide between truth and the semblance of truth in the old friends' accounts. Ultimately, however, there is no doubt as to the consequences for Hiero of Sid's impetuous action, so Sid is well aware of owing reparation. *Half Blood Blues* thus considers the politics of redress, whether reconciliation can be effected after the exercise of violence, and if so, at what price.[10]

The final meeting of the three friends in Poland is therefore a moment of reckoning, when the living have to come to terms with what was lost or repressed for decades. Hiero the survivor is a completely different man from the budding musician he used to be. Under the name Thomas, he had given up music and trained as a blacksmith, working at an ironworks cooperative until retirement. He continues to live in the same now unused buildings, a blind man that turns old machinery into the "nightmarish sculptures" that constitute his own unspoken acts of witnessing to the horrors of the camp (327-328). Hiero's withdrawal from music after the war is the direct result of the part it played in his own survival. It is conceivable that, having been forced to perform daily for the torturers while ghastly acts of arbitrary violence took place, he felt unable to continue to play after his release from the camp. Consequently, silence replaces music with its own intensity in Hiero/Thomas's world, and the representation of the unspeakable becomes displaced onto the realm of dreams and ghostly shapes in his sculptures. For Hiero/Thomas too, there is a ghostly silencing, a loss that haunts him. Paul Connerton has defended the need to forget as part of individual and social healing; he argues that some types of forgetting constitute a success rather than a failure, because "they establish and enhance social bonds" (2008, 34). Among them is a prescriptive forgetting, when after a traumatic period—for instance, a war—a society feels the need to forget in order to move on and to "prevent a chain of retribution for earlier acts from running on endlessly" (34). This may be a similar case, for although the three old friends do not mention either guilt or reparation, the fact that they listen to music together suggests that they choose to forgive and forget the past and that there has been a reconciliation of sorts, one that has been achieved very appropriately through the medium of music. Following Gordon, we can assert that the resolution of this particular struggle with the ghost has been partial to the living ([1997] 2008, 187). Thus, after rehearsing the workings of racialization in the midst of state-enforced terror and war, *Half Blood Blues* both acknowledges past violence and drafts new beginnings, holds together commonality and difference, and allows us to think through ways to move beyond a traumatic past, displaying a strong commitment to life by placing the stress on survivors rather than victims.

[10] The same topic was prominent in her first novel, *The Second Life of Samuel Tyne*. See on that subject Cuder-Domínguez (2014).

3. Conclusion

All in all, *Half Blood Blues* demands that readers position themselves as to the truth of its fragmented and at times contradictory accounts, which in turn amounts to coming to terms with the radical instability of blackness as a sign and with the ways in which it haunts the master narratives of all times, constituting a ghostly, peripheral presence. As this essay has tried to prove, Edugyan breaks new ground in the representation of the "oblique kinds of blackness" that Compton conjured up, and pushes at the very borders of what it means to be black by bringing together the experiences of black characters from many diverse origins during a period of extreme vulnerability to violence due to the exclusionary racial policies enforced at the time. Indeed, *Half Blood Blues* should be framed within the larger, ongoing project to disrupt the entrenched notion of Europe as a white continent, revising European cultural memory with the insertion of black subjectivities and bodies. In that sense, the novel by this Canadian writer intersects with current work on Afro-Germanness and/or Afro-Europeanness. During the 2014 Canada Reads competition, Donovan Bailey defended the novel's Canadianeness with the argument that Edugyan was "bringing the world back to Canada and showing how we see ourselves" (CBC 2013, n.p.). This was an insightful statement stressing as it does the (trans)national trajectories that black Canadian writing excels at, for *Half Blood Blues* is built on the edge; as an author, Edugyan constantly moves away from her comfort zone and takes her readers there too, compelling us to envision the past—and the present—differently.

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Reporting Verbs as a Stylistic Device in the Creation of Fictional Personalities in Literary Texts

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This article presents an analysis of how reporting verbs can contribute to the creation of fictional personalities in literary texts. The examination of verbs was carried out using Caldas-Coulthard's (1987) taxonomy, in which verbs are classified in self-contained categories according to the reporter's level of mediation on the words glossed. The examples under analysis were all taken from Charles Dickens's *Nicholas Nickleby* (1839). For the sake of consistency, I focused on one character, Ralph Nickleby, whose words are reported using twenty-six verbs a total of 501 times throughout the story. As will be shown, Dickens's choice of verbs projects a specific way of speaking that triggers information about the villain's personality, thereby contributing to shaping his well-known evil character. The analysis will also illustrate how reporting verbs can influence the way in which readers form an impression of characters on the basis of their ways of speaking during the course of a story.

Keywords: reporting verbs; fictional personalities; characterisation; Charles Dickens; *Nicholas Nickleby*; Ralph Nickleby

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Los verbos de habla como recurso estilístico en la caracterización de personajes en textos literarios

En este artículo se analiza el modo cómo los verbos de habla contribuyen a la caracterización de los personajes en textos literarios. Para ello se ha utilizado la clasificación de Caldas-Coulthard (1987), en la que los verbos se organizan en diferentes categorías según su nivel de interferencia sobre el discurso referido. Los ejemplos analizados pertenecen a la novela *Nicholas Nickleby* (1839), de Charles Dickens. Por razones de consistencia, el estudio se ha centrado en un solo personaje: Ralph Nickleby, con quien Dickens emplea veintiséis verbos un total de 501 veces a lo largo de la historia. Como se podrá comprobar, la elección que

Dickens hace de los verbos contribuye a proyectar el rol de villano de este personaje a través de un habla muy específica. El análisis servirá, asimismo, para ilustrar cómo los verbos de habla influyen en la impresión que el lector se forma de los personajes en el transcurso de la historia a través de sus formas de hablar.

Palabras clave: verbos de habla; personajes literarios; caracterización; Charles Dickens; *Nicholas Nickleby*; Ralph Nickleby

1. Introduction

In this article, I analyse how reporting verbs can contribute to the creation of fictional personalities in literary texts. It is commonly stated that reporting verbs, both in and beyond fiction, not only have a linguistic function, but also evaluate the discourse being reported (Zwicky 1971; Verschueren 1980; Rudzka-Ostyn 1988; Levin 1993; Caldas-Coulthard 1994; Klamer 2000; Kissine 2010; Urban and Ruppenhofer 2001, among others).[1] In the case of fictional narratives, reporting verbs can be, therefore, a powerful device for characterisation. Unfortunately, the interpretative value of reporting verbs tends to be discussed only with regard to those specific verbs that reveal information related to the "affective meaning" (Leech 1974, 14) of the utterance—the meaning contributed by features that reveal the feelings of the speaker. This article analyses a variety of types of verb, from those that encode attitudinal stances to those that appear merely to refer to the process of interaction. As will be shown, the cumulative effect created by the use of all these verbs can contribute to the portrayal of fictional characters.

The examination of verbs was carried out using Carmen Rosa Caldas-Coulthard's taxonomy (1987), which classifies verbs into five self-contained categories according to the reporter's level of mediation on the words glossed. The examples under analysis were all taken from Charles Dickens's *Nicholas Nickleby* ([1839] 2008). For the sake of consistency, I concentrated on one character: Ralph Nickleby, whose words are reported by Dickens through the use of twenty-six different verbs a total of 501 times throughout the story.[2] Ralph Nickleby is the uncle of young Nicholas. He is the novel's main villain and principal antagonist. He is a cold, manipulative usurer who finds work for both Nicholas and his sister and then attempts to use them. He hangs himself after Smike is revealed to be his son, whom he had supposed dead.[3] As will be shown, Dickens's use of reporting verbs helps to shape his malevolent character during the course of the story. Although the principal aim of the analysis is to illustrate the characterising potential of reporting verbs, it will also contribute to a better understanding of Dickens's craftsmanship from a stylistic perspective, as his use of reporting verbs remains an underexplored aspect of his well-known techniques of characterisation.[4]

The article begins with a brief discussion on the studies of Charles Dickens's use of reporting verbs (section two). This is followed by a brief overview of reporting verbs and their characterising potential, focusing on Caldas-Coulthard's (1987) taxonomy (section three). In addition, the methodological procedure used to retrieve

[1] Evaluation should be understood, following Hunston and Thompson, as "the expression of the speaker or writer's attitude or stance towards, viewpoint on, or feelings about the entities or propositions that he or she is talking about" (2000, 5).

[2] The 501 occurrences analysed are all from stretches of direct speech presentation, the most widely used strategy among nineteenth-century English novelists (Busse 2010).

[3] For a more detailed account of the character, see the entry "Ralph Nickleby" in Hawes (2002, 165).

[4] Two remarkable exceptions are the analyses carried out by Mahlberg, Smith and Preston (2013) and Ruano San Segundo (2016), both discussed in section 2.

the examples is explained (section four) and the catalogue of verbs used to report Ralph Nickleby's words in *Nicholas Nickleby* is shown in section five. These verbs are analysed in section six, which is divided into five sub-sections in accordance with the categories proposed by Caldas-Coulthard (1987). The article concludes with some remarks about the potential of reporting verbs and suggests further possible areas of research on reporting verbs.

2. Scope

There are two reasons for choosing Dickens for the purpose of this analysis. First and foremost, one of the most widely discussed aspects of his well-known techniques of characterisation is the individualisation of his characters' speeches. Indeed, he provides the reader with "fairly frequent descriptions of the way in which characters speak" (Brook 1970, 39), thereby making speech "an integral part of the personality of each character and a part which we recognize each time he or she appears" (Quirk 1961, 21). Therefore, Dickensian characters seem fertile ground for the analysis of the potential of reporting verbs in the creation of fictional personalities in literary texts. Secondly, and despite the numerous detailed analyses of his characters' ways of speaking, the projection of his characters' voices through reporting verbs is still underexplored. With the exception of a few isolated studies that mention Dickens's use of reporting verbs in passing (Fido 1968; Page 1973; Lambert 1981; Nishio 2005), traditional literary criticism has, in fact, never focused on this aspect. In his analysis of *Great Expectations* (1861), for instance, Martin Fido notes how "Pip's immature lack of control over his emotions is presented through his diction, his actions, and the fact that he 'cries,' 'exclaims' and speaks severely or moodily, while Biddy 'says,' and moves, as a rule, slowly and quietly" (1968, 84). In this sense, Norman Page states that, like many other writers, Dickens seeks "to relieve the monotony of constant 'he-saids' by resorting to elegant variation" (1973, 26). Page concentrates on the opening chapter of *David Copperfield* (1859), which "has *returned* eight times, *asked* and *cried* five times each, *exclaimed, faltered* and *resumed* twice each, and *repeated, replied, sobbed, mused* and *ejaculating* once each" (1973, 26; empahsis in the original). However, Page does not delve any deeper into the stylistic function of these choices. As for Mark Lambert, he realises that the variety of reporting verbs in Dickens's novels is "far larger than would be needed simply to avoid monotony" (1981, 8). Although he acknowledges that it would be interesting to compare the proportions of different types of verbs in different novels as well as to analyse them in a particular work (16), he unfortunately goes no further than that. Finally, Miyuki Nishio (2005) analyses reporting clauses in *Oliver Twist* (1838). She examines the verbs that Dickens uses to report the words of Fagin and Sikes throughout the story. However, she focuses mainly on the relationship between these verbs and the reporting adjuncts with which they appear, ignoring the characterising role that reporting verbs play in the novel.

Although traditional literary criticism has paid little attention to Dickens's use of reporting verbs, it is only fair, however, to state that the use of innovative corpus-linguistic approaches has resulted in several recent studies on this subject, such as those conducted by Michael Mahlberg, Catherine Smith and Simon Preston (2013), Miyuki Nishio (2013) and Pablo Ruano San Segundo (2016). Mahlberg, Smith and Preston identify and analyse the patterns of seventeen different verbs in suspended reporting clauses, demonstrating that "a typology of reporting verbs can overemphasize the meaning of the verb in isolation" (2013, 52), thereby revealing significant character information. With regard to Nishio (2013), she compares Dickens's use of certain speech verbs against the backdrop of two corpora based on novels, one from the eighteenth century and one from the nineteenth century. She concludes that Dickens's use of these verbs is exceptionally rich and varied, even though her analysis is limited to only three different verbs (*fawn*, *frown* and *sneer*). Finally, Ruano San Segundo (2016) also uses a corpus methodology to retrieve 17,021 occurrences of 130 verbs from Dickens's novels. Focusing on his use of specific descriptive verbs, he explores the characterising value of reporting verbs, looking into how they contribute to the individualisation of characters' speeches. The present analysis of reporting verbs associated with Ralph Nickleby will build and expand on these studies, thereby contributing to a better understanding of the way in which Charles Dickens constructed his characters' speeches. As will be shown, the well-known turns of speech and habitual gestures of Dickens's characters are not isolated characterising features, but rather part of a wide range of textual functions "presented more subtly and integrated into the wider picture of the fictional world" (Mahlberg 2013, 165).

3. Reporting Verbs in Fictional Narratives

Speech presentation is one of the pillars of fictional narratives (Bray 2014, 222). One of the many functions fulfilled by the reporting of characters' words is, of course, that of characterisation: speech may become both "a badge of identity and a means of enriching the reader's awareness of a given character's individuality" (Page 1973, 15). Such individuality, however, is the result not only of what characters say but also of how they say it. As Jonathan Culpeper states in his model of characterisation in literary texts, "the way one speaks can trigger information about [...] personality," thereby contributing decisively to the portrayal of characters (2001, 215). Representing fictional characters' ways of speaking, however, is not easy, as the written medium limits the representation of "such things as tone of voice, voice pitch, nasality, speech defects, singing, etc." (Brüngel-Dittrich 2005, 30). These aspects, which may significantly influence the shaping of a character's speech, and therefore his or her characterisation, are frequently compensated for by the use of reporting verbs. As noted in the introduction, however, the interpretative value of reporting verbs tends to be discussed only with regard to those specific verbs that encode attitudinal stances.

Naturally, the potential of those verbs (*growl*, *thunder*, *whimper*, etc.) is not in dispute, as they refer to "aspects of speech that contribute to the meaning over and above what the verbal element of the message means" (Brown 1990, 112). However, seemingly more neutral choices can also be meaningful for the purposes of shaping the identities of fictional characters. For example, a character may systematically *answer* in a particular way (see section 6.2), or he or she may constantly *interrupt* (see section 6.4). This article will illustrate that different types of reporting verbs can potentially be meaningful in terms of characterisation, from those that describe characters' feelings to those that appear merely to refer to the process of interaction.

In order to briefly contextualise the potential significance of every verb, two interdependent aspects must be emphasised: the finite nature of the text and the lack of neutrality in fictional narratives. The finite nature of the text with which the potential of reporting verbs is connected is best reflected in Page's assertion that "detail in a work of fiction, whether of action, description or speech, and however apparently fortuitous or excessive, can hardly be dismissed as irrelevant, since it belongs to the strictly finite amount of material laid at our disposal by the writer, as distinct from the unselective and virtually unlimited offering made by 'reality'" (1973, 2). Since we form mental impressions of characters on the basis of limited information (Mahlberg 2013, 119), any description of how they speak is likely to carry a "certain weight of significance" (Page 1973, 2), if only because it is a choice deliberately made by the author. The significance of these descriptions is closely connected to the aforementioned lack of neutrality of fictional narratives, even when this is the impression that the author wants to convey. Thus, a lack of narratorial intervention when reporting characters' words—for instance, through the use of neutral verbs or by using strategies such as free direct speech, in which the reporting clause is omitted (Semino and Short 2004, 10)—is but an illusion, since narrators are "in charge of selecting, ordering and organizing the sequence in which events will be recounted. There is always a choice and a construction" (Caldas-Coulthard 1988, 23). Needless to say, descriptive verbs are more significant than neutral verbs, especially considering that authors frequently exaggerate features of real interaction through the use of specific verbs in order to amplify speech features (62). Thus, readers' assignment of a speech act introduced by *beg* or *implore* will be completely different from one introduced by *bellow* or *vociferate*, for example. That said, seemingly more neutral choices can be equally meaningful, even if the effect is less conspicuous. A systematic use of *reply* may reflect a character's passive role, *suggest* might indicate politeness and *hesitate* can be an effective means of projecting insecurity, to name just a few examples.

In order to analyse the characterising potential of reporting verbs in this work, Caldas-Coulthard's (1987) taxonomy was used. Unlike other well-known classifications of reporting verbs (Wierzbicka 1987; Levin 1993; Brüngel-Dittrich 2005), Caldas-Coulthard's taxonomy classifies verbs according to the reporter's level of interference on the words being reported; this is very convenient for the purposes of this paper,

as it enables us to measure the meaningfulness of different verbs in the creation of the fictional personalities discussed here. She classifies verbs into five self-contained categories: neutral, structuring, illocutionary, discourse signalling and descriptive verbs. These categories are discussed below. [5]

3.1. Neutral verbs

Neutral verbs (*say* and *tell* in English) are interpretatively empty, as they "simply signal the illocutionary act—the saying; the intended meaning (illocutionary force) has to be derived from the dialogue itself" (Caldas-Coulthard 1987, 153). As will be discussed in section 6.1, though, they are frequently used with glossing phrases that qualify the words reported, thereby conveying a stylistic function in terms of characterisation.

3.2. Structuring verbs

Structuring verbs "describe the way in which a given speech act [...] fits into a sequence of speech acts" (Caldas-Coulthard 1987, 155). They signal prospection (*ask*, *question*) and retrospection (*reply*, *return*). In direct speech "they are often redundant, since the representation of the exchange should be self-evident" (Caldas-Coulthard 1988, 145). As is the case for neutral verbs, author intervention is minimal. Authors also use these verbs with glossing phrases in order to provide readers with further details about how the words are uttered. This is shown in section 6.2.

3.3. Illocutionary reporting verbs

Illocutionary reporting verbs "strongly convey the presence of the author in the text, since outside the dialogue, the reader is presented with a verb that elucidates the author's intended illocutionary force" (Caldas-Coulthard 1987, 156). They are divided into metalinguistic and metapropositional verbs. Metalinguistic verbs simply signal a linguistic act (*quote*, *narrate*), while metapropositional verbs are those which, in addition to signalling a linguistic act, also reveal "what kind of illocutionary act we are confronted with" (158). These verbs can be assertive (*agree*, *assent*), expressive (*complain*, *lament*), directive (*urge*, *order*) or commissive (*offer*, *promise*), and their use eliminates "misinterpretation on the part of the reader" (157). As will be seen in section 6.3, this kind of reporting verbs can have a strong characterising potential by making the illocutionary force of the speech act explicit.

[5] Out of necessity, the description that follows is very brief, and primarily focuses on the saliency of reporting verbs from the point of view of characterisation. For a more detailed account of each category, see Caldas-Coulthard (1987; 1988; 1994).

3.4. Discourse signalling verbs

Discourse signalling verbs mainly "guide the reader through the simulated process" (Caldas-Coulthard 1987, 163). They may be used to refer to other parts of the discourse (*add*, *repeat*), or to indicate the development of the discourse (*pause*, *pursue*). Authors resort to discourse signalling verbs "to convey 'liveliness' in the pseudo-interaction" (164). Such liveliness may be strategically used to project character traits, since hesitation, pauses, silences or interruptions can all encode attitudinal stances, as will be demonstrated in section 6.4.

3.5. Descriptive verbs

Finally, descriptive verbs "are not reporting but descriptive in relation to the pseudo-talk, since their meaning has to do with the manner of utterances rather than matter" (Caldas-Coulthard 1987, 162). They are divided into the subcategories of prosodic and paralinguistic verbs. Prosodic verbs (*cry*, *shout*) refer to "vocal effects constituted by variation of pitch, loudness and duration" (162). Paralinguistic verbs are further divided into voice qualifier verbs and voice qualification verbs. Voice qualifier verbs (*murmur*, *mutter*) "are frequently used by authors to mark manner" (162), whereas voice qualification verbs (*growl*, *thunder*) "mark *attitude* of speaker in relation to what is being said" (163). Descriptive verbs are undoubtedly the most significant category in terms of characterisation, as will be discussed in section 6.5.

Verbs from each of these five categories convey different levels of mediation on the words reported, from an apparent lack of interference (neutral or structuring verbs) to a high degree of direct intervention (descriptive verbs). Nevertheless, any verb, however neutral it may seem, can contribute to the creation of fictional personalities. This is discussed in section six through the example of Ralph Nickleby. Before analysing the projection of this villain's speech, however, let us briefly explain the methodological procedure used to search for the verbs.

4. Methodology

As far as the search for reporting verbs is concerned, a computer-assisted methodology was used, similar to the one implemented by Pablo Ruano San Segundo (2016) on Dickens's fourteen complete novels.[6] Specifically, the software *WordSmith Tools* (version 7) (Scott 2016) was used to make specific concordance searches in a digitised version of *Nicholas Nickleby*, as the more or less stable structural pattern that Dickens uses to report his characters' words allows a systematic location of reporting verbs. With very few exceptions, Dickens always follows the same two patterns when glossing his characters'

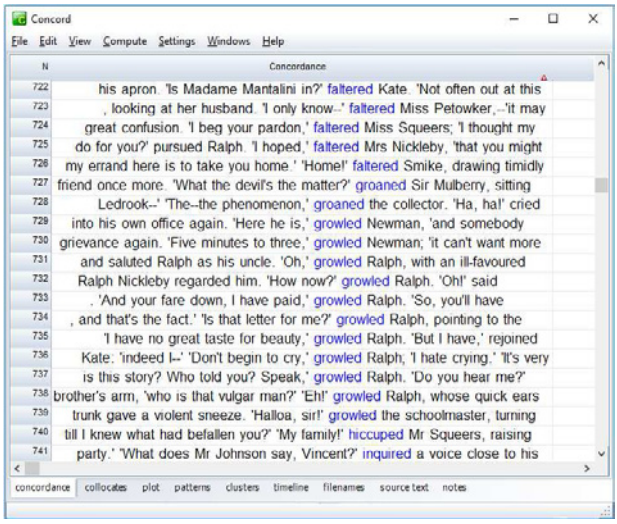
[6] Due to space constraints, the description of the methodology that follows is very brief. For a more detailed account of the procedure, including caveats and cautionary notes, see Ruano San Segundo (2016, 117-119).

words using direct speech: he either places the words of the character after those of the narrator, with an inversion of the structure subject-verb in the latter—example (1)—or inserts the words of the narrator in the middle of the character's speech, with this same inversion—example (2):

(1) "He might have been burnt to death, if it hadn't been for you, sir," *simpered* Miss Petowker. (Chapter 15)[7]
(2) "I—I—am not impatient," *stammered* Arthur. "I wouldn't be hard with her for the world." (Chapter 54)

These arrangements share two features that prove crucial in searching for these verbs: Dickens places no element between the inverted comma closing the character's words and the speech verb, and speech verbs are in the past simple tense. If we bear in mind that most ways of saying are regular (Wierzbicka 1987; Levin 1993), their past simple occurrences share a common characteristic: the suffix *-ed*. Hence, a search for those tokens with an *-ed* ending which appear after an inverted comma (*' *ed* in the concordance tool in *WordSmith Tools*) returns the reporting verbs effectively, as displayed in Figure 1.

FIGURE 1. Screenshot of concordance search *' *ed* in *WordSmith Tools*



[7] All examples throughout the article are from a digitised version of Dickens's *Nicholas Nickleby* ([1839] 2008); chapter location instead of page numbers are provided. Unless otherwise indicated all italics in the examples are supplied by the author to highlight reporting verbs and their context.

Of course, when Dickens uses a personal pronoun instead of the name of the character, the aforementioned pattern is altered since there is no inversion of the subject-verb structure in the narrator's words, as shown in examples (3) and (4):

(3) "Are you willing to work, sir?" he *inquired*, frowning on his nephew. (Chapter 3)
(4) "Let me go, sir," she *cried*, her heart swelling with anger. (Chapter 18)

To account for this alternative pattern, a different concordance suffices (for example, *' he *ed*). Thus, apart from the search *' *ed*, two further searches were carried out in order to locate verbs after the third-person singular masculine pronoun (concordance *' he *ed*) and the third-person singular feminine pronoun (concordance *' she *ed*). Clearly, no occurrences of irregular verbs are retrieved with such searches. Therefore, specific concordance searches (*' said*, *' he said* and *' she said*) were also carried out in order to locate the occurrences of *say*, the reporting verb par excellence.

5. Reporting Verbs in Dickens's *Nicholas Nickleby*

The concordance searches detailed in section 4 retrieved a total of 4,781 occurrences relating fifty-eight different speech verbs in *Nicholas Nickleby*, as shown in table 1.[8]

Table 1. Reporting verbs used in *Nicholas Nickleby*

Verb	Freq.	Verb	Freq.	Verb	Freq.	Verb	Freq.
add	58	*groan*	2	*remonstrate*	10	*sneer*	9
answer	46	*growl*	11	*repeat*	59	*sob*	12
ask	136	*hiccup*	1	*reply*	629	*soliloquise*	1
assent	1	*inquire*	79	*respond*	1	*squeak*	1
bawl	7	*interpose*	42	*resume*	23	*stammer*	3
chuckle	2	*interrupt*	32	*retort*	74	*submit*	1
continue	31	*laugh*	5	*return*	226	*suggest*	13
cry	358	*murmur*	11	*roar*	4	*thunder*	2
croak	1	*mutter*	33	*said*	2,302	*titter*	7
demand	39	*observe*	68	*scream*	8	*urge*	21
drawl	1	*plead*	1	*shout*	3	*whimper*	1
echo	6	*pursue*	19	*shriek*	6	*whine*	2
exclaim	73	*reason*	12	*sigh*	7	*whisper*	21
expostulate	1	*rejoin*	222	*simper*	1		
falter	7	*remark*	24	*snarl*	5		
TOTAL							4,781

[8] Data could have been normalised to a basis per 1000 words of text (Biber, Conrad and Reppen 1998, 263-264), for example. However, since this is a qualitative rather than a quantitative analysis, raw frequencies were preferred.

Of these 4,781 occurrences, 501 are used to report the words of Ralph Nickleby, and, as can be seen in table 2, they are divided between twenty-six verbs.

Table 2. Reporting verbs used to gloss Ralph Nickleby's words

Verb	Freq.	Verb	Freq.	Verb	Freq.	Verb	Freq.
add	5	*growl*	8	*reason*	2	*return*	22
answer	6	*inquire*	7	*rejoin*	18	*said*	275
ask	14	*interpose*	4	*remark*	1	*snarl*	2
continue	5	*interrupt*	7	*repeat*	5	*sneer*	2
cry	16	*mutter*	16	*reply*	48	*suggest*	1
demand	12	*observe*	4	*resume*	3		
echo	1	*pursue*	3	*retort*	14		
TOTAL							501

These twenty-six verbs include neutral verbs (*say*), structuring verbs (*answer*, *ask*, *inquire*, *rejoin*, *reply* and *return*), illocutionary reporting verbs (*demand*, *observe*, *reason*, *remark* and *suggest*), discourse signalling verbs (*add*, *continue*, *echo*, *interpose*, *interrupt*, *pursue*, *repeat* and *resume*) and descriptive verbs (*cry*, *growl*, *mutter*, *retort*, *snarl* and *sneer*). The specific characterisation function of this catalogue of verbs is analysed in section six.

6. Analysis

The analysis is divided into five sections, each of which corresponds to one of the categories discussed in section three, namely neutral verbs (section 6.1), structuring verbs (section 6.2), illocutionary reporting verbs (section 6.3), discourse signalling verbs (section 6.4) and descriptive verbs (section 6.5).

6.1. Neutral verbs

As has already been mentioned, neutral verbs—*say* in the case of the verbs used to report Ralph Nickleby's words—simply introduce reported discourse, without explicitly evaluating it. However, since neutrality in fiction is only apparent, choices that are seemingly unbiased may have significant stylistic functions. As Caldas-Coulthard asserts, an "author can gloss utterances with the reporting verb 'say' plus either an adverb, an adjective, or a prepositional clause which will mark either manner or attitude" (1987, 165). This is particularly true of Dickens, who makes use of what is perhaps the most varied grammatical realisation of *say* (Oncins-Martínez 2011, n.p.). Not only is *say* the verb that is most frequently used to report Ralph's words, with more occurrences than all the other verbs put together (see section five), it is often also used

with such glossing phrases as mentioned by Caldas-Coulthard. Thus, *say* is sometimes accompanied by adverbs, as in (5) and (6), by prepositional phrases, as in (7) and (8), and by *-ing* clauses, as in (9) and (10):

(5) "Call it what you like" *said Ralph, irritably*, "but attend to me." (Chapter 56)
(6) "Come down, I say. Will you come down?" *said Ralph fiercely*. (Chapter 59)
(7) "He has a tolerable share of everything that you lay claim to, my lord," *said Ralph with a sneer*. (Chapter 19)
(8) "You had better refresh your memory, sir," *said Ralph, with a threatening look*. (Chapter 51)
(9) "There is something missing, you say," *said Ralph, shaking him furiously by the collar*. "What is it?" (Chapter 56)
(10) "There is some of that boy's blood in you, I see," *said Ralph, speaking in his harshest tones, as something in the flashing eye reminded him of Nicholas at their last meeting*. (Chapter 28)

These examples show how the adverbs, prepositional phrases and *-ing* clauses with which *say* is frequently accompanied help to project Ralph Nickleby's evil character. Sometimes, these glossing phrases add information about the tone in which the words are uttered, as in (10), thereby encoding the character's attitudinal stance. The information is also frequently related to body language, which may also emphasise Ralph's state of mind, as can be seen in (8) and (9). However, the most frequent examples are those in which Dickens straightforwardly refers to Ralph's attitude. This is the case of (5), (6) and (7). Of the 275 occurrences of *say*, 145 (that is, 52.72%) contain glossing phrases. As can be seen in the examples above, many of these glossing phrases project meaningful information that contributes to the portrayal of Ralph Nickleby; other glossing phrases found with *say* are *carelessly*, *drily*, *in his harshest accents*, *irascibly*, *looking sharply at them by turns*, *looking fearfully round*, *menacing him*, *roughly enough*, *scowling round*, *tartly*, *testily* or *with great testiness*, among others. This provides plentiful support for the notion mentioned previously that theoretically unbiased choices like *say* can contribute to projecting significant character traits, especially when they are used strategically with interpretative glossing phrases.

6.2. Structuring verbs

Structuring verbs are slightly more specific than neutral verbs. Although they do not evaluate the words explicitly, they do indicate prospection (*ask*) and retrospection (*answer*), which may reinforce the portrayal of a character in a story. For instance, the active role of an inquiring character may be enhanced by the frequent use of verbs indicating prospection (*ask*, *question*, *inquire*), whereas a passive role may be illustrated through the repeated use of verbs indicating retrospection (*answer*, *respond*, *reply*). However, the significance of these verbs for the creation of personalities is best reflected when, like *say*, they are used with interpretative glossing phrases. Let us take *reply*, *return* and *rejoin* as examples. After *say*,

these are the verbs that are most frequently used to report Ralph Nickleby's discourse, with forty-seven, twenty-two and eighteen occurrences respectively (see table 2). Of the eighty-seven occurrences of these three verbs, forty (45.97%) are also accompanied by glossing phrases. As is the case with *say*, some of these phrases are adverbs that reveal Ralph's attitude, as shown in examples (11) and (12):

(11) "We are alone," *returned Ralph, tartly*. "What do you want with me?" (Chapter 34)
(12) "I think you had better," *rejoined Ralph, drily*. (Chapter 47)

Interpretative prepositional phrases are also common, as can be seen in (13) and (14):

(13) "I see," *rejoined Ralph, with the same steady gaze*. "Bad, indeed! I should not have known you, Sir Mulberry. Dear, dear! This IS bad." (Chapter 38)
(14) "No," *replied Ralph, with equal abruptness*. (Chapter 34)

There are also several occurrences of *-ing* clauses, as shown in (15) and (16):

(15) "Ay," *replied Ralph, turning upon him with an angry look*. "Help me on with this spencer, and don't repeat after me, like a croaking parrot." (Chapter 44)
(16) "No," *returned Ralph, bending a severe look upon him*. "Though there is something in that, that I remember now." (Chapter 44)

As these examples show, structuring verbs are used in a very similar manner to *say* to report Ralph Nickleby's words, and as such they help to shape his malevolent character; other glossing phrases found with structuring verbs are *abruptly*, *carelessly*, *exasperated*, *fiercely*, *hoarsely*, *looking bitterly round*, *sarcastically* or *sharply*, among others. In light of these examples, it can be safely concluded that structuring verbs may be strategically used beyond the relief of monotony suggested by Page (1973, 26), as was mentioned in section two, since they can also contribute to the creation of fictional personalities.

6.3. Illocutionary reporting verbs

Illocutionary reporting verbs are, unlike neutral and structuring verbs, "highly interpretative in terms of text mediation" (Caldas-Coulthard 1987, 161). They can therefore fulfil a meaningful characterising role without the need for a glossing phrase. Because their main function is to make explicit the illocutionary force of the speech being reported, illocutionary reporting verbs can reveal specific stances of a character in a story. Thus, if a character is constantly giving orders (directive speech act), readers may get a different impression of him or her than if he or she constantly begs (expressive speech act), for instance. In the case of Ralph Nickleby, there is a verb which best

reflects the characterising potential of this type of verbs: *demand*. In *Nicholas Nickleby*, twelve of the thirty-nine occurrences of this verb (see table 1) are associated with Ralph Nickleby (see table 2), more than with any other character.[9] The repeated use of this verb to gloss his words highlights his inquisitive character, as can be seen in examples (17) and (18):

(17) "What more do you know about him?" *demanded* Ralph. (Chapter 34)
(18) "Which of your firm was it who called on me this morning?" *demanded* Ralph. (Chapter 59)

It should be noted that Dickens also resorts to stylistically marked glossing phrases when using illocutionary reporting verbs. With regard to *demand*, four of its twelve occurrences associated with Ralph are accompanied by further information that enhances his bad temper, as can be seen in examples (19) to (22):

(19) "Is Mrs Nickleby at home, girl?" *demanded Ralph sharply*. (Chapter 3)
(20) "What insults, girl?" *demanded Ralph, sharply*. (Chapter 28)
(21) "What DO you want, man?" *demanded Ralph, sternly*. (Chapter 31)
(22) "What says he?" *demanded Ralph, turning angrily upon her*. "I told you I would see nobody." (Chapter 59)

As is the case with the examples of neutral and structuring verbs that were discussed above, the use of interpretative glossing phrases with illocutionary reporting verbs contributes to the portrayal of Ralph Nickleby's evil character. However, Dickens's use of glossing phrases with interpretative reporting verbs should not be considered especially striking, since, as Caldas-Coulthard points out, "some authors qualify verbs that are already signalling manner or attitude" (1987, 165). Nonetheless, both the glossing phrases that accompany *demand* and the systematicity with which Dickens uses the verb to report Ralph's discourse illustrate the characterising potential of illocutionary reporting verbs, which can amplify the attitudinal traits of a character by making the illocutionary force of the reported speech act explicit.[10]

[9] Wackford Squeers is the character with which *demand* is used more frequently after Ralph Nickleby (five times).

[10] The repeated use of certain reporting verbs with the same character fits in with Dickens's collocational style, analysed by Masahiro Hori (2004). Specifically, Hori scrutinises Dickens's "predilections, structures, uniqueness, and idiosyncrasies of collocations" throughout his novels (18). The association of reporting verbs—and reporting formulae, for that matter—with the same character adds a layer of depth to collocational patterns peculiar to characters in their speech (175-179).

6.4. Discourse signalling verbs

Unlike illocutionary reporting verbs, discourse signalling verbs are "interpretatively empty" (Caldas-Coulthard 1987, 164). However, they can still make a decisive contribution to characterisation in fictional narratives. As mentioned in section three, they are used to convey liveliness in the process of interaction, indicating pauses, silences, interruptions, etc. It is well known that fictional dialogues are "tidied-up versions of talk" (83). So, if aspects such as pauses, silences or interruptions are reported, then it is because they are extraordinarily meaningful (164). They may be used to reflect characters' traits through their ways of speaking. Let us take the example of *interrupt*. Of the thirty-two occurrences of this reporting verb in *Nicholas Nickleby*, seven are associated with Ralph Nickleby (see table 2), more than with any other character.[11] The repeated use of *interrupt* clearly serves to illustrate his impoliteness, as can be seen in (23), which highlights his well-known rudeness when he does not let Charles Cheeryble finish his sentence:

(23) "Plainly, sir—" began brother Charles.
"Plainly, sir," *interrupted* Ralph, "I wish this conference to be a short one, and to end where it begins." (Chapter 59)

Moreover, as discussed above in relation to neutral, structuring and illocutionary reporting verbs, discourse signalling verbs are also frequently accompanied by interpretative glossing phrases that further reinforce Ralph Nickleby's characterisation, as can be seen in (24) to (26):

(24) "No they wouldn't, ma'am," *interrupted Ralph, hastily*. "Don't think it." (Chapter 3)
(25) "Yes, we know all about that, sir," *interrupted Ralph, testily*. "It's in the advertisement." (Chapter 4)
(26) "Pray," *interrupted Ralph, motioning her to be silent*. "I spoke to my niece." (Chapter 19)

Both the repeated use of the verb and the stylistically marked phrases accompanying it demonstrate that the use of *interrupt* in connection with Ralph Nickleby goes well beyond the aforementioned illusion of liveliness conveyed by discourse signalling verbs. Thus, although these verbs are not interpretative *per se*, the systematic choice of certain verbs can help to reinforce some characters' personalities by subtly enhancing features integrated into the wider picture of their characterisation.

[11] Mrs Nickleby and Nicholas are the characters who *interrupt* most frequently, after Ralph (three times each).

6.5. Descriptive verbs

Descriptive verbs are the most meaningful reporting verbs with regard to the creation of fictional personalities, since they refer to phonological and paralinguistic features that contribute to the expression of attitudes by the speaker rather than to the content of speech itself (Brown 1990, 112). In the case of Ralph Nickleby, the following four verbs play a clear characterising function: *mutter*, *growl*, *snarl* and *sneer*. With sixteen occurrences, *mutter* is the fifth most frequently used verb to report Ralph's words.[12] The systematic use of this verb to project his discourse helps to convey Ralph's complaining nature, one of his best-known features. Although the verb tends to be used without any glossing phrases, as shown in (27), Dickens does also occasionally select adverbs—as in (28)—or prepositional phrases—as in (29)—to amplify Ralph's grumpiness:

(27) "Saw I was anxious!" *muttered* Ralph; "they all watch me, now. Where is this person? You did not say I was not down yet, I hope?" (Chapter 59)
(28) "I am not a man to be moved by a pretty face," *muttered Ralph sternly*. "There is a grinning skull beneath it, and men like me who look and work below the surface see that, and not its delicate covering." (Chapter 31)
(29) "Has he turned girl or baby?" *muttered Ralph, with a fretful gesture*. (Chapter 44)

With regard to *growl*, eight of the eleven occurrences of this verb are associated with Ralph. This verb clearly illustrates the habitual peevishness that contributes to shaping his malevolent portrayal. This verb is only accompanied by a glossing phrase once, which is shown in (30). This is probably due to its specificity. In the remaining seven cases, the verb is used without any further glossing elements. However, it is interesting to note that the words projected by *growl* often tend to be orders, as shown in (31) and (32) which further reinforces Ralph's previously mentioned demanding character:

(30) "Oh," *growled Ralph, with an ill-favoured frown*, "you are Nicholas, I suppose?" (Chapter 3)
(31) "Don't begin to cry," *growled* Ralph; "I hate crying." (Chapter 10)
(32) "Tell me what you mean. What is this story? Who told you? Speak," *growled* Ralph. "Do you hear me?" (Chapter 34)

Finally, *snarl* and *sneer* also have a meaningful function with regard to characterisation, although they are only used twice with Ralph Nickleby. The use of *snarl* shown in (33) and (34) reinforces Ralph's peevishness. One occurrence is accompanied by an *-ing* clause, which emphasises Ralph's irascible character, as shown in (34):

[12] *Cry*, another descriptive verb, is also used sixteen times to report Ralph Nickleby's words (see table 1).

(33) "Who, indeed!" *snarled* Ralph. (Chapter 3)
(34) "What!" *snarled Ralph, clenching his fists and turning a livid white*. (Chapter 34)

The use of *sneer*, however, serves to illustrate Ralph's slyness, as shown in (35) and (36). Although neither of these two occurrences is accompanied by a glossing phrase, the characterising function behind this choice also seems clear, especially considering that Ralph Nickleby's sneering is referred to elsewhere in the novel several times, as we have already seen in (7):

(35) "Ah, to be sure!" *sneered* Ralph. (Chapter 3)
(36) "You do not?" *sneered* Ralph. (Chapter 20)

In sum, it can hardly be denied that Dickens's use of reporting verbs to gloss Ralph Nickleby's words is far from serendipitous. On the contrary, his selection of verbs seems to be deliberate, arising from his desire to design a manner of speech which matches the villain's grumpiness. The use of descriptive verbs such as *mutter*, *growl*, *snarl* and *sneer* are the clearest examples, as they all openly encode attitudinal stances that contribute to the depiction of Ralph's character. However, any verb, from neutral or structuring verbs accompanied by glossing phrases to illocutionary or discourse signalling verbs, which point to Ralph's demanding character or his habit of interrupting, may also be stylistically significant. Taken all together, they help to shape Ralph's identity by means of an idiosyncratic way of speaking that has a direct impact on his portrayal. In short, the example of Ralph Nickleby clearly illustrates the characterising potential of reporting verbs in literary texts.

Finally, the potential of reporting verbs in the creation of fictional personalities is better understood within the framework of characterisation as a process—how we, as readers, form impressions of characters in our minds during the course of a story (see Culpeper 2001). This is best reflected in the fact that the thirty-two examples discussed in this section are taken from fourteen different chapters of the novel, namely chapters three, four, ten, nineteen, twenty , twenty eight, thirty one, thirty four, thirty eight, forty four, forty seven, fifty one, fifty six and fifty nine. The use of stylistically significant reporting verbs throughout the novel—and the interpretative glossing phrases that accompany seemingly unbiased choices—help to create a cumulative effect that results in a powerful device for shaping the characters' identities. In this respect, the case of Ralph Nickleby is particularly interesting, as Dickens published his novels serially and this greatly influenced his well-known techniques of characterisation (Patten 2006, 15). However, the potential of reporting verbs in the creation of fictional personalities in the course of a novel goes well beyond their use by a stylistically excessive author such as Dickens. It is also worth analysing the work of other Victorian authors who published serially, as time lapses between

instalments made characterisation "a distinct element with its own problems" in nineteenth-century fiction (Sucksmith 1970, 250). In fact, any fictional narrative is actually worthy of analysis, since characterisation in literary works relies heavily on the well-established relationship between voice stereotypes and personality types (Culpeper 2001, 215). As has been shown here, reporting verbs play a role of paramount importance in bringing this relationship closer together.

7. Conclusion

Reporting verbs can play an important function in the creation of fictional personalities in literary texts. Normally, both in and beyond fiction, this function is usually only acknowledged in the case of those verbs that describe phonological or paralinguistic features that reveal meaningful attitudes about the person(a) whose words are being reported. However, as the example of Ralph Nickleby has illustrated, any verb may potentially contribute to characterisation. Of course, there exist remarkable differences between neutral and non-neutral verbs, and a cline of interference may even be drawn, from the most neutral verbs—*say* and *tell*, but also structuring examples such as *ask* or *reply*—to the most interpretative choices, i.e., descriptive verbs, with illocutionary and discourse signalling verbs in a middle position. As far as more neutral verbs are concerned, authors frequently qualify them with glossing phrases in order to match the specificity of more descriptive cases—for instance, *said with a sneer*, which conveys the same effect as *sneer*, to use two examples discussed here. These glossing phrases are in fact not exclusive to less interpretative types of verbs, such as neutral and structuring verbs, but are also used to reinforce the value of more specific choices, such as illocutionary reporting verbs—*demanded Ralph, turning angrily upon her*—and discourse signalling verbs —*interrupted Ralph, testily*. However, illocutionary and discourse signalling verbs can also have a meaningful characterising role by themselves. Thus, the fact that Ralph Nickleby systematically *demands* or *interrupts* contributes to his portrayal as an impolite character. Finally, descriptive reporting verbs provide the clearest examples, as they openly encode the attitudinal stance of the character. Thus, the impression that readers form in their minds of a character who pouts, mourns, whines and whimpers will be diametrically opposed to that of a character like Ralph, who regularly growls, mutters, snarls and sneers. In sum, any verb has the potential to contribute to the creation of fictional personalities. In fact, as the example of Ralph Nickleby has shown, both more and less specific choices—the latter with the help of interpretative glossing phrases—create a cumulative effect over the course of the story that enables him to be characterised through his specific way of speaking. The stylistic significance of reporting verbs, therefore, should not be underestimated, as they are a powerful device for the creation of fictional personalities in literary texts.

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Author(itie)s and Sources in the Prefatory Matter to Eighteenth-Century English Grammars for Children

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During the eighteenth century, language-experts were increasingly concerned with correctness and appropriate social expression. As a result, English grammar went through several attempts to codify and prescribe rules for correct usage, so that the number of these works increased rapidly from the 1760s onwards and reached a notable peak in the 1790s. In order to find a place in an increasingly saturated marketplace, authors, editors and publishers variously resorted to selling strategies that included, for instance, adding value to the English grammar by incorporating rich prefatory or post-main-text matter. This paper deals with author(itie)s and sources explicitly mentioned in the prefatory matter of eighteenth-century English grammars for children, with a focus on metacomments aimed at endorsing the book with reliability and validity for teachers and young learners. The study is based on acknowledged author(itie)s and sources so as to identify which were most commonly cited in the material examined, on the one hand, and to discuss the different reasons articulating this practice, on the other.

Keywords: English grammars; eighteenth century; paratext; prefatory matter; metacomments

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Autor(idad)es y fuentes en el material preliminar de las gramáticas inglesas del siglo XVIII para niños

Durante el siglo XVIII los expertos en la lengua inglesa mostraron un creciente interés por la corrección lingüística y la expresión adecuada socialmente. En consecuencia, hubo varios intentos de codificar y prescribir reglas gramaticales para el uso correcto de la lengua. El número de gramáticas inglesas publicadas en este periodo histórico aumentó considerablemente, sobre todo a partir de la década de 1760, alcanzando su apogeo en la década de 1790. Para hacerse con un hueco en un mercado cada vez más saturado de este tipo de obras, los autores y editores solían recurrir a diferentes estrategias de marketing que

incluían, por ejemplo, revalorizar la obra mediante apéndices insertados antes o después del texto principal. Este artículo se centra en los autores y las autoridades y fuentes citadas en los elementos textuales que se hallan prefijados como material preliminar a una selección de gramáticas inglesas para niños publicadas en el siglo XVIII. Se analizará cómo los autores utilizan metacomentarios para avalar la fiabilidad y validez necesarias tanto para los maestros como para los jóvenes aprendientes. El trabajo se centra en los autores, las autoridades y las fuentes que los propios autores mencionan explícitamente, a fin de identificar cuáles fueron los más citados en las gramáticas seleccionadas, por un lado, y determinar qué razones pudieron justificar esta práctica, por otro.

Palabras clave: gramáticas inglesas; siglo XVIII; paratexto; material preliminar; metacomentarios

1. Introduction

Although the first English grammars—that is, grammars about the English language written in English—date back to the late sixteenth century (Michael [1970] 2010; Vorlat 1975), it was during the eighteenth century—the so-called "Age of Correctness" (Leonard 1929; Baugh and Cable [1951] 1993)—that the English language went through serious attempts at grammar codification and prescription (Tieken-Boon van Ostade 2012; Curzan 2014, 64-92). Among these, Robert Lowth's *A Short Introduction to English Grammar* (1762) definitely stands out and it has been object of extensive scholarly debate recently (Pullum 1974; Beal 2009; Tieken-Boon van Ostade 2010).[1] Even though eighteenth-century language-experts were not scholars in the modern sense of the term—but rather a group of clergymen, schoolmasters and -mistresses, editors, booksellers and even scientists like Joseph Priestly (1733-1804) (Chapman 2008; Yáñez-Bouza 2015)—all of them were moved by a common concern: the imperative need to set grammar rules for correct language usage. Their interest was likely determined by two extra-linguistic forces: (a) the rise of English nationalism, where language was an invaluable asset for cohesion and unity (Newman 1997; Sorensen 2000); and (b) an increasingly polite English society that, by the end of the eighteenth century, demanded more formal education as a means to refine their linguistic style (Beal 2004, 1-12; Vorlat 2007), and in this way "to construct a social identity meaningful to themselves and others" (Meyerhoff 2002, 534).

Diachronically speaking, the number of English grammars published between 1700 and 1759 was discrete compared to those appearing from the 1760s onwards. The peak of production is attested in the 1790s, a decade with a production "nearly reaching 100 grammars" alone (Yáñez-Bouza and Rodríguez-Gil 2013, 146; Alston 1965). That is, the production of English grammars more than doubled during the third quarter of the 1700s, to the point that "a veritable battle for the market [arose], in the process of which publishers drew upon the kind of marketing devices that are still applied today" (Tieken-Boon van Ostade 2008a, 12). Among the most popular marketing strategies of the time was the writing of powerful prefaces, generally "designed to both seduce and control the reader [...] who, [however,] would have been disappointed by a book without them" (Jones 2011, 42). In fact, the prefaces to eighteenth-century English grammars soon became platforms to (a) voice the authors' language premises, (b) express their stance towards the standardization and codification processes, (c) evaluate English grammars hitherto published, (d) confer authority on the book or (e) showcase the excellence and strengths of their work compared to others of the same kind (Rodríguez-

[1] Full bibliographical information on the eighteenth-century works mentioned in this essay can be found in volume one of Robin Alston's *A Bibliography of the English Language from the Invention of Printing to the Year 1800* (1965) or in the database *Eighteenth Century Collections Online* (ECCO, 2007-2016). See also table 1 for a list of the grammars selected for this study.

Álvarez and Rodríguez-Gil 2013). To convey this information properly, eighteenth-century grammar writers often intervened in the text through metacomments, which allowed them to go beyond the factual presentation of contents and variously *interact* with the reader (Taavitsainen 2008, 436-437; Hyland 2011; Domínguez-Rodríguez and Rodríguez-Álvarez 2015).[2]

In the light of the above, this paper explores author(itie)s[3] and sources explicitly named in the prefatory matter of eighteenth-century English grammars for children, with a special focus on how authors used metacomments to endorse the book with authority. Even though English grammars for children held considerable interest for language-experts from the mid-eighteenth century onwards (Navest 2011), this type of English grammar has been less studied than those aimed at a more general audience (Smith 1998; Tieken-Boon van Ostade 2010), or those written by women (Cajka 2003; Percy 2010), for instance. The field of (historical) metapragmatics—a "fairly new term which still allows for a number of variant readings" (Hübler and Bublitz 2007, 1)—may offer a practical framework within which to gain some insight into the textual and interpersonal metacomments inserted in the prefatory material of eighteenth-century English grammars for children. Not in vain, this discipline pays special attention to clarifying "how interactants actually employ meta-utterances to intervene in discourse" (Hübler and Bublitz 2007, 1).

To this end, first I will define the concept of "prefatory matter" and its relevance in eighteenth-century English grammars. Then I will describe the data examined, including the selection criteria applied and the works under study. Thirdly, I will present the results of a qualitative analysis of the material, which may provide evidence as to the rationale behind explicitly mentioning author(itie)s and sources in the prefaces to English grammars for children. Here, the focus is on acknowledged author(itie)s and sources, as a way of identifying the web of influence and tradition that might have been important for the authors selected. Sources vaguely cited—like "as the Poet rightly observes" (Saxon 1737[2], vii), "the authors from whom I have

[2] Metacomments can be either textual or interpersonal. The first type is used to "organise what [the sender] is saying in such a way that it makes sense in the context and fulfills its functions as a message" (Halliday 1970, 66). The second—interpersonal metacomments—encompasses "all that may be understood by the expression of our own personalities and personal feelings on the one hand, and forms of interaction and social interplay with other participants in the communication situation, on the other hand" (66). That is, interpersonal metacomments help authors express their stance and engagement with the reading public, "stance" being conceptualized as "an attitudinal dimension which […] refers to the ways writers present themselves and convey their judgements, opinions and commitments, either intruding to stamp their personal authority onto their arguments or stepping back to disguise their involvement" (Hyland 2011, 182). By contrast, "engagement" is seen as "an alignment dimension where writers acknowledge and connect to others, recognizing the presence of their readers by focusing their attention, acknowledging their uncertainties and including them as discourse participants" (182).

[3] This designation involves both "authorities" (in the strict sense) and "authors" that were relevant for each grammar writer for any reason, regardless of whether they were actually considered an authority in the domain or not by his/her contemporaries.

transcribed observations" (Bell 1769, 3), or "extracted from the works of our first grammarians" (Hornsey 1793, 4)—are not considered in this paper since attempts at tracking them back are often hampered by lack of proper referencing and credits to previous works.[4]

2. Prefatory Matter: Definition and Relevance

According to the French literary critic Gèrard Genette ([1987] 1997, 1-4; 1991), the paratextual apparatus of a work is formed of the different pre- and post-main-text verbal constituents that complement the main book contents. The prefatory (or front) matter of a work—alongside title pages, appendices, tables or illustrations—is part of the so-called "paratext," or the set of supplementary book constituents. While this definition may suggest that paratextual elements are ancillary in nature, Genette claims they are indeed important since a text "rarely appears in its naked state," but is rather surrounded by an ad hoc paratext that enables authors to "*present* it [the work itself], in the usual sense of this verb, but also in its strongest meaning: to *make it present*, to assure its presence in the world, its 'reception' and its consumption in the form, nowadays at least, of a book" (Genette [1987] 1997, 1-2; emphasis in the original). More specifically, he defines the prefatory matter as a valuable *threshold* to the book, that is, as "a 'vestibule' that offers to anyone and everyone the possibility of either entering or turning back" (Genette 1991, 261).

The use of prefatory matter was already commonplace in early modern English books (ca. 1500-1700), which "came accompanied almost invariably by introductory dedications, verses praising the author, epistles to a patron or esteemed colleague, to the readers themselves and sometimes by printed marginal notations that guided reading of the text" (Jones 2011, 42). In this respect, a substantial prefatory matter—in the form of prefaces, prologues, introductions, dedications, etc.—usually served rhetorical purposes and may have enhanced the book's success in the market, especially if the writer implemented suitable formulas and discourse strategies with which to gain the reader's goodwill (Arrington and Rose 1987, 306).

In the case of eighteenth-century English grammars, authors, editors and publishers alike knew how persuasive the prefatory matter, notably prefaces, could be for the end-user (Watts 1995, 147-150), an influential (socio-)pragmatic aspect that has been studied recently (Fernández-Martínez 2012; Domínguez-Rodríguez and Rodríguez-Álvarez 2015; Yáñez-Bouza 2016). However, it also seems that the prefaces to the readers of eighteenth-century English grammars were sometimes more

[4] This unsystematic citation pattern is a handicap to the modern reader, especially in accessing and retrieving information to study the reception of grammar tradition and other language-related works in eighteenth-century English grammars. It would be interesting to cover this aspect of the prefatory material in a future work. See section 4.2 below.

a marketing strategy to boost sales than a matter of the personal choice of authors, as attested in John Fell's preface to *An Essay Towards English Grammar* (1787): "The following pages having, in the first instance been written, and being now published at the Editor's earnest request, he thinks himself under the necessity of introducing them to the Public, and of explaining the particular intention with which they were composed" (v).

All in all, the material examined for this paper suggests that the authors of eighteenth-century English grammars for children exploited the highly persuasive potential of the prefatory matter, here comprising prefaces, dedications, introductions and the address to the public. By means of textual and interpersonal metacomments—see section one, above—grammar writers may have communicated with the public in several ways since the metadiscourse interspersed in a text is "more than just the exchange of information, goods or services, but also involves the personalities, attitudes and assumptions of those who are communicating" (Hyland 2005, 3). In the case of author(itie)s and sources in the works selected, the authors skillfully introduced metacomments in the different prefatory items in order to confer the book with credibility, or to highlight the quality of the content, amongst other purposes that will be discussed below.

3. Data

To extract a relevant set of English grammars specifically designed for children, a simple search on the *Eighteenth-Century English Grammars* (ECEG) database (2010) was performed. Forty-eight records by forty-seven different authors were retrieved initially: forty known by name, and seven anonymous, from British and American grammar traditions. Twenty-five of these (52.1%, roughly half of the total) were available in full-text at the *Eighteenth Century Collections Online* (ECCO), and one (2.1%)—namely, J. Bell's *A Concise and Comprehensive System of English Grammar* (1769)—was consulted in-house in London, at the British Library.

Of these twenty-six English grammars for children, twenty-one (80.8%) included prefaces. Three (11.5%) were preceded by other kinds of prefatory items—"Dedication," "Introduction" or "Address to the Public"—while two (7.7%) had no prefixed material. However, a closer look at the prefatory matter of these twenty-four English grammars for children revealed that only twenty of the writers overtly mentioned the author(itie)s—here comprising language-experts and other individuals—and sources—manuscript or printed material, from literary works to newspapers, journals or pamphlets—inspiring them. All author(itie)s and sources are mentioned by name, surname, work title or by using duly referenced quotations. Consequently, my study concentrates on these twenty works, which are itemized in table 1 below:

TABLE 1. Eighteenth-century English grammars for children selected for analysis[5]

Author	Abridged title	Year (place; #edition)
Saxon, Samuel	*The English Schollar's Assistant*	[1735] 1737 (Reading; 2)
Corbet, James	*An Introduction to the English Grammar*	1743 (Glasgow; 1)
Fisher, A[nn(e)]	*A New Grammar*	[1745?] 1753 (Newcastle; 3)
Blacklock, Thomas	*An Essay on Universal Etymology*	1756 (Edinburgh; 1)
Ward, William	*A Practical Grammar of the English Language*	1765? (York; 1)
Bell, J.	*A Concise and Comprehensive System of English Grammar*	1769 (Glasgow; 1)
Smetham, Thomas	*The Practical Grammar*	1774 (London; 1)
Wood, James	*Grammatical Institutions*	1777 (Newcastle; 1)
Murray, A[lexander]	*An Easy English Grammar*	[1785] 1787 (London; 2)
Anon.	*Rudiments of English Grammar*	1788 (Falmouth; 1)
Webster, Noah (**)	*Rudiments of English Grammar*	1790 (Hartford; 1)
Wilson, J.	*Fisher's Grammar Improved*	1792 (Congleton; 1)
Hornsey, John	*A Short English Grammar in Two Parts*	1793 (York; 1)
Nicholson, James	*The Rudiments or First Principles of English Grammar*	1793 (Newcastle; 1)
Anon.	*A Short English Grammar*	1794 (London; 1)
Anon.	*Rudiments of Constructive Etymology*	1795 (London; 1)
Edwards, Mrs.	*A Short Compendium of English Grammar*	1796 (Brentford; 1)
Murray, Lindley (**)	*An Abridgment of L. Murray's English Grammar*	1797 (York; 1)
G[uy], J[oseph]	*An Easy Introduction to the English Language*	1796 (Bristol; 2)
Eves, Mrs.	*The Grammatical Play-Thing*	1800 (Birmingham; 1)

4. DATA ANALYSIS

4.1. Target audience

The title pages of the works selected point to grammar writers' efforts to elaborate useful, easily accessible and user-friendly material for children. The works are variously titled "assistant," "introduction," "essay," "institutions," "rudiments," "principles," "compendium" or "abridgment," all nouns denoting simplicity and brevity. Similarly, some titles have adjectives which emphasize certain distinguishing features of the book, such as "new," "practical," "concise," "comprehensive," "practical," "easy," "first" or "short." By choosing these (key)words, grammar writers were issuing a declaration

[5] Names marked (**) indicate grammar writers of American origin.

of intent: namely, that children needed grammar books adapted to their capacities and useful in satisfying their real learning needs. In fact, this idea appears in James Nicholson's preface when he is justifying the introductory nature of his *Rudiments*: "Children, whose memories are in general very weak, should not be loaded with a multiplicity of words when they enter upon any new science. The shorter the definitions can be made, the better for them" (1793, 3).

But while grammar contents were thought out in terms of children's capacities, the titles allocated to the prefatory material examined in this study had very different target audiences in mind: educators, parents and other adult groups interested in learning the basics of the English language. By way of illustration, note Samuel Saxon's inclusive title: "The Preface to the Masters of English, Mistresses, Parents, Young Ladies, and Foreigners" (Saxon 1737[2], iii), where "Mistresses" refers to "gentlewom[e]n employ'd in teaching the Fair Sex" (iv). Beyond titles, the information included in the prefatory material itself also seems to be aimed at adults, as it covers arguments connecting English grammar to successful professional careers (Blacklock 1756; 1765?), short disquisitions on methodology for English grammar teaching (Bell 1769; Ward 1765?; Murray 1787[2]), descriptions of the actual utility of the book in practical terms (Webster 1790; Murray 1797) or instructions on how to use the book properly (Anon. 1788; Smetham 1774). Therefore, it is reasonable to assume that the references to author(itie)s and sources in the prefatory material under consideration were likewise intended for an adult audience who could appreciate their value appropriately.

4.2. An overview of author(itie)s and sources

The boundaries between originality and plagiarism are often blurred with respect to the contents of eighteenth-century English grammars (Smith 1996; Tieken-Boon van Ostade 1996; Hickey 2010; Navest 2011). Robin Smith notes that "in [these] grammars, plagiarism is far from being a matter of censure" and, consequently, "copying is the rule rather than the exception" (1998, 435). In fact, the material examined contains self-incriminating metacomments like this by A[lexander] Murray, a Newcastle-Upon-Tyne schoolmaster: "I have without reserve taken from other books what ever I thought would suit my plan, a freedom which all my predecessors have indulged" (1787[2], vi). To justify his liberal taking of passages from other authors, he argued that English grammar—as a discipline—was so widely treated by that time that it would be "in vain to pretend, and impossible to avoid saying many things which have been said before" (vi).

Regarding this kind of authorial stance—shared by many other of the grammar writers under study—Smith explains that unacknowledged copying and plagiarism were not much condemned at the time because the aim of school grammars was designing "rather new, better, and simpler methods of teaching the grammatical principles of the vernacular: the rules of grammar were a given factor" (1998, 435).

Murray himself observes that many eighteenth-century grammar writers knew that "something is still necessary, though perhaps, not so much with respect to the *matter* as the *manner* of forming the most useful school-book, by which grammar may be taught with the least loss of time" (1787[2], v; emphasis in the original). Other authors, like Bell, even justified the free use of contents from previous English grammars on philanthropic grounds:

> The authors from whom I have transcribed observations, *&c.* will, I hope, pardon my freedom, not only as they used the like freedom with others before them, but as the English language has never yet been at its height of propriety and elegance. If, therefore, my endeavours, in prescribing rules, either according to my own judgment, or that of others, be conducive to regulate and methodize the language [...] they will own it was not only doing them justice, but doing a service to the public. (1769, 3-4)

For the reasons above, then, it is often difficult to determine which author(itie) s and sources grammar writers used to compose their works. As J. Wilson frankly states, "many very learned Men have written Treatises on different Parts of the English Grammar [...] from which it was very easy for the Editor to borrow" (1792, viii). In fact, the use of vague or unsystematic citations is commonplace in the material selected here, and this prevents the precise identification of author(itie)s and sources on occasions. This is why the following sections only deal with authors and works explicitly identified by grammar writers in their texts.[6]

4.2.1. Author as actual authority

Metacomments involving self-promotion are very common in the prefatory material selected. Through these, grammar writers step into the text to present themselves as "authorities" in the practical side of English grammar, inasmuch as some of them are long-experienced teachers who have been working in real educative contexts for many years. Saxon, for instance, was a charity-school master at Reading (Berkshire) when the second edition of his English grammar was published. By that time he was "confin'd to teaching only the English tongue, writing, and accompts" (Saxon 1737[2], iv), yet his work came from his devoting of his "vacant hours" to methodizing all his teaching knowledge, spanning more than two decades: "The following Pages [...] are what I have, for more than Twenty Years, used in my own School; and found by Experience their Usefulness, not only to my English Schollars; but to those, likewise, when I taught the Rudiments of the Latin Tongue" (iii-iv). Later in the preface, Saxon claims that his methodology is truly effective, as the positive comments of skilled educators

[6] Due to space constraints, only certain selected excerpts from the prefatory material examined are provided for illustration purposes.

attest—"[a]nd having met with great encouragement by the subscription of more than two hundred divines"—and this is why he "ventur'd to make publick" the materials which "hitherto have been for my own private use" (iv, vii).

To finish off his commendatory discourse, Saxon resorts to the topos of affected modesty to concede that he may not be the most appropriate grammar writer, but will be nonetheless proud to serve as a model for his coevals: "If my labours [...] prove of any service to the publick, I shall rejoice that I have been the instrument of doing any good in my generation" (vii). According to Floris Bernard (2014), introducing this kind of topos in the discourse had, since Middle Byzantine times, usually served two main purposes: "to express a genuine or feigned concern about the authors' ability to deal adequately with the subject, and to thwart criticism for shortcomings in their work" (2). Taking into account Saxon's metacomment, he may be trying to disguise his self-proclaimed authority on the matter, on the one hand, and to prevent any criticism of the grammar plan (let's say, the microstructure) or methodology proposed, on the other.

Self-promotion metacomments are also found in James Corbet's "Dedication," in which he is looking for "countenance and patronage" from the "Honourable Magistrates" of Glasgow city. Corbet first mentions his most outstanding professional merits, using the rhetoric strategy of *captatio benevolentiæ*, meant to secure the addressees' goodwill towards his endeavor: "Having the Care of the Education of a good many Children of the City, in the English Language, in the Management of which Province, I flatter my self, that I have been given general Satisfaction to such as have employed me both as to my Diligence and my Method" (1743, iv). On account of his teaching skills and results, he explains that, after reviewing the "Performances of others, who have written in this subject," he certainly prefers his own methodological approach and, therefore, has decided to publish it "to render my Labours still more beneficial to my Scholars and more agreeable to my self" (iv).

Another, perhaps less flattering, case is observed in William Ward's preface. In it he states that his English grammar is richer than other similar ones thanks to his long teaching experience and current leading position in an educational institution:

> The following Grammar is not meerly the product of Reflection in the Study; but much Trial, and Practice, and Experience have likewise contributed to bring it to its present Form. As I have now been the head of a public School above thirty Years, I have, from daily Experience, had too much Occasion to observe, that the Understanding of Children is not improved so much as might be wished by the usual Methods of teaching Grammar. (1765?, iii)

Also on practical grounds, other authors enhance their own authority in the field and present themselves as qualified critics of previous English grammars. In James Nicholson's preface, for instance, we read that he has been "employed in the education of youth above twenty years [and] has found, by long experience, that the generality of English Grammars are but ill adapted to the capacities of children" (1793, 3). This

same argument is found in Mrs. Edwards's "Address to the Public," where it is stated that "[f]rom her long and close Attention to the Education of Youth, the Authoress has had frequent occasion to observe that the progress of Children is too generally impeded by the extreme Prolixity and Difficulties of their Grammars" (1796, vi-vii). To remedy this situation, Edwards took proactive steps "to simplify the Elements, without being tedious; and to render them compendious, without being obscure" (vii). With these statements, Edwards shows she has knowledge and experience enough to facilitate the teaching of English grammar to young learners, even to the extent of digesting the contents according to their language level.

But not all grammar writers approved of self-promotional maneuvers. Ann(e) Fisher, for example, reported that these were too frequent in the prefatory matter of eighteenth-century English grammars. In her preface, she rebuked those who discredited other colleagues for the sake of promotion: "For I shall not run into that ungenerous, tho' common Fashion, of raising the reputation of my own Book, at the Expence of my Brethren of the Subject; or start Objections to others for my own Advantage" (1753[3], i). Similarly, Alexander Murray also criticized this practice by echoing the widespread use of prefaces as an instrument by which to underrate other English grammars.[7] He even speaks of extra-linguistic factors intervening in the (un-) acceptance and (un-)popularity of the books: "I do not write a preface for the purpose of introducing particular commendations of my own work, nor for the still worse purpose of depreciating the works of others. All I crave is an impartial perusal, and an unbias'd determination, not founded on private or personal prejudices for or against particulars of any kind, but on what is most for the public advantage in teaching this necessary part of an English Education" (1787[2], viii).

One last example is taken from Bell's preface. Just as Nicholson (1793) and Edwards (1796) above, Bell also felt able to judge the other English grammars on sale but, at the same time, he stated that he did not want to promote his own to the detriment of others:

> I am sensible by experience in teaching, and by Inspection into works of a grammatical nature, that there is no one grammar extant sufficient to give either a tutor, or a pupil, a competent knowledge of all the proprieties, elegancies, peculiarities and beauties, of which the English language is susceptible. Yet, as I have no view of depreciating the real value of others works, it must be acknowledged, that there are several both high and low priced books of a grammatical nature, of great utility. (Bell 1769, 5-6)

[7] The anonymous author of *Rudiments of English Grammar* (1788), for example, inserts a footnote on the first page of his/her preface to indicate that "Dr. Lowth (it is apprehended) is not accurate in his second Persons Singular of the proper Subjunctive Mood" (i). In the anonymous *A Short English Grammar* (1794) we read that practical exercises on bad English, like those proposed in John Ash's *Grammatical Institutes* (1760) "have been, by discerning teachers, generally disapproved; for they have seldom, if ever, communicated any valuable knowledge of the Syntax" (iv-vi).

4.2.2. Cross-reference to other author(itie)s and sources

Explicit reference to author(itie)s and sources in the prefatory matter examined is less habitual than authors' self-characterization as an authority in the discipline. This is probably due to that general, non-reproved tendency to take material from other works rather freely. But although most grammar writers deemed it unnecessary to acknowledge the author(itie)s and sources consulted, a few did reference them in the prefatory matter for a variety of reasons. These are discussed below in order of their frequency.

4.2.2.1. Explaining the rationale behind a new English grammar

Quite often, the reasons behind an author being moved to publish another English grammar—despite the oversaturated market of the day (Tieken-Boon van Ostade 2008b, 104-107)—are revealed to the reader in the prefatory discourse. One such reason was that previous grammar writers had been unable to adapt the contents of adult grammars to children's capacities, as anticipated in 4.2.1. above. The discussion on the (un-)suitability of English grammars aimed at young learners is sometimes illustrated by citing, or quoting from, a specific author(ity) or source. In the preface to his English grammar, Thomas Blacklock admits being "greatly indebted to a late philosophical inquiry into the principles of language, by John Harris, Gent" (1756, vi).[8] However, he also believes that Harris's book is not age-appropriate due to its format and theoretical density; as a result, Blacklock's work is an attempt at making it more widely accessible: "And had that treatise been less voluminous, or more generally known, the public would probably have never seen the following essay" (vi).

Likewise, in the anonymous *A Short English Grammar* (1794) Lowth's grammar is described as a "very elegant Treatise [...] But that, though an admirable composition, is rather calculated to gratify the critical curiosity of one who has already perfected his Education, than to be useful to a Child who is just beginning it; and does not seem to possess either the perspicuity or conciseness necessary for a student scarcely emerged from the nursery" (Anom. 1794, iii). If what is nowadays considered a seminal work in grammatical prescriptivism was not considered suitable for children, we can interpret that the author of *A Short English Grammar* wanted to design a more finely-tuned English grammar for children:

> It may be proper therefore, to hint the reasons which I have occasioned the compilation of this little manual [...] This being designed solely for the junior classes, every thing apparently

[8] The identification of this reference is troublesome. There is a philosophical inquiry into the principles of language by James Harris, Esq., titled *Hermes; or a Philosophical Enquiry concerning Universal Grammar* (London, 1751), but no trace of a work of this nature by John Harris, D. D. (1666-1719), otherwise known for his theological and lexicographic contributions. In fact, the work by James Harris seems more aligned with Blacklock's proposal.

> above their comprehension is entirely omitted. While that, though called an Introduction, suggests various critical observations totally useless to those for whom it professes to be designed. (Anon. 1794, iii)

This idea is also present in Noah Webster's preface where he acknowledges that his 1790 English grammar for children is just a compendium of a longer and more complex work by himself: *A Grammatical Institute of the English Language* (1784). Knowing that it was necessary to reduce and simplify its contents for teaching purposes, Webster decided to publish an abridged version more adapted to a younger audience:

> There has been a general complaint among the teachers of schools, that the Second Part of the Grammatical Institute is a work too complex and difficult for young beginners in Grammar. The author is sensible of the justness of this complaint [...] The object of this little compendium is to bring the general principles of our language into as small a compass, and to express them in as familiar a manner, as possible. (1790, ii)

Lindley Murray's English grammar for children follows in the footsteps of Webster's decision to summarize a previous larger work for the benefit of young learners. The preface starts by explaining why Murray abridged his own grammar, not missing the opportunity to mention the popularity the first text had among his peers: "The Compiler of 'English Grammar, adapted to the different Classes of Learners,' having been frequently solicited to publish an Abridgement of that work, for the use of children commencing their grammatical studies, he hopes that the epitome which he now offers to the public, will be found useful and satisfactory" (1797, a2r).

A variant of this argument is observed in J. Wilson's proposal, an improvement of Ann(e) Fisher's *A New Grammar* (1745?)—a very popular work still being published in the 1790s (Cajka 2003, 247)—by correcting typographical errors, replacing old terminology and introducing the latest contributions to English grammar. For Wilson considered that "it is better to correct an old Grammar than to attempt to introduce a new one" because "the Number of Grammars is already sufficiently large; and an old one properly corrected and received, wou'd be diminishing the propagation of Errors, at the same Time that it was disseminating Truths" (1792, vii). As a result, he edited Fisher's grammar—seemingly an authority herself in her day—but making it clear that he was not motivated by "any Wish to detract from the Merits of his fair Country Woman (her Performance for the Time and Place was no Doubt an admirable one)" (viii).

Finally, two cases which set themselves apart are those of Thomas Smetham (1774) and Mrs. Eves (1800). In his preface, Smetham disagrees with the widespread fashion of learning French in eighteenth-century England: "The passion for studying French as, for many years past, raged almost to madness; though I will be bold to say that our native language is far superior, both with respect to the learned and elegant Works

written in it, and its own peculiar excellencies" (1774, iv). In his opinion, children must learn and master their own native language first, and only then be introduced to foreign languages. Proficiency in English could be helpful to the acquisition of a second language, he believes, in his role as experienced "Master of the Academy at Southgate, and late Master of the Boarding School at Ponder's End" (title page). Therefore, and to support his defense of the native language and the "quite new and amusing" grammar plan he proposes, Smetham quotes from polymath John Dryden (1631-1700) and the 4th Earl of Roscommon—Wentworth Dillon (1633-1684)—both of whom compare English and French:

> The Great Dryden [...] says, "that the French language has all the swiftness of a greyhound; but the English, all the strengths of a mastiff." And the Earl of Roscommon, whose authority and judgment have never been doubted, exclaims;
>
> "Vain are our neighbours hopes, and vain their cares;
> The fault is more their language's than theirs:
> 'Tis *courtly*, *florid*, and abounds in *word*s
> *Of softer sound* that ours perhaps affords;
> But who did ever, in *French authors*, see
> The Comprehensive English energy?" (Smetham 1774, iv-v; emphasis in the original)

Regarding Mrs. Eves's *The Grammatical Play-Thing* (1800), it is a proposal for learning English grammar through role-playing and language games. The book contains a thirteen-line "Advertisement" that reproduces an excerpt from John Locke's (1632-1704) essay *Some Thoughts Concerning Education* (1693), a book considered "the product of a long tradition of pedagogical humanism, the roots of which went back to the thought of Quintilian; Montaigne and Comenius were its modern representatives" (Kitromilides 1992, 154).[9] The purpose is to draw on Locke's educational philosophy in order to justify her play-thing approach to English grammar; thus, the excerpt selected deals with the importance of engagement in the learning process—"[g]reat care is to be taken that learning be never made as a business to children, nor should they look on it as a task" (Eves 1800, A2)—and how playing and recreation can imply an extra dose of motivation for children, "suitable to their particular tempers, to make learning a sport to them" (iv). She lets the quotation speak for itself, through Locke's own words, as a means to support her method, specifically designed "for Young Ladies from four to twelfe years old" (title page).

[9] Close collation with *The Works of John Locke, Esq.* (1714, vol. III) reveals some minor wording differences between the original text and Eves's "Advertisement"—see her chapter on "Reading" (Eves 1800, §148).

4.2.2.2. Naming authors and sources for the contents included in the English grammar
Some grammar writers report they have consulted noteworthy author(ities) and sources in the field in order to validate the contents of their English grammars, on the one hand, and to assure the public that these are consistent and age-appropriate, on the other. By explicitly naming individuals and works, grammar writers try to ensure the credibility of the grammatical knowledge and other linguistic aspects included in their books. In this way, the English grammar is backed up in some way and grammar writers are able to introduce a certain degree of objectivity to convince the audience of the excellence of the work.

In the preface to his English grammar, Thomas Blacklock explains that he follows a tripartite distinction between substantives, adjectives and particles, which is not original at all in the discipline. As a reference source, he mentions a work that had already presented word categories in simple terms: "for it [the method] is used in a very elegant manner and sensible performance, *intitled, An English education*; and recommended by Sir Richard" (Blacklock 1756, v; emphasis in the original). Quite probably, this work is John Brightland's (d. 1717) *Reasons for An English Education* (1711), which Richard Steele (1672-1729), under the pseudonym Isaac Bickerstaff, discussed in the *Tatler* (Bickerstaff 1710, vol. IV, no. 284). However, Blacklock also claims some credit for his presentation of grammar contents insofar as the book was organized according to "the current of his own ideas, more than [...] any other grammar extant" (1756, vi).

For his part, the author of *A Short English Grammar* (1794) comments that his grammar plan results from detailed consideration of what he considers reliable authorities in the field. However, the distribution and presentation of contents follows an identified Latin grammar since it is better adapted to children's learning needs:

> He has consulted Dr. Lowth, Dr. Johnson and other authorities, at every step; but has chosen to adopt the method and plan of the Eton Latin Grammar as much as possible, for this reason, That if it shuld be thought proper to follow Dr. Lowth's advice, and teach a boy English Grammar before he enters upon Latin, the Latin Grammar (being similar to this) will then be much easier for him to learn [...] For this reason the Author has adopted the mode of declining Substantives, and conjugating Verbs, made use in the Latin Grammar. (Anon. 1794, iv-vi)

In the quotation above, two explicit references are made to Lowth's English grammar (1762) and to Dr Samuel Johnson's (1709-1784) contribution to the field; in the latter he may be referring to *A Dictionary of the English Language* (1755), which incorporated a thirteen-page English grammar prefixed to the first volume.

Finally, Joseph Guy's information on author(itie)s and sources is more concrete, although in the preface he only includes the title addressed plus the authors' surnames: "The Etymology resembles a part of Dr. Ash's Introduction. In the Orthography Mr.

Hewlet's excellent collection of words has been followed. Some of the examples of the parts of speech are taken from Mrs. Teachwell" (Guy 1796[2], iv). In this case, the relevant works are (a) *Grammatical Institutes* (1760), by Minister John Ash (1724-1779), (b) the spelling-book entitled *An Introduction to Reading and Spelling* (1786), by the biblical scholar John Hewlett (1762-1844), and, possibly, (c) *The Child's Grammar* by Lady Ellenor Fenn (1744-1813), a prolific writer of children books often under the pseudonyms of Mrs. Teachwell or Mrs. Lovechild (Cajka 2003, 124-127). Guy also explains that drawing on such authorities looks for "practical excellencies, rather wishing to present youth with a valuable assemblage of information, than assume himself any claim of entire originality" (Guy 1796[2], vi). In this sense, he aligns himself with those eighteenth-century grammar writers who knew that little innovation could be introduced in English grammar itself, yet the approaches and methodology to teach it were the key to improving the learning process.

4.2.2.3. Recommending reference works for specific themes

On occasions, the prefatory matter contains bibliographical references that (adult) users might consult to broaden their knowledge on the topic. This time, grammar writers intend to provide the reader with further material to systematize the knowledge being acquired, on the one hand, and to guide self-study, on the other. An instance is found in William Ward's preface to *A Practical Grammar of the English Language* (1765?), where he names Kentish mathematician John Wallis's (1616-1703) *Grammatica Linguae Anglicanae* (1653). In Ward's opinion, Wallis's grammar is especially useful for a target audience already versed in Latin grammar: "And if you take for granted that every Learner is previously acquainted with the Latin Grammar, much of the English Grammar may be omitted. Dr. Wallis wrote his short Account of the English Grammar for those who were in the latter Situation" (1765?, vii). However, later in the preface Ward notes that, although Wallis's presentation of grammatical phenomena is concise and simple enough, the book is aimed at foreign learners of English and, therefore, fails at instructing on certain language features that would be basic for British children: "Dr. Wallis [...] has omitted, or at least touched very slightly, many Parts of his Subject [...] As for instance, the Formation of the Irregular Verbs; Rules of the Order of Position in the English Construction; and indeed almost the whole Syntax of the Language" (viii).

Another bibliographical recommendation is found in James Wood's preface: "To bestow any attention on spelling and punctuation was also judged foreign to this performance; the former belongs properly to spelling-books, in which directions concerning the latter are always inserted." A footnote is added suggesting "Maclaurin's Spelling-book, and Metcalf's English Rudiments" as further reading (1777, i). He is possibly referring to Peter Maclaurin's (?) *An Easy and Complete Introduction to Reading* (1775), which "adopted a new method of dividing syllables which, in some instances, appears more eligible than that in common use" (Griffiths and Griffiths 1775-1776,

366) and to Reverend Lister Metcalf[e]'s (?) *Rudiments of English Grammar* (1771). Similarly, John Hornsey talks of which English grammar is of particular interest for more advanced levels: "If the learner should wish to prosecute the study of English Grammar any farther, he may, with great propriety, after this, peruse Dr. Lowth's learned treatise on the same subject" (1793, 4).

To close this section, note the anonymous author of *Rudiments of Constructive Etymology* (1795) praising and recommending the works of those s/he considers key author(itie)s in the field of English grammar: "What has hitherto been done in this science, by the late Bishop of London, Dr. Priestley, &c. does honour to their literary and critical abilities. A single glimpse to the present epitome will not convey an idea of superceding those useful and valuable tracts" (Anon. 1795, x).[10] In this case, s/he refers to *The Rudiments of English Grammar; Adapted to the Use of Schools* (1761) written by Joseph Priestley (1733-1804), theologian and natural philosopher.

5. Concluding Remarks

The material examined for this paper reveals that citing or quoting author(ities) and sources in the prefatory matter of eighteenth-century English grammars for children was not a well-established, consistent practice. However, excluding unidentifiable references, some preliminary conclusions can be drawn from the data considered.

First, grammar writers include names, work titles and excerpts from notable author(itie)s of the seventeenth- and eighteenth-century intellectual sphere either to endorse their arguments or to validate, highlight or complete the information given. All author(itie)s identified are of British origin, probably on the assumption that they were the best references possible to deal with the intricacies of the native language. Among the most notable names in the field, the most prominent place is given to grammar writers themselves. In fact, self-promotion is commonplace and grammar writers gave different arguments to justify why they should be part of the authoritative body that was contributing to building the grammatical basis of eighteenth-century English language. For this purpose, grammar writers insisted on putting on record their extensive teaching experience at schools, as well as their know-how and familiarity with the national education system. Other author(itie)s and sources appearing in the prefatory matter come from the British tradition of English grammar itself—notably figures such as Ash, Lowth and Priestley, from language-related essays and philosophical enquiries and from artistic disciplines like poetry, in which a confident mastery of the language was essential.

Second, the different kinds of prefatory texts examined incorporate textual and interpersonal metacomments that helped grammar writers to construct a convincing

[10] This praising was not habitual in eighteenth-century English grammars, as Fisher (1753[3]) and Murray (1787[2]) pointed out in their respective prefaces—see section 4.2.1.

discourse that may have ensured the success and public acceptance of the work. By inserting elaborate metacomments that cross-refer to pertinent author(itie)s and sources by way of citations, paraphrases and quotations, grammar writers not only wanted to confer their work with reliability but also to gain the readers' favorable predisposition towards the contents presented. In fact, grammar writers' arguments are sometimes stronger if they frequently asserted—and demonstrated—they had consulted serious reference works and knew the latest advances in the debate on language correctness. At the same time, this bibliographical information could have defined the school of thought that influenced each grammar writer's approach to English grammar as a discipline, putting them on the map of eighteenth-century language-experts.

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Spanglish: The Hybrid Voice of Latinos in the United States

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The language practices of Latinos in the US continue to attract attention from politicians, educators, journalists, linguists and the general Hispanic and non-Hispanic public. While monolingual speakers of English in the US expect Hispanics to shift to English like other minority language speakers have done in the past, monolingual speakers of Spanish expect them to speak "pure" Spanish. Even Spanish-English bilingual speakers criticize Latinos for mixing Spanish and English or speaking Spanglish. This term has been rejected by some linguists who claim that it is technically flawed and only applies to casual oral registers. In this paper I consider the linguistic nature, sociolinguistic functions and attitudes towards Spanglish, I show that Latinos are using this hybrid, heteroglossic variety beyond casual oral registers, and I suggest a broader perspective which not only considers the linguistic features of Spanglish but also the political, social and cultural issues involved.

Keywords: Spanglish; code-switching; Latinos; US Spanish; code-mixing; mixed language

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Spanglish: la voz híbrida de los latinos en los Estados Unidos

Los hábitos lingüísticos de los latinos en los EEUU siguen atrayendo la atención de políticos, profesores, periodistas, lingüistas y del público en general. Mientras que los hablantes monolingües de inglés esperan que los hispanos adopten el inglés como han hecho otros inmigrantes, los hablantes monolingües de español esperan que conserven y usen un español "puro." Incluso los hablantes bilingües critican a los que hablan los dos idiomas por mezclarlos o hablar *Spanglish.* Este término ha sido rechazado por algunos lingüistas que argumentan que no es técnicamente válido y que solamente ocurre en registros de habla informal. Este trabajo considera la naturaleza lingüística, las funciones sociolingüísticas y las actitudes sobre el *Spanglish*, muestra que los latinos están usando esta

variedad híbrida y heteroglósica más allá de los registros de habla informal y sugiere una perspectiva más amplia que tenga en cuenta no solamente las características lingüísticas del *Spanglish* sino también su contexto político, social y cultural.

Palabras clave: *Spanglish*; cambio de código; latinos; español de EEUU; mezcla de códigos; lengua mixta

> Until I am free to write bilingually and to switch codes without having always to translate, while I still have to speak English or Spanish when I would rather speak Spanglish, and as long as I have to accommodate the English speakers rather than having them accommodate me, my tongue will be illegitimate. (Anzaldúa [1987] 1999, 81)

1. Introduction

In 2014, there were almost 55.4 million Hispanics in the United States (Pew Hispanic Center 2016).[1] As this population continues to grow, different people including politicians, educators, journalists, linguists and the general Hispanic and non-Hispanic public are paying close attention to their language choices. Should they shift to English and give up Spanish? Should they maintain Spanish? Should they embrace their hybrid linguistic and cultural heritage? As shown by movements like English-only, the use of Spanish in the United States is under attack and some monolingual speakers of English in the US are urging Hispanics to shift to English like other minority language speakers have done in the past. Further, when politicians address Latinos in Spanish their linguistic choice is often criticized. This happened to Gabriel Gómez when he announced his candidacy for the senate seat vacated by John Kerry with an opening in Spanish, to Marco Rubio for delivering a taped Spanish version of his response to the State of the Union address, to Jeb Bush for using Spanish in his campaign and, more recently, to Tim Kaine, to give just a few examples.

This attitude reminds us of Samuel Huntington, who in his book *Who are we? The Challenges to America's National Identity* warns Americans of the danger of this new *reconquista* and of the cultural threat posed to American identity by Latino immigration, which he states "could divide the United States into two peoples, two cultures and two languages" (2004, 256). Despite this fear, the fact is that actually, as pointed out by James Crawford (1993, 2000), language shift from Spanish to English has been happening in the Latino community, in the same way as in other minority language communities in the United States, and English is in fact the main language of most Hispanics in the US. That said, Hispanics have not given up on Spanish just yet.

Interestingly, monolingual speakers of English in the US are not the only ones criticizing Hispanics' use of Spanish. Monolingual speakers of Spanish from other Spanish-speaking countries like Argentina, Colombia, Mexico and Spain often criticize Latinos for not speaking so-called "pure" Spanish, but speaking Spanglish, a mixing of Spanish and English. This mixing has been controversial among educators and both the general Hispanic and non-Hispanic public. Even Spanish-English bilingual speakers often praise the ability to keep both languages separate and criticize those who do not. Since it can refer to distinct contact phenomena, Spanglish is usually avoided by linguists. However, some have entered into a debate about the appropriateness of the term and the phenomenon itself. Thus, in an article entitled "On so-called Spanglish,"

[1] In this paper the terms *Hispanic* and *Latino* will be used interchangeably despite their different connotations.

Ricardo Otheguy and Nancy Stern (2011) propose to discard the term *Spanglish* and use instead simply Spanish or Spanish in the United States.[2] According to these authors, Spanglish, which in their view most often describes the casual oral registers of the speech of Hispanics in the United States, is an unfortunate and misleading term. From their perspective, "Spanish in the USA is not of a hybrid character, that is, not centrally characterized by structural mixing with English" (85). They conclude that "the term [Spanglish] is not only technically flawed, but it also contributes to closing the doors of personal and economic progress to speakers who would be better served by thinking of themselves as speakers of Spanish" (98). Although they do mention that it is used with pride by some Latinos, they do not consider some of the social, cultural and political factors which I think are important in this debate. This article brings together insights from linguistics, sociolinguistics and border studies, considers the linguistic nature and sociolinguistic functions of Spanglish and attitudes towards this phenomenon, and suggests a broader perspective should be taken which not only considers the linguistic features of Spanglish but also the political, social and cultural issues involved. As linguist Ana Celia Zentella has aptly pointed out when describing her anthropolitical linguistics approach, "whether we choose to discuss it or not, there is no language without politics" (Zentella 1997, 14).

This article is organized as follows. In section two I consider the linguistic nature of Spanglish and the distinct language contact phenomena it involves. Section three focuses on its sociolinguistic local and global functions and attitudes towards the name and the phenomenon itself. In section four I show that Spanglish cannot be viewed as just a casual oral register, and in section five I bring together some views from sociolinguists and border studies to suggest the need to consider not only purely linguistic aspects of this phenomenon but also the important cultural, social and political issues involved.

2. The Linguistic Nature of Spanglish

Similar to other blends, the term Spanglish, coined by Puerto Rican writer Salvador Tió in the late 1940s, has been informally used to refer to the mixing of Spanish and English, frequent in communication among Spanish-English bilingual speakers.[3] The *Merriam-Webster Dictionary* defines Spanglish as "Spanish marked by numerous borrowings from English; broadly: any of various combinations of Spanish and English" ([2003] 2017, s.v.). Although the Real Academia Española (RAE) recently agreed to eliminate the word *deformándolos* ["deforming them"], in the text below we find the original entry for *Espanglish* in its dictionary:

[2] For other articles on Spanglish see Álvarez (1998), Dumitrescu (2010; 2013), Fairclough (2003), Lipski (2007) and Montes-Alcalá (2009), among others.

[3] Similar blends are Arablish, Chinglish, Czenglish, Denglisch, Dunglish, Finglish, Heblish, Hinglish, Konglish, Poglish, Runglish, Serblish, Swenglish, Yinglish, etc. In Gibraltar the mixture of Spanish and English is referred to as Llanito and in the United States other names such as Tex-Mex, Pocho, Nuyorican, Cubonics, Pachuco or Caló have also been used.

> (Del ingl. *Spanglish*, fusión de *Span-ish* y *En-glish*)
> Modalidad del habla de algunos grupos hispanos de los Estados Unidos, en la que se mezclan, deformándolos, elementos léxicos y gramaticales del español y del inglés. (2014, s.v.)
> ["(From English *Spanglish*, blend of *Span-ish* and *En-glish*)
> Variety used by some Hispanic speakers in the United States, which mixes and deforms lexical and grammatical elements of Spanish and English."]

As mentioned in the introduction, what is informally referred to as Spanglish can be a combination of distinct contact phenomena. These phenomena include the use of borrowings, calques, semantic extensions, nonce borrowings, code-switching and code-mixing. The use of English borrowings is a hallmark of the Spanish spoken by Latinos, as the entry for Spanglish in the Merriam-Webster dictionary above makes clear. These are words or phrases borrowed from English which are phonologically, and sometimes orthographically and morphologically, adapted to Spanish. In (1) we have an example where *to type* has been borrowed into Spanish as *taipear*:

(1) *Tengo que taipearlo primero y luego te lo llevo.* (Sánchez 1983, 126)
["I have to type it first and then I will bring it to you"]

Other borrowings from English include words like *troca* ["camión"] (< English "truck"), *yarda* ["patio"] (< English "yard") or *suiche* ["interruptor"] (< English "switch") (Sánchez 1983, 124). As we know, the Spanish language in general, not only US Spanish, is constantly borrowing words from English and so the incorporation of borrowings would certainly not warrant a special name like Spanglish to refer to Spanish spoken in the US. Non-US Spanish abounds with English loanwords such as *living*, *basketball*, *sweater*, *jersey*, *mail*, *tattoo*, *bracket*, *look* and hundreds of others.

In addition to borrowings, another common contact phenomenon is the use of calques or loan translations. This is common with compounds or phrases where each word is translated into the borrowing language. Here we have some examples from US Spanish: *llamar pa'trás* (< English "to call back"), *está p'arriba de ti* (< English "it's up to you"), *correr para gobernador* (< English "to run for governor") (Montes-Alcalá 2009, 106). This phenomenon also happens in non-US Spanish. For example, the following calques are common in Spain and other Spanish-speaking countries: *correo electrónico* (< English "electronic mail"), *cursos en línea* (< English "online courses"), etc.

Another well-known contact phenomenon, usually referred to as semantic extension, involves adding a new meaning to an existing word, converting a false cognate into a true cognate. Thus, in US Spanish words like *carpeta* and *librería* have acquired an additional meaning from their English equivalents: *carpeta* (< English "folder" + "carpet"), *librería* (< English "bookstore" + "library"). Not surprisingly, this is also common in non-US Spanish varieties. For example, the verb *ignorar* has acquired the meaning of its English cognate "to ignore" and can be used both meaning "lack of knowledge," as in example (2) or "disregard" as in example (3).

(2) *Ignoro lo que te va a decir* ["I don't know what s/he is going to say"].
(3) *Puedes ignorar lo que te diga* ["You can ignore what s/he might tell you"].

Thus, we have seen that loanwords, calques and semantic extensions are common in any variety of Spanish. Further, some of these words or phrases are also used by monolingual speakers of Spanish who might be unaware of their English origin. In contrast, the remaining contact phenomena present in Spanglish which are to be discussed here require some degree of bilingualism. First, we can distinguish nonce borrowings (Poplack, Sankoff and Miller 1988). These are words which have not become an established part of the language and are spontaneously borrowed by bilingual speakers with or without phonetic adaptation. This is exemplified in (4), where the word *tenure* has been momentarily borrowed into Spanish:[4]

(4) *Juan todavía no tiene tenure* ["Juan doesn't have tenure yet"].

Second, one of the most noticeable features of Spanglish, also present in the definitions considered above, is the combination or mixture of the two languages. This combination is usually referred to as code-switching, and it can occur across sentences—intersentential code-switching—as in (5), or within sentences—intrasentential code-switching—as in (6).[5]

(5) His cousin Pedro Pablo sucked his teeth with exaggerated disdain. *Esto aquí es un maldito infierno.* (Díaz 2007, 275)
(6) These are not *gente de calidad*. (Díaz 2007, 273)

The term code-switching is especially apt for cases like (5) and (6), which involve a switch from one language to another at major syntactic or prosodic boundaries.[6] The term code-mixing, on the other hand, seems more appropriate for those cases where rather than switching from one language to another at a sentence or a phrase level, bilingual speakers mix two or more languages inside a phrase, as in (7):

(7) *Estos* giant *porteño* mosquitos are trying to bite my hyper-sensitive *cuerpo* here *en el comedor* where I write. (Chávez-Silverman 2004, 65)

Different authors have used different terms for these phenomena, however. Peter Auer (1999), for example, distinguishes between code-switching and language mixing

[4] Other linguists might consider cases like (4) to be instances of single-word switches, particularly if the original language pronunciation is retained.

[5] To highlight the difference between the two languages in the examples containing elements from both, italics are used.

[6] Researches sometimes also use "tag switching" to refer to those switches which involve tags, as in "It is raining a lot these days, *verdad*?" (Toribio 2001, 205)

and uses the term "fused lect" to refer to cases where both languages seem to be fusing. When this fusion has become a stable variety linguists have used the term "mixed language." A well-known mixed language is Media Lengua, a mix of Spanish and Quechua which has been studied by Pieter Muysken (1997). In examples (8), (9) and (10) we find sentences in Spanish, in Quechua and in Media Lengua:

(8)	Vengo para pedir un favor	Spanish
	Come [1 p. sg.] *to ask* [infinitive] *a favor*	
(9)	Shuk fabur-da maña-nga-bu shamu-xu-ni	Quechua
	one favor [ACC] *ask* [NOM-BEN] *come* [1 p. sg.]	
(10)	*Unu fabur*-ta *pidi*-nga-bu *bini*-xu-ni	Media Lengua
	one favor [ACC] *ask* [NOM-BEN] *come* [1 p. sg.]	(Muysken 1997, 365)

It should also be noted that Spanglish should be distinguished from Junk or Mock Spanish. These are phrases, used by Anglos, which make fun of Spanish expressions, such as *grassy ass* for "gracias," or use some Spanish words or morphemes with English nouns, typically the Spanish determiner *el* ("the") and the suffix *-o*, as shown in "the drinko for Cinco," "el cheapo" or "no problemo" (Hill 2008, 138; quoted in Toribio 2011, 534). As pointed out by Jane H. Hill "Mock Spanish borrows Spanish-language words and suffixes, assimilates their pronunciation to English (often in a hyperanglicized or boldly mispronounced form), changes their meaning, usually to make them humorous or pejorative, and uses them to signal that the moment of English-language speech or text thus embellished is colloquial and informal" (2008, 134; quoted in Toribio 2011, 534).

Finally, Pieter Muysken (2000) has proposed the following typology of code-switching: insertion, alternation and congruent lexicalization. These distinctions form a continuum rather than a clear-cut division. Insertions involve the introduction of a word or a phrase, as in (11), where the phrase *in a state of shock* is inserted into a Spanish sentence:

(11) Yo anduve *in a state of shock* por dos días. (Pfaff 1979, 296)

Alternation is switching to a different language, as in (12), where the speaker starts in Spanish and then switches to English:

(12) *Andale pues* and do come again. (Gumperz and Hernández-Chávez 1971, 118)

Congruent lexicalization can take place when the languages share equivalent structures, which can be filled in by lexical elements from either language, as in (13).[7]

(13) *Bueno*, in other words, *el* flight *que sale de Chicago* around three o'clock. (Pfaff 1976, 250)

[7] This kind of structure is what comedian Santiago must have in mind when he says: "Yo ♥ Spanglish. Twice the vocabulary, half the grammar" (Santiago 2008, 33).

Hence, although there are different perspectives on how to analyze code-switching and code-mixing and numerous debates about the best way to describe the grammar or grammars involved, all linguistic analyses of these phenomena have concluded that the mixture is not random, but in fact is rule-governed and systematic.[8] That is, as Toribio (2001) has pointed out, bilinguals distinguish between permissible and unacceptable code-switches and would agree that the example in (14) is possible while that in (15) is not.

(14) *Toda mi familia* speaks English well.
(15) *Five of my cousins have *completado estudios universitarios*. (Toribio 2001, 206)

The first attempts at explaining the grammaticality of code-switched sentences appealed to specific constraints for code-switching such as Shana Poplack's Free Morpheme and Equivalence Constraints (1980).[9] However, more current approaches suggest that rather than trying to come up with specific constraints for data involving code-switching, our linguistic theories should be able to account for both non-code-switched and code-switched data without any additional principles or constraints—see MacSwan (2014) for more details.

In sum, we have seen that, as opposed to a meaningless hodge-podge of English and Spanish, Spanglish is in fact the result of bilinguals' use of borrowings, calques, semantic extensions, nonce borrowings, and the skillful mixture of two grammars in cases of code-switching and code-mixing.

3. Functions and Attitudes towards Spanglish

All the linguistic, sociolinguistic, psycholinguistic and/or discourse analyses of the use of two languages in the same conversation or sentence have shown that in contrast to popular perceptions of the general public who view this practice as a sign of language degeneration, the combination of two or more languages in the same sentence or paragraph can have very specific local and global functions. Since the time of the pioneering work of John J. Gumperz (1982) and others, it has been recognized that specific instances of code-switching can be used to quote, emphasize, add another level of meaning, clarify or evoke richer images, add humor, irony or word/language play, mark closeness, emphasize bonds or, on the contrary, mark distance. Gumperz (1982, 75-84) distinguished between the following six conversational functions: (a) quotations, the code-switched passage can

[8] For some classic as well as more recent studies on code-switching see Auer (1998), Backus (2005), Bullock and Toribio (2009), Gardner-Chloros (2009), Heller (1988), Isurin, Winford and de Bot (2009), Mahootian (2005), MacSwan (2000), Myers-Scotton (1993), Myers-Scotton and Jake (2000), Pfaff (1979), Poplack (1980), Sankoff and Poplack (1981), Timm (1975) and Toribio (2011), among many others.

[9] According to the Equivalence Constraint code switches are allowed as long as the word order requirements of both languages are met. Thus, as expressed by the asterisks preceding them, all options in the examples below are ungrammatical, since the different order of object pronouns in English and Spanish makes this structure non-equivalent, e.g., "*told *le*, **le* told, *him *dije*, **dije* him" (Poplack 1981, 176). The Free Morpheme Constraint says that a code switch may not occur at the boundary of a bound morpheme. This predicts that the switch in this example is disallowed: "*eat-*iendo*" (Poplack 1980, 586). For a review of other constraints proposed in the literature, see MacSwan (2000).

be identified as a direct quotation or as reported speech; (b) addressee specification, the switch directs the message to one of several possible addressees); (c) interjections, the switch is an interjection or sentence filler; (d) reiteration, the switch repeats or clarifies adding emphasis to the message; (e) message qualification, the switch adds a qualification to the message; and (f) personalization vs. objectivization, the switch may add objectivity and symbolize varying degrees of speaker involvement. Further, similar socio-pragmatic functions have been found to also be present in written code-switching—see Callahan (2004) and Montes-Alcalá (2001), among others.

In addition to specific local functions of individual switches, Carla Jonnson's analysis of plays by Cherríe Moraga shows that switching and mixing can be used globally to construct a hybrid/third space identity and challenge and transform power relations (2005).[10] According to Ana Celia Zentella codeswitching for bilinguals is "a way of saying that they belong to both worlds, and should not be forced to give up one for the other" (1997, 114). Using a musical metaphor, sociolinguist Guadalupe Valdés says: "By alternating between their languages, bilinguals are able to use their total speech repertoire, which includes many levels, and styles and modes of speaking in two languages. It is helpful to imagine that when bilinguals code-switch, they are in fact using a twelve-string guitar, rather than limiting themselves to two six-string instruments" (1988, 126).[11]

Next to this poetic characterization of the nature of Spanglish, however, very negative attitudes can also be found. For example, Spanglish has been characterized by Nobel Prize writer Octavio Paz as "neither good nor bad, but just abominable" (Stavans 2000, 555). In this vein, Carlos Varo states "[e]l "Spanglish" es [...] una enfermedad crónica, como puede serlo el sentimiento de dependencia y la frustración que busca un escape por la droga, el alcohol o la violencia física o sexual" (1971, 109; quoted in Acosta-Belén 1975, 15). Interestingly, this attitude is not restricted to the 1970s, an anonymous comment on a YouTube video entitled "Yo hablo *spanglish*" reads: "Odio la gente que habla en *spanglish*, parecen retrasados mentales".[12]

With regard to the name itself, the most recent criticism of the term Spanglish by linguists is that of Otheguy and Stern (2011), who propose discarding the term Spanglish and using instead just Spanish or Spanish in the United States. As mentioned in the introduction, Otheguy and Stern claim that the term Spanglish is "unfortunate" and misleading:[13]

[10] Jonnson (2005) borrows the terms "hybridity" and "third space" from Homi Bhabha, who explains: "But for me the importance of hybridity is not to be able to trace two original moments from which the third emerges, rather hybridity to me is the 'third space' which enables other positions to emerge. This third space displaces the histories that constitute it, and sets up new structures of authority, new political initiatives, which are inadequately understood through received wisdom" (1990, 211). These issues are discussed in section five.

[11] For a much criticized defense of Spanglish see Stavans (2004).

[12] "Entrevista a Tommy Roque. Yo hablo *spanglish*" [Accessed online on October 26, 2017].

[13] It is interesting to note that in the same way that the term Spanglish has been criticized, defenders of the term have also criticized the term code-switching. Comedian Bill Santiago has this to say: "please don't say 'code-switching.' *Ese término flojo* makes me cringe. *¿Cómo que* code *ni qué* code? First of all, *cuando escucho la palabra* 'code,' I think of top-secret military messages, not Spanglish. *Suena medio* silly, like lingo from a bad submarine movie" (2008, 17).

> The term is unfortunate for at least four reasons. First, it conceals the fact that the features that characterize popular forms of Spanish in the USA are, for the most part, parallel to those of popular forms of the language in Latin America and Spain; second, the term incorrectly suggests that popular Spanish in the USA is of an unusually hybrid character; third, it inaccurately implies that Spanish in the USA is centrally characterized by structural mixing with English; and fourth, it needlessly separates Spanish-speakers in the USA from those living elsewhere. (2011, 85-86)

As we saw in section two, Spanglish seems to refer to a combination of distinct language contact phenomena and it is only natural for linguists to reject such a nontechnical term. In fact, although Otheguy and Stern may be the linguists who are most outspoken about this, they are not alone. John M. Lipski has also rejected this term, using the following comparison: "As a term, Spanglish is as out of place in promoting Latino language and culture as are the words *crazy*, *lunatic*, *crackpot* or *nut case* in mental health, or *bum*, *slob*, *misfit*, and *loser* in social work" (2008, 72). As Ana Celia Zentella has recently pointed out, however, "inappropriate analogies aside, no mental health or social work advocates have adopted any of Lipski's insulting labels with pride the way many speakers embrace Spanglish" (2016, 28).

Nevertheless, the arguments used by Otheguy and Stern might not be strong enough to reject the term completely. First, linguists use terms all the time which might be considered to be flawed. Just think of the ubiquitous distinction between language and dialect. Further, even quite technical terms such as code-switching are not without flaws either—see Gardner-Chloros (2009). Second, "Spanish in the US" would not be a good replacement since it is certainly much broader and includes varieties similar to those found in Spain and Latin America in addition to Spanglish. Third, Otheguy and Stern do not see the mixture of English and Spanish as an important part of Spanish in the US. They appear to assume that Latino bilinguals should behave like two monolinguals in one, which Francois Grosjean (2001) has pointed out is never the case. Although this applies to all types of bilinguals, it is surely more pertinent for Latinos in the US, who in many cases belong to border cultures which are intrinsically hybrid and multilingual. In the words of border studies scholar and activist Gloria Anzaldúa:

> For a people who are neither Spanish nor live in a country in which Spanish is the first language; for a people who live in a country in which English is the reigning tongue but who are not Anglo; for a people who cannot entirely identify with either standard (formal, Castilian) Spanish nor standard English, what resource is left to them but to create their own language? A language which they can connect their identity to, one capable of communicating the realities and values true to themselves—a language with terms that are neither *español ni inglés*, but both. ([1987] 1999, 77; emphasis in the original)

She explicitly complains, in Spanglish, about those Spanish-speaking folks who expect Hispanics to use "pure" Spanish: "even our own people, other Spanish speakers *nos quieren*

poner candados en la boca. They would hold us back with their bags of *reglas de academia*" (76). From this perspective, it might not be fair to expect Latinos to behave like Anglo Americans when they speak English and Latin Americans when they speak Spanish. Fourth, and most importantly, as we will see in more detail in section five, many Latinos think that Spanglish is the best term to represent what they speak and who they are.

4. Spanglish Beyond Casual Oral Registers

The use of Spanglish by Latinos in casual oral registers is well-known. In example (16) we have an instance from Shana Poplack's classic study "Sometines I'll Start a Sentence in Spanish y termino en español" (1980):

(16) He was sitting down *en la cama, mirándonos peleando*, *y*, really, I don't remember *si él nos separó* or whatever, you know. (589)

Furthermore, in addition to face-to-face conversations, Spanglish appears in literary works, films, TV series and commercials, radio programs, newspapers, magazines, advertisements, song lyrics, comedy acts, websites, e-mails, blogs, Facebook, chats and text messages. That is, all kinds of oral and written interaction and all types of artistic expression.

Although not mentioned by Otheguy and Stern (2011), the mixing of English and Spanish in literary texts is quite common especially in poetry and plays, but also in short stories and novels.[14] Below I offer some examples by genre.[15]

Poems

(17) No such thing as too much mush
My life, *mi vida*, es mush
You*, mi vida, eres* too mush
Mientras más mucho mejor
Mad for mush
Made for mush
Dame más
Dame mash
Dame mush — Gustavo Pérez-Firmat, "Mad for Mush" (1995, 13)

(18) Thick clouds pulled over the *cielo* like a charcoal *rebozo*
Loud claps pounded as if *manos* slapped *masa* together

[14] Lipski (1985) and Torres (2007) have both analyzed the different strategies used by Latino writers to include Spanish in their English texts. See also Callahan (2004), Cintrón (1997), Mendieta-Lombardo and Cintrón (1995), Montes-Alcalá (2000; 2001) and Timm (2000).

[15] For a recent analysis of the socio-pragmatic functions of code-switching in Nuyorican and Cuban American literature, see Montes-Alcalá (2016).

thundering their message, "I'm coming [...] I'm coming"
and the withering grass like a *viejito* perked up to see *el barullo*.
Verónica Reyes from "Desert Rain: blessing the land" (2013, 11)

Plays

(19) *Si quieres empezar otra pelea*, I'm not in the mood. Anyway, *vine a otra cosa*.
Dolores Prida, *Beautiful Señoritas & Other Plays* (1991, 164; quoted in Montes-Alcalá 2016, 207)

(20) But the woman knows. *Tú no entiendes*. Wait until you have your own son.
Cherrie Moraga, "Shadow of a Man" (1994, 61; quoted in Jonnson 2005, 145)

Novels/Memoirs

(21) If I respected languages like you do, I wouldn't write at all. *El muro de Berlín fue derribado*. Why can't I do the same. *Desde la torre de Babel, las lenguas han sido siempre una forma de divorciarnos del resto de la humanidad.* Poetry must find ways of breaking distance.
Giannina Braschi, *Yo-Yo Boing!* (1998, 142)

(22) The next year the drought continued *y el ganado* got hoof and mouth. *Se cayeron* in droves *en las pastas y el* brushland, *panzas blancas* ballooning to the skies. *El siguiente año* still no rain.
Gloria Anzaldúa, *Borderlands-La Frontera* ([1987] 1999, 30)

Rather than fading, this trend is becoming even more visible as shown by the work of Pulitzer-prize winning author Junot Díaz, who in *The Brief Wondrous Life of Oscar Wao* (2007) includes hundreds of Spanish words without translation or italics, as shown in example (23).[16]

(23) That was when I realized she hadn't been crying at all. She'd been faking! Her smile was like a lion's. *Ya te tengo*, she said, jumping triumphantly to her feet. *Te tengo*. And that is how I ended up in Santo Domingo [...] It was like the fight between the egg and the rock, my *abuela* said. No winning. (70)

Even more radically, authors like Susana Chávez-Silverman mix the two languages to such an extent that their works cannot be said to have a main language. Thus, in *Killer Crónicas* (2004), as shown in examples (24) and (25), Chávez-Silverman takes Spanglish to a different level.[17]

(24) So, *comencé a* drive around *en círculos* on the dry lake bed, at first, then I began to back up over my tracks, *siguiendo las* directions *del* professional-driver boyfriend. (76)

[16] See Casielles-Suárez (2013) and Dumitrescu (2014) for an analysis of this work.
[17] For a detailed analysis of Díaz's and Chávez-Silverman's work see Derrick (2015).

(25) So, *qué es lo que esto nos dice* about borders, *identidades*, transnational studies, about the end of nationalisms, *sobre el* supposedly-shrinking global *mundo?* (10)

As Toribio has pointed out, the mixing of English and Spanish is not restricted to literary works and has also expanded into popular culture (2011, 533). It can be seen in songs—examples (26) and (27)—advertisements (28) and blogs (29).[18]

(26) *Claro que* yes i wanna be *contigo*
English or Spanish *a mí me da lo mismo*
Y si tú quieres i'll teach you a little *y si no quieres también*.
Yerba Buena, "Bilingual girl" (2005)

(27) when it comes to Spanglish *yo soy el creador*
the creator the inventor *el inventor*
the teacher that's right *el maestro*
te enseño with this rhyme with this rap *te muestro*
que no soy un juego and far from a joke [...]
soy el brother *de dos lenguas* the brother with two tongues.
Mellow Man Ace "Brother with Two Tongues" (1992)

(28) *¿Tienes Lupus?* You may not know.
From *Latina* magazine, February/May 1999 (quoted in Mahootian 2005, 336)

(29) *En el mundo hispanohablante* we have a very similar *debate sobre la influencia del inglés* on other languages. Internet blogger (quoted in Montes-Alcalá 2007, 169)

Sometimes, Spanglish or Espanglish is explicitly mentioned in these texts. In example (30) we have an excerpt from a mixed text by contemporary artist Molina, which repeatedly refers to it.[19]

(30) *Mi hijo* speak no *Espanglish*
'cause Daddy's Spanish is not fluent
Sí, entiendo mucho pero
the words do not always come out the same way they come in
¿Me entiendes? [...]
Mi hijo speak no *Espanglish*

[18] For analyses of the use of Spanish and English in songs see Cepeda (2000) and Ohlson (2007; 2008). Mahootian (2005) analyzes magazines and Montes-Alcalá (2007) blogs.

[19] The absence of the third-person singular present tense marker *-s* in the verb *speak* is a well-known feature of Chicano English. For more information on Chicano English see Penfield and Ornstein-Galicia (1985) and Santa Ana (1993), among others.

cuz daddy hasn't spent much time teaching him Spanish
cuz *abuelo* never taught daddy Rarámuri or Nahuatl
because his mother did not speak it to him,
because things were changing then [...]
Molina Speaks, "Mi hijo speak no Espanglish" (2012)

As this poem clearly shows, Spanglish cannot be dismissed as a casual oral register. Well-known scholars like Gloria Anzaldúa have also referred to Spanglish. Here's her lament, quoted at the beginning of this paper:

(31) Until I am free to write bilingually and to switch codes without having always to translate, while I still have to speak English or Spanish when I would rather speak Spanglish, and as long as I have to accommodate the English speakers rather than having them accommodate me, my tongue will be illegitimate. ([1987] 1999, 81)

Thus, as the examples above confirm, Spanglish cannot be said to be restricted to casual oral registers. In fact, its use is expanding so much that many Latinos are reappropriating the name and using it with pride. As pointed out by Mariana Achugar (2008), they are, in this way, engaging in counter-hegemonic language practices. That is, they are challenging the dominant class definition of what is a legitimate and illegitimate language and defending their hybrid, heteroglossic and borderless language.[20]

5. Spanglish: An Inappropriate Name or a Way of Life?

We have seen that Spanglish is not restricted to casual oral registers and is being accepted by many Latinos as a reflection of their hybrid culture and identity. However, it is still being rejected by some linguists, who claim it is harmful to Latinos. The final question I would like to consider here is: should we be telling Latinos what they should call the mixed variety they use and how they should think of themselves, based on purely linguistic research, or should we listen and take into account their cultural, social and political motivations?

As Carla Jonnson (2005) points out, the term Chicano had pejorative connotations until the 1960s, at which point young Mexican Americans started using the term as, in David G. Gutiérrez's words, "an act of defiance and self-assertion and as an attempt to redefine themselves by criteria of their own choosing" (1995, 184). In the same spirit, Irene Isabel Blea points out that "since usually it is the people with the most powerful positions in society who do the labelling for others, the Chicanos/-as are empowering themselves by

[20] In *Language and Symbolic Power*, Pierre Bourdieu coined the term "legitimate language" to refer to languages that are dominant and therefore selected as legitimate by society, meaning that other languages are then regarded as marginal. He says: "All linguistic practices are measured against the legitimate practices, i.e., the practices of those who are dominant" (1991, 53).

choosing to label themselves" (1995, 5-6). As Jonnson notes, "you are what others call you. However, if you label yourself you are what you want to be" (2005, 41). From this perspective, some Latinos' desire to choose Spanglish as the label of their mixed discourse is a way to defy the dominant class language practices, the distinction between a legitimate and an illegitimate language, and a way to defend their hybrid and borderless language.

Although not directly referred to in Otheguy and Stern (2011), some well-known linguists have long defended Spanglish and pointed out the necessity of considering the socio-cultural context in which it happens. Gleen A. Martínez (2006), for example, has pointed out that the mixing of English and Spanish is a vital part of communication in some Latino communities. He in fact proposes a critical linguistic approach, which takes into account not only the linguistic and social manifestations of language contact, but the political ramifications as well. He says: "Like the linguistic and sociolinguistic approaches, critical linguistic perspectives on bilingualism try to explain both the formal manifestations of languages in contact and the functional distribution of these languages. Critical approaches to bilingualism differ, however, in that they focus on the uses of the two languages as a reflection of the ideological systems of dominance and subordination that underpin social hierarchies" (6).

Ana Celia Zentella (1997), in the same spirit, has proposed the term "anthro-political linguistics" and has pointed out that the objective of this perspective is "to understand and facilitate a stigmatized group's attempts to construct a positive self within an economic and political context that relegates its members to static and disparaged ethnic, racial and class identities, and that identifies them with static and disparaged linguistic codes" (13).

The perspective of non-linguists should also be taken into account. Maybe the most powerful defense of Spanglish comes from Anzaldúa's book *Borderlands-La Frontera*. She says: "The US-Mexican border *es una herida abierta* where the Third World grates against the first and bleeds. And before a scab forms it hemorrhages again, the lifeblood of two worlds merging to form a third country—a border culture" ([1987] 1999, 25). An important part of this borderland for Anzaldúa and many other Latino writers is the linguistic border between English and Spanish. In a chapter entitled "How to Tame a Wild Tongue" and under the heading "Linguistic Terrorism," she uses both languages and writes:

> *Deslenguadas. Somos los del español deficiente*. We are your linguistic nightmare, your linguistic aberration, your linguistic *mestizaje*, the subject of your *burla*. Because we speak with tongues of fire, we are culturally crucified. Racially, culturally and linguistically *somos huérfanos*—we speak an orphan tongue. (80)

It is worth pointing out that the linguistic "*mestizaje*" she is referring to involves several languages and several varieties of those languages and it is not restricted to standard versions of English and Spanish. In the preface she asserts:

> The switching of "codes" in this book from English to Castilian Spanish to the North Mexican dialect to Tex-Mex to a sprinkling of Nahuatl to a mixture of all of these reflects my language, a new language—the language of the Borderlands. There, at the juncture of cultures, languages cross-pollinate and are revitalized; they die and are born. Presently this infant language, this bastard language, Chicano Spanish, is not approved by any society. (Anzaldúa [1987] 1999, 20)[21]

Anzaldúa wrote this in 1987, when the first edition of *Borderlands-La Frontera* was published, and it looks like thirty years later many Hispanics and non-Hispanics are starting to approve of this new, "bastard language," which seems to be acquiring some sort of symbolic capital (Bourdieu 1991). As Jonnson (2005) has pointed out with particular regard to the plays of Cherríe Moraga, theories such as poststructuralism, postcolonialism and linguistic anthropology can be used to point out some global functions in her use of two languages. More specifically, she identifies two of these functions as the construction of a hybrid identity and the challenging of power relations.

The importance of this hybrid or non-monoglossic discourse is well-known inside and outside the field of linguistics. See, for instance, Mikhail Bakhtin's concepts of hybridization and heteroglossia (1981), Homi K. Bhabha's hybridity (1994) or Walter D. Mignolo's bilanguaging (2000), among others.[22] Bhabha, for instance, states:

> [T]he importance of hybridity is that it bears the traces of those feelings and practices which inform it, just like a translation, so that hybridity puts together the traces of certain other meanings or discourses [...] The process of cultural hybridity gives rise to something different, something new and unrecognisable, a new area of negotiation of meaning and representation. (1990, 211)

Jonsson suggests that both the Chicano culture in general and Chicano discourse and code-switching in particular are examples of hybridity and third space and that Chicano discourse in theater can be seen as Bhabha's new area of negotiation of meaning and representation. She points out that "as a result, power relations can be resisted, negotiated and eventually transformed" (2005, 46).[23] Finally, Alfred Arteaga uses Bakhtin's concept of heteroglossia to refer to Chicanos in the borderlands, saying that:

[21] In fact, in chapter five she lists all the languages she is using: "Chicano Spanish sprang out of the Chicanos' need to identify ourselves as a distinct people. We needed a language with which we could communicate with ourselves, a secret language. For some of us, language is a homeland, closer than the Southwest—for many Chicanos today live in the Midwest and the East. And because we are a complex, heterogeneous people, we speak many languages" (Anzaldúa [1987] 1999, 77). Some of the languages she mentions are: Standard English, working class and slang English, Standard Spanish, Standard Mexican Spanish, North Mexican Standard dialect, Chicano Spanish, Tex-Mex and Pachuco.

[22] See also Saldívar's concept of the *transfrontera* contact zone (1997) and García's concept of translanguaging (2009).

[23] Bhabha defines hybridity as: "the 'third space' which enables other positions to emerge. This third space displaces the histories that constitute it, and sets up new structures of authority, new political initiatives, which are inadequately understood through received wisdom" (1990, 211).

> [T]he mere presence of Chicano discourse resists Anglo American suppression of heteroglossia. [...] And inasmuch as Chicano discourse is specifically multilingual and multivoiced, it further undermines the tendency towards single language and single-voiced monologue, that is, it undermines Anglo American monologism. It undercuts claims of prevalence, centrality and superiority and confirms the condition of heteroglossia. It draws the monologue into dialogue. In short, it dialogizes the authoritative discourse. (1994, 14)

With particular regard to Chicano poetry Arteaga says: "Chicano poetry has opted for hybridization, a linguistic *mestizaje*, incorporating the languages and discourses at play in America. It tends to reject the monologue of either autocolonial, assimilationist, English-only verse or the monologue of nationalist Spanish-only verse. Instead, it opts for a multiple tongue, multivoice literature of the border" (1994, 27).

Thus, it looks like although Spanglish may not be the technical term that linguists would choose to refer to the combination of phenomena examined in section two, if we take into account the non-linguistic factors surrounding this label, the cultural, social and political aspects that have been pointed out in other types of research mentioned above, Spanglish seems to perfectly capture this hybrid character of the discourse of Latinos and their in-between-ness. In Ed Morales' words: "Spanglish is what we speak, but it is also who we Latinos are, and how we act and how we perceive the world" (2002, 3). From this perspective, Spanglish far from being a misleading term is a way of life, a necessity, and a reflection of Latinos' cultural and linguistic identity. I would therefore like to end this paper by suggesting that although purely linguistic analyses of Spanish/English code-switching and code-mixing are needed and are perfectly legitimate, rather than being tempted to tell Latinos which label they should use for their linguistic variety and how they should think of themselves, we should cross some disciplinary borders and take into account not only the linguistic features of Latinos' language but also their social, cultural and political circumstances. Similar to what happened with the term Chicano, Latinos are reappropriating the term Spanglish with pride; they are defying the linguistic borders imposed on them and opting to use a term which embodies their hybrid, fluid language which, perhaps most importantly, has been chosen by them. Can linguists accept this term? I think we can.

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Accounting for the Alternating Behaviour of Location Arguments from the Perspective of Role and Reference Grammar

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This paper presents a description of the alternations in which the location argument participates in English and accounts for its various realizations from the point of view of Role and Reference Grammar. The analysis of the multiple alternating behaviour of the location argument in various transitive and intransitive alternations in English is mostly related to marked macrorole assignment typically to undergoer, such as in *He loaded the truck with hay*—as compared with the kernel construction *He loaded hay on the truck*—but also to actor as, for instance, in the LOCATION SUBJECT alternation, in which the location argument occupies the subject position, e.g., *The bag carries all your belongings*, a construction which implies the loss of one of the arguments in the kernel structure, *You can carry all your belongings in the bag*. Additionally, the syntactic behaviour of location arguments in marked constructions very often conveys a change of *Aktionsart* ascription with respect to the kernel construction, as in the SWARM alternation in which the predicate in the kernel construction is analysed as an activity, e.g., *Bees swarmed in the garden*, whereas in the marked construction it changes to a state, *The garden is swarming with bees*. This investigation also provides an analysis of the *with*-phrase that is often encoded in the marked constructions where the location argument is codified as a core argument.

Keywords: alternations; constructions; location argument; Role and Reference Grammar; macroroles

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Explicación del comportamiento alternante de los argumentos locativos desde la perspectiva de la Gramática del Papel y la Referencia

Este artículo presenta una descripción de las alternancias en las que participa un argumento locativo en lengua inglesa y explica sus distintas realizaciones desde el punto de vista de la

Gramática del Papel y la Referencia. El análisis del comportamiento alternante múltiple del argumento locativo en las distintas alternancias transitivas e intransitivas está principalmente vinculado a una asignación marcada del macropapel, típicamente a padecedor, tal y como se da en *He loaded the truck with hay*—en comparación con la construcción matriz *He loaded hay on the truck*—pero también a actor, como por ejemplo en la alternancia en la que el argumento locativo ocupa la posición del sujeto, por ejemplo en *The bag carries all your belongings*, una construcción que implica la pérdida de uno de los argumentos en la estructura matriz, *You can carry all your belongings in the bag*. Además, el comportamiento sintáctico de los argumentos locativos en las construcciones marcadas puede a menudo conllevar un cambio de ascripción de *Aktionsart* con respecto a la construcción matriz, tal y como ocurre en la denominada alternancia SWARM, en la que el predicado en la construcción matriz es analizado como una actividad, como en *Bees swarmed in the garden*, mientras que en la construcción marcada cambia a estado, *The garden is swarming with bees*. Así mismo, esta investigación ofrece un análisis de la frase introducida por *with* que se encuentra a menudo codificada en las construcciones marcadas en las que el argumento locativo aparece codificado como un argumento central.

Palabras clave: alternancias; construcciones; argumento locativo; Gramática del Papel y la Referencia; micropapeles

1. Introduction

If asked to think about an example in which a location argument participates, it is very likely that the locative alternation would immediately be given as an answer.[1] In fact, the locative alternation, typically exemplified in sentences such as *He loaded hay on the truck* and *He loaded the truck with hay*, has been attested not only in English but also in many other languages and has been widely analysed following different methods, among them a lexical semantic approach (Rappaport and Levin 1998), a conceptual one (Jackendoff 1990), a lexical-aspectual approach (Tenny 1994) and Adele Goldberg's research conducted within the Construction Grammar model (1995; 2006).[2] More recently, we should highlight two lexical-constructional accounts of the locative alternation in English, one by Hans Boas (2003) and another by Seizi Iwata (2008), as well as Rolf Kailuweit's study of the locative alternation in English, French, German and Italian (2008) within the framework of Role and Reference Grammar (henceforth RRG).

However, apart from the locative alternation, there are other alternations in which a location argument— the one referring to the surface or container which is involved in the event—is also implied, such as those examples related to verbs of creation or image impression in which a construction such as *The jeweller inscribed the name on the ring* can alternate with *The jeweller inscribed the ring with the name* (Levin 1993, 66). As Robert Van Valin and Randy LaPolla state, "English is particularly rich in location-theme-type alternations," whereas many other languages such as German or Indonesian can only show this alternation by lexical means (1997, 657).

This rich possibility of codifying the location argument in English in different argument positions has led me to further investigate this matter. Thus, in this paper, we aim to analyse the alternating behaviour of the location argument not only in transitive examples such as those exemplified above but also in intransitive sentences in English by using the analytical descriptive tools of Role and Reference Grammar (Van Valin and LaPolla 1997; Van Valin 2005), a functional theory which assumes that lexical meaning conditions the morphosyntactic structure of sentences and that this relationship can be explained by describing the interface mechanism which links meaning to syntactic structure.

In order to bring together those constructions in which location arguments participate and show an alternating behaviour, we have made use of Beth Levin's taxonomy (1993), which presents an inventory of the alternations verbs can take part in by considering their similar semantic components together with their similar syntactic behaviours (17). Thus, section two in this paper will describe the different realizations of location arguments as exemplified in Levin's classification of

[1] Financial support for this research has been received from the Spanish Ministry of Economy and Competitiveness (Project identification number: 848253814-53814-4-14).

[2] For a thorough list of the studies conducted from the 1990s on the locative alternation, see Mateu (2000) and Bleotu (2014).

alternations. Section three will provide a brief overview of the RRG analytical tools that will be used in this analysis. In section four, the different constructions in which a location argument participates showing an alternating behaviour will be analysed within the RRG framework, paying special attention to macrorole assignment in the logical structure. The final section will include the conclusions of this research. The examples that illustrate the alternating behaviour of location arguments have been mostly taken from the *British National Corpus* (2007; henceforth BNC), and only a few cases have been taken from the Internet.

2. Location Argument Realizations

In order to gather the cases in which the location argument alternates in two different but related constructions, we have made use of Levin's taxonomy (1993) and reviewed the alternations in which a location argument is involved.

On the one hand, Levin describes a large group of alternations that are all subsumed under the term "locative alternation," which depicts types of alternation that affect arguments within the verb phrase but do not imply a change in the transitivity of the verb. The locative alternation is related to certain verbs of *putting* and some verbs of *removing* and is further subdivided into different subtypes: the SPRAY/LOAD alternation, the CLEAR alternation, the WIPE alternation and the SWARM alternation. In these alternations, it is common to find two types of argument that relate to the surface that is affected by the event and to the entity that is moved, which have been termed the "location argument" and the "locatum argument," respectively, by Eve Clark and Herbert Clark (1979). Thus, in the pair of sentences exemplified in (1) and (2) below, the location and locatum arguments alternate in such a way that in the kernel structure (1)[3] the location argument is realized as an oblique argument introduced by the preposition *into* and the locatum argument is realized as the direct object. In the alternating construction (2), however, it is the location argument that is now realized as a core argument and the locatum argument is codified as an oblique argument introduced by the preposition *with*:

(1) [S]he loaded the bags of goodies into her BMW. (BNC/CH6W_newsp_tabloid)
(2) Suzy and Seth loaded the van with food and clothes. (BNC/ABS_W_pop_lore)

Much has been said about the semantic properties attributed to the location argument when it participates in the locative alternation (Kailuweit 2008). As first observed by Stephen Anderson (1971), when the location argument is encoded as a core argument, it is often claimed to show the "holistic effect," which describes the fact that,

[3] The concept of kernel construction in this paper refers to the basic types of constructions that every verbal predicate is provided with at the core grammar level, and which are built in terms of *Aktionsart* ascriptions and the corresponding lexical template—see Periñán-Pascual (2013) and Periñán-Pascual and Arcas-Túnez (2014).

in the alternating construction, it is understood to be in some way completely affected by the action reported by the verb—in our example, the van is perceived as being full of food and clothes—an interpretation that is not perceived in the kernel construction.

Table 1 compiles the different types of locative alternations, as presented in Levin's taxonomy (1993), where the first example shows the kernel construction and the second the alternating one.

TABLE 1. Summary of Levin's locative alternations (1993, 50-55)

SPRAY/LOAD alternation	
Examples	Jack sprayed paint on the wall. Jack sprayed the wall with paint.
Verb class	SPRAY/LOAD verbs: *brush*, *crowd*, *dust*, *heap*, *inject*, *load*, *pile*, *plaster*, *rub*, *scatter*, *shower*, *spray*, *spread*, etc.
CLEAR alternation	
Examples	Henry cleared dishes from the table. Henry cleared the table of dishes.
Verb class	CLEAR verbs: *clean*, *clear*, *drain*, *empty*, etc.
WIPE alternation	
Examples	Helen wiped the fingerprints off the wall. Helen wiped the wall (*off fingerprints).
Verb class	WIPE verbs: (i) "means" subclass—e.g., *squeeze*, *wipe*, etc.—and (ii) "instrument" subclass—*brush*, *comb*, *hoover*, etc.
SWARM alternation	
Examples	Bees are swarming in the garden. The garden is swarming with bees.
Verb class	• LIGHT EMISSION verbs, e.g., *beam*, *flash*, etc. • SOUND EMISSION verbs, e.g., *bang*, *murmur*, etc. • SUBSTANCE EMISSION verbs, e.g., *radiate*, *squirt*, etc. • SOUND EXISTENCE verbs, e.g., *echo*, *resonate*, etc. • ENTITY-SPECIFIC MODES OF BEING verbs, e.g., *quiver*, *tremble*, etc. • SWARM verbs, e.g., *abound*, *swarm*, etc.

However, not all the alternating realizations of the location argument are restricted to instances of the locative alternation. The LOCATION SUBJECT alternation (Levin 1993, 82) involves an oblique subject and is related to alternations without a change in transitivity but with a change in the number of noun phrases found with the verb, specifically, one less noun phrase in one of the variants. Table 2 illustrates this alternation:

Table 2. Levin's LOCATION SUBJECT alternation (1993, 82)

LOCATION SUBJECT alternation	
Examples	We sleep five people in each room. Each room sleeps five people.
Verb class	FIT verbs: *carry*, *fit*, *feed*, *hold*, *house*, *seat*, *serve*, *sleep*, *store*, *take* and *use.*[4]

There is still another type of alternation that, as Levin herself points out (1993, 67), resembles the SPRAY/LOAD alternation from the syntactic point of view but differs in the sense that semantically the verbs participating in it belong to a different verb class, namely IMAGE-IMPRESSION verbs (table 3), and the location argument, when encoded as the direct object, does not seem to receive the holistic interpretation (67).

Table 3. Levin's IMAGE IMPRESSION alternation (1993, 66)

IMAGE IMPRESSION alternation	
Examples	The jeweller inscribed the name on the ring. The jeweller inscribed the ring with the name.
Verb class	IMAGE-IMPRESSION verbs: *engrave*, *imprint*, *inscribe*, *mark*, *sign*, *stamp*, *tattoo*, etc.

In the following sections, we aim to analyse the various alternating realizations of the location argument in the constructions illustrated in the three tables presented above by using the analytical tools of RRG.

3. Brief Overview of the RRG Analytical Tools Used in this Research

In our analysis, we will use the analytical tools of Role and Reference Grammar (RRG), which will allow us to account for the interface mechanism that links semantics and syntax. In this regard, we should begin by ascertaining the verb class the predicates in question can be ascribed to by adopting the theory of verb classes presented by Van Valin and LaPolla (1997, 90-102) and Van Valin (2005, 31-42). *Aktionsart* distinctions[5] are important in the sense that together with the holistic effect attributed to the location argument in the alternating constructions, they play an important role in constructing

[4] We have excluded the verb *contain* from Levin's list since this predicate cannot alternate as the others do: **I can contain three books in the box* vs. *The box contains three books*. In contrast, other verbs, such as *accommodate*, could be added to this list: *The Studios can accommodate up to 300 guests* (BNC/B3K_W_advert) vs. *We can accommodate up to 300 guests in the Studios.*

[5] For a recent study on the reorganization of the aspectual parameters that structure the *Aktionsart* typology of lexical classes, see Cortés-Rodríguez (2016).

the meaning of the different alternations (Mateu 2000, 6). The *Aktionsart* classes that are distinguished in RRG, and which are additionally linked to their causative counterpart, are those presented in table 4:

TABLE 4. *Aktionsart* classes in RRG (Van Valin 2005, 33)

Aktionsart class	Semantic parameters			
(a) State	[+ static]	[- dynamic]	[- telic]	[- punctual]
(b) Activity	[- static]	[+ dynamic]	[- telic]	[- punctual]
(c) Achievement	[- static]	[- dynamic]	[+ telic]	[+ punctual]
(d) Semelfactive	[- static]	[± dynamic]	[- telic]	[+ punctual]
(e) Accomplishment	[- static]	[- dynamic]	[+ telic]	[- punctual]
(f) Active accomplishment	[- static]	[+ dynamic]	[+ telic]	[- punctual]

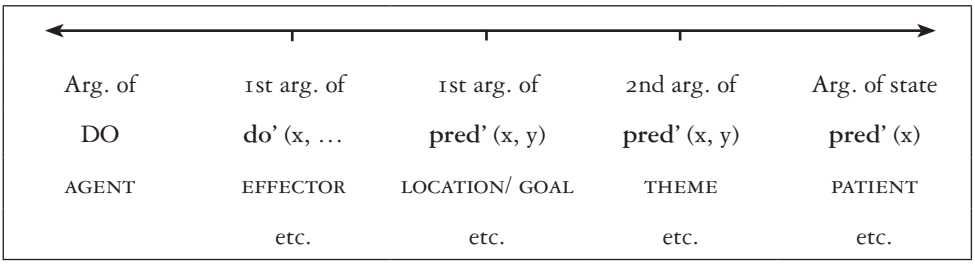
Each of these *Aktionsart* classes is represented in the form of a logical structure (LS) (table 5) in which the following components are distinguished: (i) *constants*, which are part of the semantic metalanguage used in the decomposition and are written in boldface followed by a prime (’); (ii) *variables*, presented in normal font and filled in by predicates from the language being analysed; and (iii) *operators*, the elements in capital letters that function as modifiers of the predicate in the LS, and encode instantaneous changes (INGR), changes over some temporal span (BECOME) and punctual events that have no result state (SEML) (Van Valin and LaPolla 1997, 102-104; Van Valin 2005, 32-45). The complex structure of causative verbs is represented by the operator-connective CAUSE which links the predicate representing the causing action to the predicate showing the resulting state (Van Valin 2005, 42).

TABLE 5. Lexical representations of *Aktionsart* classes (Van Valin 2005, 45)

Aktionsart class	Logical structure
(a) State	**pred’** (x) or (x, y)
(b) Activity	**do’** (x, [**pred’** (x) or (x, y)])
(c) Achievement	INGR **pred’** (x) or (x, y) INGR **do’** (x, [**pred’** (x) or (x, y)])
(d) Semelfactive	SEML **pred’** (x) or (x, y) SEML **do’** (x, [**pred’** (x) or (x, y)])
(e) Accomplishment	BECOME **pred’** (x) or (x, y) BECOME **do’** (x, [**pred’** (x) or (x, y)])
(f) Active Accomplishment	**do’** (x, [**pred**$_1$’ (x, (y))]) & INGR **pred**$_2$’ (z, x) or (y)
(g) Causative	α CAUSE β, where α, β are logical structures of any type

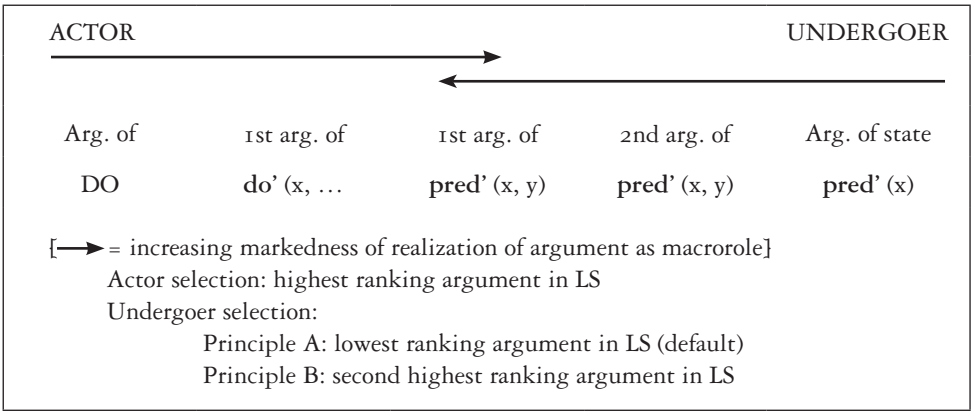
Each of the five different argument positions in the logical structures is ascribed to different thematic relations (Figure 1) according to the "thematic relations continuum" (Van Valin 2005, 58-60):

FIGURE 1. Thematic relations continuum (Van Valin 2005, 58)



We now need to follow the interface mechanism propounded in RRG in terms of macrorole (MR) assignment in order to account for the linking of the semantics of verbs to their syntax. RRG distinguishes two macroroles, actor and undergoer, which are conceived as generalizations of the different types of semantic roles and are associated with the two primary arguments of transitive and intransitive predications. They can be said to correspond to what has traditionally been called *subject* and *object* in syntactic terms, where actor is the most agent-like argument and undergoer the most patient-like argument. Thus, the different possibilities of MR assignment will account for different syntactic realizations following the selection principles of the actor-undergoer hierarchy (Figure 2), which, for instance, predicts that the first argument of an activity predicate will be the default actor—**do'** (x, …)—or that the only argument of a state predicate—**pred'** (x)—will be assigned the macrorole of undergoer:

FIGURE 2. Selection principles of the actor-undergoer hierarchy (Van Valin 2005, 61, 126)



After this brief overview of the analytical tools that will be used in our description, we will move on to analyse the realizations of the location argument in the alternations described so far.

4. An RRG Account for the Multiple Realizations of the Location Argument

For the RRG analysis of the constructions presented in section two, we will first analyse the *Aktionsart* class that can be ascribed both to the kernel construction and to the alternating construction, in order to check whether the alternating construction involves a change of *Aktionsart* class or not. We will then analyse the thematic roles assigned to the arguments and will finally conduct a macrorole assignment analysis with the aim of corroborating whether the different realizations of the location argument can be explained as instances of marked macrorole assignment to undergoer, and whether there are cases of marked actor assignment.

4.1. Transitive locative alternations

The transitive SPRAY/LOAD alternation and the transitive CLEAR alternation can both be accounted for in the same way, even though they are ascribed to different verb classes— PUTTING and REMOVING verbs, respectively. The verbs associated with the CLEAR alternation should be regarded as a subtype of REMOVING verbs, constituted by only four members: *clean*, *clear*, *drain* and *empty*.[6]

The *Aktionsart* ascribed to the alternating constructions of these tri-valent verbs is causative accomplishment, paraphrased as "x CAUSES y and z to BECOME **be-Loc**'" which is in fact the same *Aktionsart* class that is assigned to the kernel structure, which reveals that in these examples the alternation does not imply a change of *Aktionsart* ascription. The semantic and argument structures of these predicates can be represented in the following LS, which also incorporates the thematic roles assigned to the arguments: the effector, the single argument of an activity verb with an unspecified action; the goal, the first argument in a two-place locative predication, and the theme, the second argument of the two-place locative predication referring to those entities that are placed or moved:

[**do'** (x_{EFFECTOR}, Ø)] CAUSE [BECOME (NOT) **be-Loc'** (y_{GOAL}, z_{THEME})]

This representation shows that there is an activity predicate as the first argument of the operator-connective CAUSE, represented by an embedded **do'** predication that

[6] This alternating possibility cannot be extended to other REMOVE verbs since they do not show the alternating construction, as in *He removed the dishes from the table* / **He removed the table of dishes* (Levin 1993, 51-52).

indicates the causing action and has an effector as first argument, leaving the second argument unspecified (Ø) because it will be specified accordingly depending on the meaning of the verb analysed. The second argument of CAUSE is an embedded locative predication showing the semantic properties of accomplishments, since it involves "both a process that takes place over time, and an inherent endpoint of the process leading to the resulting state of affairs" (Van Valin and LaPolla 1997, 43).

In terms of macrorole assignment, the kernel structure exemplifies the default linking: the first argument of the activity predicate (x) is assigned MR actor and the theme (z) becomes the undergoer, following the actor-undergoer selection principle that states that the rightmost argument in a **pred'** (y, z) will be the undergoer (Van Valin 2005, 61). There is also a third non-macrorole argument *y* (the first argument of a locative predicate), which is marked by a non-predicative locative preposition—*from*, *on*, etc. depending on the predicate—codified as an oblique core argument (OCA).

(3) She spread butter on a deliciously aromatic roll. (BNC/JY3_W_fict_prose)
[**do'** (x_{EFFECTOR}, Ø)] CAUSE [BECOME **be-on'** (y_{GOAL}, z_{THEME})]
[**do'** (she, [**spread'** (she, Ø)])] CAUSE [BECOME **be-on'** (roll, butter)]
(x) = actor, (z) = undergoer, (y) = OCA

(4) [T]hey are out spraying slogans on walls. (BNC/HWC_W_fict_prose)

(5) Babushka was outside busily clearing snow from her path. (BNC/G23_W_pop_lore)

(6) Drain the syrup from the tins of fruit. (BNC/G2D_W_pop_lore)

The locative construction, on the other hand, can be accounted for as an instance of marked linking to undergoer, as shown in the examples below for SPRAY/LOAD verbs:

(7) Suzy and Seth loaded the van with food and clothes. (BNC/ABS_W_pop_lore)

(8) [You] Spread the cake with cream. (BNC/ABB_W_instructional)
[**do'** (x_{EFFECTOR}, Ø)] CAUSE [BECOME **be-on'** (y_{GOAL}, z_{THEME})]
[**do'** (you, [**spread'** (you, Ø)])] CAUSE [BECOME **be-on'** (cake, cream)]
(x) = actor, (y) = marked undergoer, (z) = OCA

In the marked linking, it is now the *y* argument (goal) in the LS that will be encoded as a direct object, a circumstance that triggers the encoding of *z* (theme) as an oblique core prepositional argument introduced by the preposition *with*, according to the RRG rule for prepositional marking which states that if the most-right potential argument is not selected as undergoer, then it has to be marked by *with*: "Assign *with* to non-MR *b* argument if, given two arguments, *a* and *b*, in a logical structure, with (1) both as possible candidates for a particular macrorole and (2) *a* is equal or higher (to the left of *b*) on the AUH, *b* is not selected as that macrorole" (Van Valin 2005, 114).

As for the so-called CLEAR verbs exemplified by the CLEAR alternation, they can also be accounted for as examples of constructional variants with marked undergoer assignment, with the only difference being that the LS includes the segment BECOME NOT (representing the idea of removing), and, although the same prepositional rule for *with* applies, in this case the non-macrorole core argument is encoded as an *of*-PP, as stated in Van Valin (2005, 115):

(9) There was a long pause while she cleared the bed of her things. (BNC/H94_W_fict_prose)
[**do'** ($x_{EFFECTOR}$, Ø)] CAUSE [BECOME NOT **be-on'** (y_{GOAL}, z_{THEME})]
[**do'** (she, [**clear** (she, Ø)])] CAUSE [BECOME NOT **be-on'** (bed, things)]
(x) = actor, (y) = marked undergoer, (z) = OCA

To sum up, the locative construction triggers the preposition *with* or the preposition *of* depending on whether the predicate in question is a PUTTING or a CLEARING verb. Moreover, their marked undergoer assignment seems to be motivated by the fact that in the *with*/*of*-variant the location argument is completely affected by the event described by the verbal predicate, and this cognitive prominence is translated in the syntax as the marked assignment of the macrorole undergoer to the surface-argument.[7]

According to Levin, the WIPE alternation should also be found within this group of transitive locative alternations. However, a thorough analysis of this alternation has led us to conclude that the WIPE alternation should not be regarded as another prototypical case of locative construction, but rather as an instance of the caused-motion construction related to verbs of change with only two arguments (x, y), to which an argument, the *off/from* phrase, is added in the derived alternating construction. In fact, most verbs will accommodate as their kernel structure a transitive pattern—see example (10)—which shows macrorole default linking for both actor and undergoer. The alternating construction (11) is an instance of the caused-motion construction which adds an argument with the macrorole status of undergoer, outranking the original undergoer, which is still an argument of the predicate and is licensed by it, but is introduced by a non-predicative preposition (*off/from*) which marks the source argument. This view is supported by the fact that most of the examples that we have analysed are instances of the two-place construction, which backs up our assertion that this should be the kernel structure from which the alternating three-place construction is derived. Another argument in support of this interpretation is that these verbs can also appear in resultative constructions such as in (12), where *dry* shows the resultant state.

[7] Kailuweit's account of transitive three-place locative constructions (2008) is very much along this same line since, according to him, in order to account for the syntactic behaviour of these alternations the analysis has to be done at the level of the logical structure. In these "inverted constructions," as he calls them, the Theme is blocked as argument and the marked undergoer argument is responsible for the different semantic effects of the construction (329).

(10) Eileen remembers Selina as a bubbly girl who helped to scrub the floors. (BNC/ CEK_W_newsp_other_social)
(11) The Captain wiped the paint off his hands. (BNC/ CDN_W_fict_prose)
(12) After he had fed him he wiped his boots dry with an old rag. (BNC/ CAB_W_fict_pros)

4.2. Intransitive locative alternations

In this subsection, we deal with Levin's SWARM alternation, in which the kernel construction (13) alternates with what Levin calls the *with*-variant (1993, 54), illustrated in example (14). The verbs participating in this alternation are inherently intransitive predicates that appear with predicative locative prepositional phrases (adjuncts) that take as their argument the complete event in which they participate: **be-in'** ($x_{LOCATION}$, [**do'** ($y_{EFFECTOR}$, [**predicate'** (y)])]).

(13) [S]hoals of immature fish which swarm in the surface layers of the sea. (BNC/ CRJ_W_misc)
(14) [T]he place was swarming with tortoises. (BNC/HA0_W_fict_prose)

The *Aktionsart* class ascribed to the different types of verbs that are related to the SWARM alternation can be reduced to three classes:

States (e.g., *echo*):	**be-Loc'** ($x_{LOCATION}$, y_{THEME})
Activities (e.g., *swarm*):	**be-Loc'** ($x_{LOCATION}$, [**do'** ($y_{EFFECTOR}$, [**predicate'** (y)])])
Semelfactives (e.g., *sparkle*):	**be-Loc'** ($x_{LOCATION}$, [SEML **do'** ($y_{EFFECTOR}$, [**predicate'** (y)])])[8]

In all cases, however, the *with*-construction turns these three *Aktionsart* classes into a state, and the *with*-construction, again, shows the holistic variant in the sense that the location where the event takes place is perceived as being full of that event. Syntactically speaking, the construction allows the locative argument (adjunct) to be the subject as a result of marked macrorole assignment, which triggers the realization of the other non-selected potential macrorole argument as a prepositional phrase introduced by *with.*

We will now represent the analysis that corresponds to each of the three *Aktionsart* classes that participate in this alternation. Thus, as regards examples of ACTIVITY predicates, like the ones illustrated in (13) and (14), we observe that following the default actor selection principle, the highest argument in the LS is the *y* because it is the argument of the activity predicate **do'**, which would result in a sentence like (13), repeated here for convenience as (15), where the predicative preposition *in* takes the complete event in which it participates as its own argument, i.e., the representation of the predicate *swarm*:

[8] For simplicity reasons, the thematic relations of effector, location and theme will not be specified in the LS from here onwards.

(15) [S]hoals of immature fish which swarm in the surface layers of the sea.
be-in' (surface layers (x), [**do'** (fish (y), [**swarm'** (fish (y))])])
(y) = actor

The *with*-construction, on the other hand, shows marked macrorole assignment to undergoer. Thus, since the argument of the **do'** is not assigned MR actor, the other argument in the logical structure must be assigned a macrorole status. In this case, the potential variable corresponds to the location first argument of the logical structure of the locative predicate preposition, **be-in'** (x, y), and since it is not an activity predicate, the macrorole is undergoer. In terms of the actor-undergoer hierarchy, marked undergoer assignment corresponds to the "second highest ranking argument in LS" (=x) as stated in "selection principle B" (Van Valin 2005, 126). As a result, the non-selected macrorole argument (y) is realized by a *with*-phrase according to the rule for assigning prepositions in English, as seen in the LS below (16), which reproduces example (14):

(16) [T]he place was swarming with tortoises.
be-in' (place (x), [**do'** (tortoises (y), [**swarm'** (tortoises (y))])])
(x) = marked undergoer

The verbs participating in Levin's SWARM alternation that are ascribed to the semelfactive class are based on activities, and can also be accounted for as instances of different macrorole assignment.[9] The basic pattern, illustrated by the predicate *sparkle* in example (17), shows the default actor selection, whereas the *with*-construction is an example of marked macrorole assignment to undergoer (18), where the non-selected potential macrorole is codified as a *with*-phrase, following RRG rules for preposition assignment:

(17) [I]ce crystals sparkle on her […] crown. (BNC/CN1_W_misc)
be-on' (crown (x), [SEML **do'** (ice crystals (y), [**sparkle'** (ice crystals (y))])])
(y) = actor

(18) [T]he nearest weir was a tourist sight […], flashing with silvery leaps as the salmon climbed to their spawning-grounds. (BNC/ H8L_W_fict_prose)
be-on' (weir (x), [SEML **do'** (silvery leaps (y), [**flash'** (silvery leaps (y))])])
(x) = marked undergoer

[9] Semelfactive verbs describe punctual events of little temporal duration but do not have a result state (e.g., *tap*, *flash*, etc.) and can be based on states (e.g., *glimpse*), represented as SEML **predicate'** (x) or (x, y), or on activities (e.g., *cough*), SEML **do'** (x, [**pred'** (x) or (x, y)]) (Van Valin 2005, 32, 34).

In the instances in which STATE predicates participate in this alternation, there is no activity predicate, and as a result the following default macrorole assignment principle in RRG should be applied: "if the verb has no activity predicate in its logical structure, the macrorole is undergoer" (VanValin 2015, 63). Thus, undergoer selection principle A (default linking) establishes that the macrorole undergoer should be assigned to the "lowest ranking argument in LS," in our case to *y*:

(19) Floodlit tennis courts […] abound in Cancun. (BNC/ CEK_W_newsp_other_social)
be-in' (Cancun (x), [**abound'** (tennis courts (y))])
(y) = undergoer

Marked assignment corresponds to selection principle B, which indicates that undergoer should be ascribed to "second highest ranking argument in LS," that is, to the (x) argument, in which case the potential non-selected macrorole undergoer is encoded as a *with*-phrase following the rule for assigning prepositions in English:

(20) [T]he whole forest was echoing with the snorts and growls of the awesome creature. (BNC/ CH9_W_fict_prose)
be-in' (forest (x), [**echo'** (snorts and growls (y))])
(x) = marked undergoer

As can be seen, Levin's SWARM alternation can also be accounted for in RRG terms as examples of marked macrorole assignment to undergoer. Moreover, in all marked instances the location argument receives the holistic interpretation.

4.3. The LOCATION SUBJECT alternation

In Levin's taxonomy (1993, 82), the LOCATION SUBJECT alternation is linked to FIT verbs that show the capacity of the location (table 2) and that allow the location to fill the slot of the subject. This construction implies the loss of the first argument in the kernel structure, but there is no change in transitivity:

(21) At the scene of the attack police found a plastic bag holding the pint of milk and four sausages. (BNC/CH2-W_newsp_tabloid)
(22) A large cafeteria seating over 300 people. (BNC/ AM2_W_misc)

In terms of *Aktionsart* ascriptions, the alternating construction, apart from deleting one of the arguments of the kernel construction—the *x* in example (23)—also involves a change of *Aktionsart* class, since FIT verbs in the kernel construction are causative states (x does something that causes y be in z), whereas in the alternating construction they are states. Thus, in example (23), which would alternate with the kernel construction

in example (24), the first event in the logical structure is an activity that causes a second event, which is a state. In terms of macrorole assignment, the default linking assigns actor to the argument of the activity predicate (x) and undergoer to the right-most argument in the LS (y):

(23) You can carry all of your belongings in the bag.
do' (you, [**carry'** you (x)$_{\text{EFFECTOR}}$, belongings (y$_{\text{THEME}}$)]
CAUSE [**be-in'** (bag (z) y$_{\text{GOAL}}$, belongings (y)$_{\text{THEME}}$]
(x) = actor, (y) = undergoer

In the alternating construction, the "**do'** (Ø, […])" segment represents an unspecified activity that is not reflected in the syntax, and the second event shows the change of the *Aktionsart* ascribed to the predicate, which is now no longer an activity—as in the kernel construction—but rather a state predicate that takes two arguments: the first argument position (z) is related to a location argument whose capacity is specified by the second argument (y). In this case (24), following the default actor selection principle, the highest ranking argument in LS must be assigned actor (x), and the lowest ranking argument in the LS must be assigned undergoer (y), following the undergoer selection principle for default linking.

(24) This way, the bag carries all of your belongings. [http://thecyclistbags.com]
do' (Ø, […]) CAUSE **carry'** (bag (x)$_{\text{LOCATION}}$, belongings (y)$_{\text{THEME}}$]
(x) = actor, (y) = undergoer

It is necessary to highlight that the macroroles actor and undergoer are the logical subject and the logical object respectively, but "the semantic content of the macrorole with a particular verb is supplied by the position of the argument in the logical structure, not by its macrorole status" (Van Valin 2005, 62). Thus, the actor of *carry* in (24) does nothing; it is simply the participant responsible for the state of affairs, that is the logical subject. In a parallel fashion, the undergoer of *carry* does not undergo any change even though it is the logical object in the state of affairs (Van Valin 2005, 61).

As a general conclusion we might claim that when the location argument is realized as subject it seems to codify states, as in the case of the intransitive locative alternations described in section 4.2. As regards the holistic effect that is often attributed to marked location arguments, it does not apply in this alternation since the subject location argument is not analysed as an example of marked macrorole assignment.

However, in this section we should include another alternation not registered in Levin (1993), which also shows a location argument codified as subject, and which is associated with two-place locative constructions, as illustrated in Kailuweit's example *The tank filled with water* (2008, 338). This construction alternates with the kernel construction *Water filled the tank*. These verbal predicates are linked to COVER verbs,

which in turn show another possible syntactic realization codified as *I filled the tank with water*. This three-place construction should be taken as the most basic pattern from which the other two constructions derive. In RRG terms, the kernel three-place construction shows actor MR assignment to the first effector in a causal chain,[10] whereas the second alternating construction *Water filled the tank*, in which a locatum argument—the entity that is moved—is realized as subject, shows marked actor assignment to the second effector in that causal chain:[11]

(25) Water filled the tank.
[**do'** (Ø (x)), [**use'** (Ø, water (y)])]
CAUSE [[**do'** (water, [**fill'** (water (y), tank (z)])]
CAUSE [BECOME **be-in'** (tank (z), water (y))]]
(y) = marked actor, (z) = undergoer

This two-place marked construction can, at the same time, alternate with a stative construction (26), which can be accounted for as another instance of marked undergoer assignment, since the slot for the potential actor has not been filled, which as a result triggers the codification of this non-selected potential effector actor as an OCA introduced by the preposition *with*. This alternation involves a change in the transitivity of the verb—the marked construction is intransitive—and a change of *Aktionsart* ascription since the transitive two-place construction (25) is an instance of causative accomplishment, whereas the intransitive marked construction (26) includes a change of state verb:

(26) [T]he room filled with soldiers. (BNC/W_fict_prose)
[**fill'** (soldiers (y), room (z)])]
(z) = marked undergoer, (y) = OCA

Kailuweit (2008, 352) also conceives these instances of two-place intransitive locative constructions as instantiations of marked undergoer choice that entail marked actor choice, and underscores the fact that marked actor assignment has not been attested in RRG.

[10] In this three-place construction, the *with*-phrase is not related to the RRG rules for prepositional marking, but, instead, to the instrumental use of the preposition *with*: "*with* marks a potential actor which is not selected as actor" (Van Valin and LaPolla 1995, 378), as exemplified in *Tom cut the bread with the knife* vs. *The knife cut the bread*.

[11] The LOCATUM SUBJECT alternation—*I filled the pail with water* vs. *Water filled the pail* (Levin 1993, 81)—deals with the alternating behaviour of the locatum argument, whereas the location argument remains the same in the two constructional variants. For the study of a verb that participates in this alternation, see Rodríguez-Juárez (2016), which presents a detailed account of the verb *cover* within the framework of RRG and the Lexical Constructional Model—see, Ruiz de Mendoza Ibáñez (2013), Ruiz de Mendoza Ibáñez and Mairal Usón (2007; 2008) and Mairal Usón and Ruiz de Mendoza Ibáñez (2008; 2009).

4.4. The IMAGE-IMPRESSION alternation

As mentioned in section two, Levin's IMAGE IMPRESSION alternation (1993, 66) resembles the SPRAY/LOAD alternation in syntactic terms since, without changing the transitivity of the verb, the location argument can be realized either as an oblique argument in the kernel structure, typically introduced by *on* (27), or as a direct core argument in the alternating construction (marked linking), triggering the presence of an OCA introduced by *with* (28):

(27) Members queued to engrave their initials on the vast parchment. (BNC/CFH_W_pop_lore)
(28) They […] stamped my hand with "checked." (BNC/ HP6_W_misc)

Syntactically speaking, these alternating constructions can also be accounted for as examples of either default or marked undergoer assignment to the location argument, respectively. The difference with the transitive locative alternation seems to reside in the semantics of the IMAGE-IMPRESSION verbs, which in the first place are restricted to a limited set of fourteen verbs (see table 3) that resemble PUTTING verbs in the sense that something is placed on a surface, but differ in that as a result of the event described by the verb a new entity is created—a tattoo, an inscription, etc. In fact, this difference is reflected in the *Aktionsart* class ascribed to these verbs, namely active accomplishments, which are not causative in nature, and differ from plain accomplishments in that they are more active, and adverbs like *actively* or *intensively* can co-occur with them (Van Valin and LaPolla 1997, 101), distinguishing them from SPRAY/LOAD verbs and CLEAR verbs, which are causative. The logical structure of active accomplishments (table 5) includes two related predicates: an activity predicate (**pred**$_1$') and one showing the result state (**pred**$_2$') which are linked by the ingressive operator (INGR) showing the coming into existence of an entity: "**do**' (x, [**pred**$_1$' (x, (y))]) & INGR **pred**$_2$' (z, x) or (y)." The logical representation in (29), which reproduces example (27), shows the default linking of actor to the first argument of the activity predicate (x):

(29) Members queued to engrave their initials on the vast parchment.
do' (members (x), [**inscribe**$_1$' (members (x), (Ø) (y))]
& INGR **be-on**' (parchment (z), (initials (y))
(x) = actor, (y) = undergoer

Marked assignment to undergoer is exemplified in sentence (30), where the goal (z) has been given macrorole status, with the implied consequence that the other potential non-selected undergoer macrorole (y) is realized as an OCA introduced by *with*, as predicted in the RRG rule for prepositional assignment:

(30) They […] stamped my hand with "checked." (BNC/ HP6_W_misc)
do' (they (x)**, [stamp'** (they (x), (Ø) (y))])
& INGR **be-on'** (hand (z), ('checked' (y))
(x) = actor, (z) = marked undergoer, (y) = OCA

In the marked construction, the holistic effect attributed to the location argument is also perceived, contrary to Levin's belief (1993, 67), since the surface seems to be largely affected by the creation of a tattoo, inscription, etc.—e.g., *They inscribed the stone with their initials*—a perception that is not felt in the kernel construction, *They inscribed their initials on the stone*.

5. Conclusion

The aim of this paper has been to analyse the multiple realizations of the location argument in various alternations in English from the perspective of RRG theory. Thus we have observed how the location argument, which in the most basic alternation patterns is normally codified as either a third-argument in three-place predications or takes the second argument position in bivalent predications, when alternating in marked constructions is placed in second or even first argument positions. The marked constructions may also involve a change of the *Aktionsart* ascribed to the verbal predicate and variation in the semantic implications of the location argument, in the sense that the location argument is often perceived as receiving the holistic effect that predicts that the location entity is somehow completely affected by the event described in the predication. In terms of the RRG analysis, we have demonstrated that the alternating marked constructions typically involve marked macrorole assignment, normally to undergoer, and to a lesser extent to actor.

Particularly, and regarding tri-valent transitive marked constructions, in those cases in which the location argument in the marked construction occupies the object position, we have shown that the transitive locative alternation (SPRAY/LOAD and CLEAR verbs) and the image impression alternation (CREATION verbs) are both examples of marked undergoer assignment which do not imply a change of *Aktionsart* ascription with respect to the basic constructions under concern—causative accomplishments and active accomplishments, respectively—and that both marked constructions also show that the location argument receives the holistic effect.

As regards bivalent transitive marked constructions where the location argument is an instance of default actor assignment—thus occupying the subject position—as in the LOCATION SUBJECT alternation (FIT verbs), we have observed that the location subject argument seems to codify states, since there is a change in the *Aktionsart* ascription of the verbal predicate in the kernel construction (causative state), which also involves the deletion of the first argument of the three-place predication from which it derives.

With respect to the intransitive locative alternation, the three different *Aktionsart* classes that have been identified in the kernel constructions—activities, semelfactives and states—change to states in the marked constructions. These stative marked constructions can be accounted for as examples of marked undergoer assignment to the second highest argument in the LS, which results in the realization of the location argument as subject and in its being completely affected by the predicated event. The other potential non-selected macrorole argument is codified as a *with*-phrase, as predicted by the RRG rule for the marking of the preposition *with* (Van Valin 2005, 114). We should highlight that in the case where the location argument is realized as subject in the marked construction, this assignment seems to codify states, as was also attested in the LOCATION SUBJECT alternation.

Finally, the intransitive marked construction that can occur with COVER verbs such as *fill*, as in *The tank filled with water,* also implies a change of *Aktionsart* ascription, from causative accomplishment in the kernel transitive structure from which it derives—e.g., *Water filled the tank*—to states in which the location subject seems to be completely full of the event predicated by the predicate. In terms of macrorole assignment, here we have an example of marked undergoer assignment which results in an intransitive construction in which the potential non-selected actor macrorole argument has to be codified as a *with*-phrase as predicted by the RRG rule for prepositional marking.

The research presented here has shown that the RRG analysis of the different syntactic realizations of the predicates that take a location argument in their argumental realization should be conducted at the level of the logical structure, where marked macrorole assignment explains the different syntactic realizations of the location argument as object but also as subject. These marked instantiations very often entail a change in the semantics of the location argument in the sense that it is perceived as being completely affected by the event, which may also in some cases involve a change in the *Aktionsart* ascription of the verbal predicate, and even a change in the transitivity of the verb.

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Learning Pragmatic Routines during Study Abroad: A Focus on Proficiency and Type of Routine

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The present study explores pragmatic learning during study abroad (SA) programs, focusing on gains in learner recognition and production of pragmatic routines, and considers whether proficiency and type of routine play a role in this. One hundred and twenty-two international students in their first semester of study at US universities completed a pre-test and a post-test version of a vocabulary knowledge scale (VKS) and a written discourse-completion task (DCT). Pragmatic routines elicited for recognition were categorised according to how bound they are to specific situations, while production routines were operationalised in terms of prototypicality. The results revealed that knowledge of pragmatic routines increased during a semester abroad, particularly in terms of recognition. While this increase was unrelated to proficiency, type of routine did play a significant role. Students showed greater gains in recognition of situational routines and in production of those that are highly-prototypical. The findings of the study underline the importance of SA programs for the acquisition of pragmatic routines, and suggest that exposure to routines in relevant contexts enhances pragmatic development.

Keywords: interlanguage pragmatics; study abroad; pragmatic routines; L2 pragmatic competence; recognition; production

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Aprendizaje de rutinas pragmáticas durante programas de estudios en el extranjero: nivel de inglés y tipo de rutina

El presente estudio examina el aprendizaje de la competencia pragmática durante las estancias lingüísticas en el extranjero. En particular, se centra en el reconocimiento y en la producción de rutinas pragmáticas, considerando si el nivel de inglés de los estudiantes y el tipo de rutina influyen en la adquisición de las mismas. Ciento veintidós estudiantes internacionales

en su primer semestre de estudios en universidades de Estados Unidos completaron un pre-test y un post-test de una escala de conocimientos de vocabulario—*vocabulary knowledge scale* (VKS)—y una prueba de elicitación del discurso—*discourse completion task* (DCT). Las rutinas pragmáticas presentadas para reconocimiento se clasificaron según su dependencia de contextos específicos, mientras que las de producción según su prototipicalidad. Los resultados del estudio confirman que el conocimiento de rutinas aumenta durante un semestre en el extranjero, y en especial la habilidad de reconocerlas. Aunque el nivel de inglés no afecta en este aumento, el tipo de rutina ejerce una influencia significativa. En concreto, se observaron mayores ganancias en el reconocimiento de rutinas situacionales y en la producción de rutinas muy prototípicas. Estos resultados corroboran la importancia de las estancias lingüísticas para la adquisición de rutinas pragmáticas, y sugieren que la exposición a las mismas en contextos significativos es determinante para el desarrollo de la competencia pragmática.

Palabras clave: pragmática de la interlengua; estancias lingüísticas; rutinas pragmáticas; competencia pragmática de segundas lenguas; reconocimiento; producción

1. Introduction

Research in the area of interlanguage pragmatics (ILP) has examined the study abroad (SA) context as a potential environment for second language (L2) learners' pragmatic development—for a recent overview on pragmatic gains from SA, see Xiao (2015).[1] Previous studies have examined awareness and production of speech acts, command of informal style, comprehension of implied meaning, and a few investigations have dealt with pragmatic routines. Overall, findings point to the SA context as being significantly beneficial for the development of pragmatic aspects. Such development, however, is variable and non-linear, and is influenced by various factors. Among these, intensity of interaction, instruction and language socialisation have been seen to exert a positive influence (Bardovi-Harlig and Hartford 1993; Barron 2003; Schauer 2009; Bataller 2010; Iwasaki 2010; Taguchi 2011; Alcón 2015). However, since there is no conclusive empirical evidence of the extent to which pragmatic competence develops during SA, further research is needed in the field.

The present study focuses on pragmatic routines, that is, semi-fixed expressions used recurrently by speech communities in specific situations of everyday life. This pragmalinguistic aspect has received increasing attention in ILP research since the early 2000s, with studies underlining the importance of knowing routines for the development of L2 pragmatic competence (e.g., Kasper and Ross, 2002). Given that the majority of studies to date have analysed knowledge of routines, rather than actual increase or decrease in use, the present investigation addresses pragmatic gains in their recognition and production. In addition, and in contrast to previous studies that have analysed the acquisition of routines by comparing pragmatic knowledge of learners in the SA context with their peers at home, this study examines gains accomplished by a single group of learners during a semester abroad. Pragmatic development is also explored across proficiency levels, in an attempt to gain an understanding on how learners at different proficiency levels make progress over time, rather than observing pragmatic knowledge at a given point in time, which has been a common focus of research. Finally, the study also addresses a key research gap, namely the influence of type of routine on pragmatic changes from an acquisitional perspective.

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2. Background Research

2.1. Pragmatic routines

As a subarea of the wider field of formulaic language, pragmatic routines differ from other concepts such as idioms, collocations or formulas in terms of their sociocultural nature and their recurrent use in particular situations. Coulmas (1981), for instance, refers to pragmatic routines as implicit agreements supposedly shared by the members of a community. According to this author, knowledge of routines, which reflects the speech of a society, is essential to handle everyday situations. In a similar vein, Taguchi (2011) defines pragmatic routines as expressions with a fixed or semi-fixed formal structure, and whose meaning is bound to a specific situation and to a certain communicative function.

Pragmatic routines have been categorised according to their form and to their meaning or function. Despite their highly conventional nature, variability in their internal structure and in the degree to which their meaning is situation-bound are defining traits. With respect to form, routines have been classified in "chunks" and "patterns" (Wray 1999), according to whether they have, respectively, a fixed and prefabricated form, such as *For here or to go?* or they are more flexible and may include one or more missing gaps, such as in *Would you mind…?* Regarding meaning and function, pragmatic routines have been categorised according to the extent to which their meaning is more loosely or tightly linked to specific situations (Roever 2005). A routine may imply a literal significance—*Can I help you?*—or a situationally-bound meaning, which makes sense only in a particular contextualised situation—*Help yourself*. Additionally, it may involve two meanings, as is the case of the expression *Do you have the time?* Without context, one many infer that *Do you have the time?* is an enquiry about time, as expressed in hours and minutes. However, it may also indicate an enquiry about somebody's availability. In this regard, Roever (2005; see also Coulmas 1981) differentiates between functional and situational routines. Situational routines have a more fixed internal structure and they are used in specific situations, as in the question *What brings you here?* asked by a doctor to a patient at the beginning of a medical interview. Hence, their significance may be difficult to discern without contextual clues. In contrast, functional routines have a more flexible form, they may be used in different settings and discerning their meaning presents less difficulty; that is to say, inferential reasoning is not necessary, e.g., *Do you mind if…?*

In terms of the distinction between functional and situational routines, there is a body of research that has pointed to how form and situation boundness of pragmatic routines shape L2 learners' recognition and production of routines (Kecsckes 2000; Roever 2005; Taguchi 2011; 2013). However, to the best of our knowledge, previous studies have not addressed whether type of routine influences pragmatic gains during SA. Previous research has also explored the factors that potentially influence the acquisition of pragmatic routines. These will be reviewed in the next section.

2.2. Previous research on the acquisition of pragmatic routines

The acquisition of pragmatic routines has been investigated mainly in cross-sectional studies addressing knowledge of routines, and in a few longitudinal studies exploring pragmatic gains. A number of previous studies have focused on the factors influencing the acquisition of pragmatic routines during SA. For instance, Roever (2005) examined pragmatic performance by a group of German students of English as a Second Language (ESL) in the US, in comparison with a control group of EFL learners in Germany, and addressed the effect of proficiency and exposure on learners' recognition of pragmatic routines, comprehension of implicatures and production of speech acts. Participants completed a recognition task with twelve routines that included both situational routines and other functional expressions, and it was found that recognition of pragmatic routines was only influenced by exposure. Additionally, learners' production of pragmatic routines in a discourse-completion task (DCT) revealed higher use of functional than situational routines.

Similarly, Kecskes (2000) analysed learners' ability to recognise and produce pragmatic routines, which he labelled "situation-bound utterances." Three tasks were presented to eighty-eight international students at a US university: a DCT, a dialogue-comprehension task and a problem-solving task. The instruments included expressions with a literal meaning versus formulas with figurative language such as *piece of cake* ["easy"] or *shoot* ["go ahead"]. His findings provided further evidence that it is degree of conventionality what determines the acquisition of formulas, since students recognised and produced literal and grammatically transparent formulas more easily than figurative ones. Additionally, Kecskes examined how previous experience in the second language context influenced use of routines, providing evidence that lengthier previous experience abroad did not imply higher production of routines.

Taguchi (2011; 2013) also refers to conventionality as a determiner of acquisition of routines and provides further evidence of learners being more successful at recognising and producing routines with a more literal, non-conventional meaning—i.e., functional routines. Firstly, Taguchi (2011) addressed comprehension of conventional and non-conventional implicatures, including pragmatic routines, by sixty-four Japanese students of English in an immersion setting in Japan, finding that recognition of routines was more difficult and took more time than comprehension of indirect implicatures, thus supporting the work of Kecskes (2000). Moving on to production, in a later study by Taguchi (2013) participants completed an oral DCT with four situations that elicited routines. Production was measured in terms of appropriateness, planning time and speech rate. In line with both Kecskes (2000) and Roever (2005), students produced functional routines more accurately than situational ones (dominant core expressions) within the same context. The same author also examined the influence of proficiency and SA exposure on comprehension

and production of routines, reporting that proficiency correlated positively with recognition of routines, while exposure in the SA context had the greatest effect on production of routines (Taguchi 2011; 2013).

Further evidence that it is easier for international students to recognise than to produce pragmatic routines was reported by Bardovi-Harlig (2008). The same author (2009) provides the following explanations for the low production of pragmatic routines: lack of familiarity with expressions, overuse of familiar routines, subsequent underuse of more target-like expressions, level of development and lack of sociopragmatic knowledge. Additionally, Bardovi-Harlig and Bastos (2011) explored the effect of proficiency, intensity of interaction and length of stay, finding a positive influence of proficiency on production of routines—hence in line with Taguchi (2013)—but no significant effect on recognition. Results also pointed to the relevant role of intensity of interaction on both recognition and production of formulas and no significant influence of length of stay on either aspect.

While the above-mentioned studies are cross-sectional, measuring knowledge and performance of pragmatic routines while abroad, Barron (2003) and Taguchi, Li and Xiao (2013) addressed actual gains in pragmatic routines during SA, focusing on production. Barron (2003) examined the acquisition of discourse structure, pragmatic routines and internal modification by thirty-three Irish students of L2 German in a ten-month SA program in Germany. Regarding routines, the author measured production at three times, reporting that although the learning path seemed to move towards the L2 norm, it was difficult for L2 learners to acquire full native-like pragmatic performance. This study confirmed that the SA context is beneficial for acquiring pragmatic routines, but mere exposure is not enough for learning. The author suggests that frequency and saliency of input is a determining factor during an SA experience.

In the same vein, Taguchi, Li and Xiao (2013) analysed gains in production of L2 Chinese routines during a semester-long SA program in China. Following a pre-test/post-test design, thirty-one American students took a speaking test with twenty-four situations that prompted the use of formulas. Additionally, they completed a survey about their perception of frequency of encountering the situations presented. Their findings revealed that learners showed significant gains in production of routines. Additionally, although some students made gains towards the use of target language (TL) formulas, most of the participants produced more non-target-like grammatical routines in the post-test, the authors concluding from this that learners appear to place more importance on conveying meaning rather than on producing accurate forms. Consequently, production of routines during the SA seemed to develop towards the use of functional pragmatic routines

As reported above, previous studies have examined learners' knowledge of pragmatic routines during SA, but they have paid relatively little attention to how learners develop their knowledge of pragmatic routines over time. Interestingly, the two studies that have addressed gains in pragmatic routines have only focused

on production, disregarding the ability to recognise routines. Regarding proficiency, mixed findings have been reported on whether learners' proficiency level influences recognition and production of routines. In relation to type of routine, learners seem to have less difficulty in producing and recognising more literal and transparent routines. Nevertheless, existing studies have disregarded whether type of routine plays a role in learners' pragmatic development. This study addresses such research gaps by exploring how type of pragmatic routine influences pragmatic gains across different proficiency levels during a semester-long SA program. To this end, two research questions guided the study:

RQ1: Do learners at different proficiency levels show differential gains in recognition and in production of pragmatic routines during study abroad programs?

RQ2: Does type of routine influence learners' gains in recognition and in production of pragmatic routines?

3. Method

3.1. Participants

Data was collected from three public universities in the United States of America. The institutions are close in geographical proximity, all within the Appalachian region of the US, an important factor to take into account in order to maintain the same cultural, societal and linguistic values, and especially to ensure that the members of the L2 speech community use the same pragmatic routines. Moreover, the three universities offer similar ESL programmes for undergraduate international students, aimed at enhancing their English competence and at preparing them to live and study in the US. Learners enrolled in full-time, part-time or occasional ESL classes, depending on their initial proficiency level, which was determined by the Test of English as Foreign Language (TOEFL) scores. Participants of the study were students enrolled in these ESL programs.

One hundred and twenty-two international students participated in the study. Originally, the sample included one hundred and thirty-four students, but twelve had previous experience in the TL setting, and were excluded in an attempt to ensure homogeneity in previous sociopragmatic knowledge. Background information about the final group of one hundred and twenty-two participants is included in table 1.

As observed in table 1, the sample includes seventy-five males and forty-seven females and their age ranges from eighteen to forty-two, the average being 23.4. They have seventeen different L1s, and hence are from varied sociocultural origin. Furthermore, based on TOEFL scores, students were classified according to their English proficiency level and comprised twenty beginners, sixty-three intermediate and thirty-nine advanced learners.

Table 1. Demographic information about participants

Variable	Values	Number	%
Gender	Male	75	61.5
	Female	47	38.5
Age	18 to 24	72	59
	24 to 30	45	36.9
	30 to 42	5	4.1
L1	Chinese	37	30.3
	Portuguese	32	26.2
	Arabic	10	8.2
	Thai	10	8.2
	Turkish	7	5.7
	Spanish	5	4.1
	Vietnamese	4	3.3
	Indonesian and Indonesian dialects	3	2.5
	Korean	3	2.5
	German	2	1.6
	Japanese	2	1.6
	Uzbek	2	1.6
	Kituba (Congolese)	1	0.8
	Russian	1	0.8
	Serer (Senegal)	1	0.8
	Tajik	1	0.8
	Urdu	1	0.8
English level	Intermediate	63	51.6
	Advanced	39	32
	Beginner	20	16.4

3.2. Instruments

In order to collect data on the participants' recognition and production of pragmatic routines, two tests were designed. To assess recognition, a modified version of the multilevel "vocabulary knowledge scale" (VKS) was used (Wesche and Paribakht 1996). This instrument aims to identify both self-perceived and demonstrated knowledge of certain pragmatic routines. Example 1 shows one of the items in the test:

> Example 1:
> Instructions: Circle the letter a), b) or c) of the most appropriate option for each expression according to whether you have never seen or heard the expression, you have seen or heard it but do not remember what it means or you know the expression and are able to explain, translate or provide a synonym for it.

1. *I gotta go*
a) I don't remember seeing or hearing this expression before.
b) I have seen or heard this expression before but I don't know what it means.
c) I know this expression. It means _____
(translation, synonym or explanation)

As illustrated in the above example, participants self-report their ability to recognise the presented item, and they provide evidence that the reported recognition is true by providing a synonym, an example or an explanation of the item.

With respect to production of pragmatic routines, a written DCT was adapted from Roever (2005) and Bardovi-Harlig (2008; 2009). The instrument requested participants to express what they would say in thirteen scenarios. Example 2 is extracted from the DCT:

Example 2:
Instructions: Please fill in the blank with what you would say in the situation. Write down the first thing you think of.
1. Your friend invites you to have dinner with his parents. His mom offers you more food but you couldn't possibly eat any more. You say: _____

Both the VKS and the DCT were pilot tested with ninety-two native speakers (NSs) in order to check for frequency and community-wide use of the routines. Following Bardovi-Harlig (2008), a cut-off point was established for recognition—with 100% of NSs' agreement—and for production—with a 50% of NSs' agreement. Additionally, pragmatic routines produced by at least 15% of NSs were taken into consideration as low-prototypical routines. The cut-off served as an indicator of validity of the instrument by showing NS agreement and it was also used to codify the routines produced in the DCT. Finally, in order to avoid familiarity with the instruments in the post-test, two versions of the VKS and the DCT were designed by modifying the order of the items presented.

3.3. Taxonomy of pragmatic routines

Drawing on Roever (2005), the pragmatic routines elicited for recognition were divided into functional and situational routines, depending on how bound their meaning is to particular situations. Situational routines have a relatively fixed internal structure and a conventionally established meaning that makes sense in a given situation. In contrast, functional routines include more formal flexibility, their meaning is more literal and they may be used in different situations. The present study includes five situational routines— (a) *Do you have the time?,* (b) *My bad*, (c) *That works for me*, (d) *Do you think you could make it?* and (e) *Help yourself*—and eight functional routines—(f) *I gotta go*,

(g) *I was wondering*, (h) *Thanks for coming*, (i) *Thanks for your time*, (j) *Could you do me a favour?*, (k) *Would you mind…?*, (l) *Do you want to come to my place?* and (m) *Can I get you anything else?*

Additionally, pragmatic routines elicited for production were examined in terms of prototypicality. In line with Bardovi-Harlig (2009) and Taguchi (2013), routines produced in the DCT were classified according to percentage of NSs agreement in each particular situation. Expressions with a NS agreement of 50% or more were considered highly prototypical, while expressions produced by more than 15% and less than 50% of NSs were coded as low prototypical routines.

3.4. Data collection and analysis

This study employed a pre-test/post-test design. The process of collecting the data took two semesters: the spring semester of 2014 and the autumn semester of 2014. At the beginning of each semester, newly arrived international students were asked to participate. The instruments were administered in paper format during face-to-face sessions. The pre-test was completed during the second week of each semester and the post-test two weeks before the end of each semester.

Learners' recognition of pragmatic routines was coded in terms of familiarity with the expressions. Each response in the VKS test received a point value and, for each participant, average scores were calculated on a scale from 0 to 2. This score indicates how frequently learners recognise the expressions presented to them: zero points (0) were given to "I don't remember seeing or hearing this expression before"; one point (1) corresponded to both "I have seen or heard this expression before but I don't know what it means" and "I know this expression. It means (incorrect answer)"; finally, two points (2) were assigned to the response "I know this expression. It means (correct answer)."

To code learners' production of routines, only expressions previously produced by a sample of NSs were taken into account in the analysis. For each situation in the DCT, the number of learners that produced each prototypical expression—including both highly and low prototypical—was determined for the pre-test and the post-test and compared with NSs performance. Comparison with production by NSs also allowed the limits of variability to be established. Correct responses were measured as fitting within the boundaries of variation, which may take many forms, lexical, morphological or syntactic—see Nattinger and DeCarrico (1992), Schmitt and Carter (2004) and Bardovi-Harlig and Bastos (2011). For example, *Nice to meet you* and *Nice meeting you* were considered under the same routine, as well as contractions or lack of copula, such as in *I'm sorry*, *I am sorry* or *Sorry*.

Before data coding, one of the authors and a recruited scholar practised coding together on data from a pilot study to confirm consistency. They then independently coded 20% of the study data. The agreement rate was 92% for recognition of routines, and 87% for production.

4. Results and Discussion

In order to answer the first research question (RQ1), gains in recognition and in production of pragmatic routines during SA across proficiency levels were explored. Firstly, differences between pre-test and post-test means were examined using a series of paired-samples t-tests, and the effect size was calculated using Cohen's d. Recognition and production mean scores were calculated on the basis of a minimum score of zero points and a maximum of twenty six points—two points for each of the thirteen routines in the VKS and the thirteen situations in the DCT. Overall scores were the sum of recognition and production ratios, hence the maximum score a learner could achieve in overall knowledge of routines was fifty two points. In order to test the normality of the data, a Shapiro-Wilk's test ($p > 0.05$) showed that recognition, production and overall gain ratios were normally distributed, with a skewness of -0.845 (SE = 2.19) and a kurtosis of 0.479 (SE = 0.435) for recognition in the pre-test, a skewness of -1.207 (SE = 2.19) and a kurtosis of 1.26 (SE = 0.435) for recognition in the post-test, a skewness of 0.185 (SE = 2.19) and a kurtosis of -0.437 (SE = 0.435) for production in the pre-test and a skewness of 0.205 (SE = 2.19) and a kurtosis of -0.224 (SE = 0.435) for production in the post-test.

Table 2 shows that learners scored higher on recognition, as compared to production, both in the pre-test (recognition M = 18.52, SD = 4.993; production M = 10.36, SD = 4.696) and in the post-test (recognition M = 20.01, SD = 4.504; production M = 11.73, SD = 4.481).

Table 2. Pre-test–post-test means, standard deviations and differences in knowledge of pragmatic routines.[2]

	T1			T2						
	N	Mean	SD	Mean	SD	Difference	Diff.(%)	Sig.	t	df
Recognition	122	18.52	4.993	20.01	4.504	1.49*	5.73	.000	-4.36	121
Production	122	10.36	4.696	11.73	4.481	1.37*	5.27	.001	-3.42	121
Overall	122	28.88	8.461	31.75	7.652	2.87*	5.52	.000	-5.21	121

Inferential statistics also indicated that changes between pre-test (T1) and post-test (T2) were statistically significant for recognition [$t(121) = -4.36$, $p < 0.001$, $d = -0.313$], for production [$t(121) = -3.42$, $p < 0.001$, $d = -0.298$] and for overall knowledge [$t(121) = -5.21$, $p < 0.001$, $d = -0.356$], suggesting that a semester abroad can afford significant pragmatic gains. As shown in table 2, gains in recognition of routines (5.73%) were slightly greater than those for production (5.27%), pointing to the particular advantage of the SA context in terms of recognition. These findings

[2] The values for the *difference* column are the changes from the pre-test to the post-test. *$p < 0.001$ (paired-samples t-test)

support previous research reporting that learners increase their knowledge of pragmatic routines while participating in SA programs (Barron 2003; Taguchi, Li and Xiao 2013).

In order to examine pragmatic gains across proficiency levels, participants were divided into three groups: beginner (n = 20), intermediate (n = 63), and advanced learners (n = 39). Results from a one-way ANOVA revealed that proficiency was not significantly associated with gains in recognition—$F(2,119) = 1.792$; $p = 0.71$—in production—$F(2,119) = 0.195$; $p = 0.82$—or in overall knowledge of pragmatic routines—$F(2,119) = 1.327$; $p = 0.27$. Indeed, the analysis showed that the three groups did not show significant differences in their learning of pragmatic routines. This means that more proficient learners did not necessarily achieve greater gains. In fact, some beginner students showed higher or similar gains to advanced learners. Consequently, pragmatic improvement might be determined by factors other than proficiency. While, to the best of our knowledge, there are no studies reporting the effect of proficiency on gains in knowledge of routines over time, these findings echo a cross-sectional investigation by Roever (2005) that revealed no association between proficiency level and knowledge of routines.

To sum up the results related to RQ1, the present investigation reveals higher gains in recognition than in production of pragmatic routines during a semester of study abroad. In addition to this, our findings provide new insights on how pragmatic gains are influenced by proficiency. In this study, proficiency was unrelated to the reported pragmatic gains, as learners across levels did not show significantly different pragmatic learning paths.

The second research question (RQ2) of the study examined whether the type of pragmatic routine influences learners' gains in recognition and in production. Below, the results for the influence of type of routine on gains in recognition are presented, followed by the effect on gains in production. Table 3 presents the data on participants' recognition scores and gains for each of the thirteen expressions contained in the VKS.

Scores in the pre-test and post-test range from 0.96 for *Do you think you could make it?*, indicating that a high number of students reported not recognising the expression or not being familiar with its prototypical meaning, to 1.85 in the post-test of *Thanks for coming*. Gains were calculated in percentages, ranging from -2% to 14%, with an average of 5.85%. Learners showed improvement in recognition of all expressions except for *Do you have the time?* (-2% of gains). After *My bad* (14%), *That works for me* is the routine with the second highest percentage of gains (11%) and this is followed by *Thanks for coming* (9.5%), *Do you want to come to my place?* (9%), *Thanks for your time* (7%), *Do you think you could make it?* (6.6%) and *Would you mind…?* (6%). Other routines that participants did not seem to learn during the semester—i.e., expressions with a gain percentage below the means—are *Could you do me a favour?* (2%), *Help yourself* (2.5%), *I gotta go* (2.5%), *I was wondering…* (3.5%) and *Can I get you anything else?* (4.5%).

Table 3. Recognition of pragmatic routines

		NNSs (N = 122)			
		T1	T2	Gains	
	Expression	Score	Score	Score	%
R1	I gotta go	1.61	1.66	0.05	2.5
R2	I was wondering…	1.32	1.39	0.07	3.5
R3	Do you have the time?	1.69	1.65	-0.04	-2.0
R4	My bad	1.30	1.58	0.28	14.0
R5	Thanks for coming	1.66	1.85	0.19	9.5
R6	Thanks for your time	1.66	1.80	0.14	7.0
R7	That works for me	1.16	1.38	0.22	11.0
R8	Do you think you could make it?	0.96	1.09	0.13	6.5
R9	Could you do me a favour?	1.66	1.70	0.03	2.0
R10	Would you mind…?	1.35	1.47	0.11	6.0
R11	Do you want to come to my place?	1.49	1.67	0.18	9.0
R12	Help yourself	1.23	1.28	0.05	2.5
R13	Can I get you anything else?	1.42	1.51	0.09	4.5

In order to analyse whether the type of pragmatic routine determines the learners' gains in recognition listed above, a distinction is made between situational and functional routines. Table 4 displays pre-test and post-test means, standard deviations and differences (gains).

Table 4. Pre-test/post-test means, standard deviations and differences in recognition of situational and functional routines

	T1			T2						
	N	Mean	SD	Mean	SD	Difference	Diff. (%)	Sig.	t	df
Situational	5	1.27	0.268	1.40	0.227	0.128*	6.48	.009	-2.23	4
Functional	8	1.52	0.145	1.63	0.161	0.110*	5.43	.001	-5.45	7

Mean scores for both situational and functional routines in T1 and T2 are calculated on a scale from zero to two points. Analysis from paired-samples t-tests indicated that changes between pre-test and post-test were statistically significant for both situational routines—$t(4) = -2.23$, $p < 0.01$, $d = -0.523$—and functional ones—$t(7) = -5.45$, $p = 0.001$, $d = -0.718$—suggesting that there is a significant pragmatic improvement in both types of pragmatic routine.

In table 4 it can be seen that learners accomplished slightly greater gains in their recognition of situational routines—e.g., *My bad*, *That works for me*, *Help yourself* (6.48% improvement)—compared to functional ones—e.g., *I gotta go*, *I was wondering*, *Thanks for coming* (5.43%). Lower gain percentages in functional routines make sense for two reasons. Firstly, students may already possess knowledge of most functional routines, such as *I gotta go* or *Could you do me a favour?* and thus they did not show gains during the semester—Schmitt, Dörnyei, Adolphs and Durow (2004) refer to it as the "ceiling effect." In contrast, exposure to the TL seems to enhance the recognition of formulas whose meaning is tied to situations that are probably frequent in the TL context. For instance, students may regularly encounter situations where *My bad*, *That works for me* and *Do you think you could make it?* are employed by NSs or other TL users, hence improving their ability to recognise them. Although previous studies have indicated that it is more difficult for L2 learners to recognise routines with a situation-bound meaning (Kecskes 2000; Roever 2005), the findings from this study suggest that exposure to input during SA is beneficial for improving the ability to recognise this type of routines. In fact, in the speech community where the study was conducted people use the expression *My bad* recurrently, while other communities use different expressions of apology such as *Sorry, it was my fault*. This finding echoes Barron's (2003) claims that saliency and frequency of input during SA seem to determine increases in the production of L2-like routines.

Moving to production, table 5 shows the data on number of learners producing prototypical routines in the pre-test and post-test, and differences between these and NS production ratios in each pragmatic routine elicited. Gain percentages range from -10.66% to 25.41%, with an average of 3.16%. Learners accomplished the greatest gains in *{Thanks/thank you/-} You too* (25.41%), followed by *Hello?* (13.11%) and *How can I help you?* (10.66%), implying that the SA context is beneficial for learning these pragmatic routines. In contrast, students decreased their use of *How can I help you?* (-10.66%), *No, thank you* (-8.20%), *Sorry my {place/house} is a mess* (-3.28%) and *Sorry I am late* (-1.64%). Furthermore, no gains were reported in the production of *Do you have (a/an extra) pen I {could/can} borrow?* and *Be careful*.

To examine whether the type of routines influenced production gains, a distinction was made between highly-prototypical and low-prototypical routines, according to NS production percentages—see table 5, last column. On the one hand, all the reported negative gains corresponded to low-prototypical routines—except for *Sorry I am late*. On the other, learners increasingly opted to produce highly-prototypical routines, as reflected in positive gain percentages. Situation "Restaurant," is an example. The DCT asked the students what they would say in the following situation: "You work in a fast food restaurant which serves food that customers can eat while seated in the restaurant or can take home with them. Before a customer starts ordering, you ask him/her."

This context prompts the highly-prototypical routine *For here or to go?* where learners reported positive production gains (10.66%) and the low-prototypical one *How can I help you?*, which students used less frequently during the semester, as is made clear by

Table 5. Production of pragmatic routines

Situation		Expression		NNS T1 (N = 122)		NNS T2 (N = 122)		Production gains		NSs (N = 92)	
				(n)	%	(n)	%	(n)	%	(n)	%
1	Dinner table	P1	No thanks, I'm full	45	36.89	53	43.44	8	6.56	45	48.91
		P1.a	No, thank you	13	10.66	3	2.46	-10	-8.20	31	33.70
		P1.b	I'm stuffed	1	0.82	3	2.46	2	1.64	14	15.22
2	Introduction	P2	Nice to meet you	85	69.67	89	72.95	4	3.28	71	77.17
3	Restaurant	P3	For here or to go?	28	22.95	41	33.61	13	10.66	55	59.78
		P3.a	How can I help you?	21	17.21	8	6.56	-13	-10.66	15	16.30
4	Puddle	P4	Watch out	28	22.95	34	27.87	6	4.92	67	72.83
5	Farewell	P5	{Thanks/thank you/-} You too	75	61.48	106	86.89	31	25.41	84	91.30
6	Late	P6	Sorry I am late	58	47.54	56	45.90	-2	-1.64	73	79.35
7	Phone	P7	Hello?	65	53.28	81	66.39	16	13.11	86	93.48
8	Borrow pen	P8	{Could/Can/May} I borrow a pen?	34	27.87	37	30.33	3	2.46	68	73.91
		P8.a	Do you have (a/an extra) pen I {could/can} borrow?	7	5.74	7	5.74	0	0.00	19	20.65
9	Store	P9	No thanks, I'm just looking	33	27.05	34	27.87	1	0.82	52	56.52
		P9.a	(No, thanks) I'm just browsing	1	0.82	2	1.64	1	0.82	18	19.57
10	Decease	P10	I am sorry for your loss	14	11.48	19	15.57	5	4.10	47	51.09
		P10.a	I am (so) sorry	26	21.31	28	22.95	2	1.64	28	30.43
		P10.b	(I'm) Sorry to hear that	30	24.59	35	28.69	5	4.10	15	16.30
11	Messy house	P11	Sorry for the mess	22	18.03	28	22.95	6	4.92	66	71.74
		P11.a	Sorry my {place/house} is a mess	7	5.74	3	2.46	-4	-3.28	14	15.22
12	Piece of paper	P12	Here you go	9	7.38	16	13.11	7	5.74	64	69.57
13	Careful driving	P13	Be careful	70	57.38	70	57.38	0	0.00	75	81.52

the negative gains (-10.66%). There is only one instance of learners decreasing their use of a highly-prototypical routine: *Sorry I am late*. Decreased production of this routine may imply that students did not encounter the "Late" situation (i.e., arriving late to a meeting with a professor) frequently enough to practise it in a recurrent manner. Therefore, it seems that increases and decreases in the production of pragmatic routines may be explained by a tendency towards prototypicality. Participants decreased their use of less prototypical routines—more typical of the L2 learners' pragmalinguistic repertoire—in favour of more prototypical ones—those more commonly produced by NSs—at the end of the semester abroad.

To summarise the results related to RQ2, it seems that type of routine significantly influences gains in both recognition and production of pragmatic routines during an SA period. Greater gains in recognition of situational routines, whose meaning is strongly tied to a particular situation, were observed during the semester. Besides, participants experienced larger gains in production of highly-prototypical routines, and showed a decrease in the use of low-prototypical ones. Considering the above research findings, we might claim that the study abroad period seems to push learners to go through a process of native-like selection (Pawler and Syder 1983), which involves the ability to select and use pragmatic routines from among different "native-like formulations." In this process, the boundness to a particular situation and the prototypicality of the routine play a significant role.

5. Conclusions, Limitations and Further Research

The present study explored gains in recognition and in production of pragmatic routines in the SA context. Additionally, it examined whether proficiency and type of routine have an influence on the reported gains. Firstly, the research findings revealed that L2 learners experienced higher gains in recognition than in production of pragmatic routines following a semester abroad. Secondly, different proficiency levels did not show significant differences in pragmatic gains in the context of SA. Finally, both gains in recognition and in production were influenced by type of pragmatic routine. In particular, situation-boundness and prototypicality are features of pragmatic routines that seem to influence learning of pragmatic routines during SA programmes. Regarding recognition, greater gains were observed in the identification of situationally-bound routines—routines more tightly tied to a social context, e.g., *My bad*—than functional ones—e.g., *Would you mind…?*. With respect to production, learners decreased their use of low prototypical routines (e.g., *How can I help you?*) in favour of highly prototypical ones—e.g., *For here or to go?*. Consequently, an approach to the NS norm was observed.

This study presents, however, some limitations. In relation to the instruments administered to measure learners' recognition of pragmatic routines, a VKS was used, which asked students to self-report their familiarity with specific pragmatic routines. We acknowledge that self-report measures have the disadvantage of producing data that may not be a hundred percent valid for the establishment of generalisations as participants may not be truthful or may exaggerate their answers. However, this limitation was overcome by asking participants to provide a definition of the elicited routines, so as to ensure their comprehension. We are also aware that written DCTs do not trigger natural conversational data. Nevertheless, DCTs represent the best option to collect large amounts of data on learners' production of pragmalinguistic features, as was the case in this study. Additionally, this investigation employs a pre-test/post-test design with the aim of examining changes in knowledge of routines during one semester (four months) abroad. A delayed post-test was not administered, given that loss of participants would have been too high. In our opinion, further research is needed on the development of pragmatic routines during SA. This type of research should involve mixed-method approaches, including both quantitative and qualitative data.

Finally, among the different factors that may influence learners' gains in production and recognition of pragmatic routines during SA, we have examined type of routine and L2 proficiency. Type of routine was found to play a role in the observed pragmatic gains, while no significant effects of proficiency was found on gains in knowledge of pragmatic routines over time. Further studies are needed to examine the influence of other variables on pragmatic learning during SA experiences. Among them, the relationship between intensity of interaction and acculturation is an issue to consider. One tentative hypothesis is that, since the amount of exposure to the target language could differ according to individual learners, intensity of interaction with L2 speakers could also have an impact on the extent to which students acculturate and acquire pragmatic routines in SA settings. We also acknowledge that learners' L1s may have an impact on pragmatic learning. This issue was not the focus of the present investigation, but in further studies it would be worth exploring data on the effect of background language and nationality on learners' pragmatic changes during SA.

Despite the above-mentioned limitations and suggestions for further research, this study provides new insights on how students recognise and produce pragmatic routines during SA. The acknowledgement that L2 learners accomplish greater gains in recognition than in production of pragmatic routines during an SA period suggests that it would be beneficial if language teachers placed emphasis on pragmatic routines in instructional contexts. This would involve including pragmatics in the linguistic preparation courses that students take before participating in SA programs. Thus, pragmatic aspects, such as performance of certain pragmatic routines, the recognition and use of which students do not seem to improve during the sojourn, could be emphasised.

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REVIEWS

RESEÑAS

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Emron Esplin and Margarida Vale de Gato, eds. 2014. *Translated Poe*. London: Leigh UP. 471 pp. ISBN: 978-1-61146-171-8.

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As Emron Esplin and Margarida Vale de Gato point out in their preface to the book *Translated Poe*, there is no doubt that Edgar Allan Poe's global success is to a great extent attributable to the translations of his literary work—Harold Bloom (1985) even goes so far as to suggest that Poe's narrative is enriched and improved in translation. This fact also makes it clear that, above and beyond the unquestionable importance of Baudelaire's translation into French, Poe's work has been much more widely received in world literature, and in complex and diverse ways. This in itself is no novelty, and nor is this volume the first to study the translations of Poe's work: there have indeed been many articles from all over the world that have analysed certain translations. However, the work of Esplin and Vale de Gato is the first to provide a global perspective on the topic, and one which offers deep insights into an important aspect of how Poe has been received while at the same time enabling his work to be analysed from a comparative perspective. It should not be forgotten that comparatism is an inherent part of translation studies. As Lawrence Venuti points out in *The Translator's Invisibility* (1995), the constant shifts that occur in translation always imply a variety of literary interchanges that should not be overlooked, and this is something that Esplin and Vale de Gato make clear in this work.

In an attempt to be thoroughly comprehensive, this volume has been divided into two parts: the first reviewing the translations of Poe's poetic and prose work in a number of countries, and the second analysing specific cases of tales or poems and their impact on a literary genre, or the importance of individual translators, among other phenomena.[1] One of the first things that we learn in the first part of the volume is when Poe's work was introduced in each country: while his poems and tales were first translated in the nineteenth century in countries such as Russia, Germany, Portugal,

[1] Esplin and Vale de Gato did consider the potential advantages of organising their content around geoliterary spaces and literary networks instead of single foreign languages, as they eventually chose to do. They recognise that this might well have been both more realistic and more appealing, but they finally opted for the more traditional approach for practical reasons, aware as they were that the individual essays would allude to the different literary interconnections.

Spain, Romania, Italy, Mexico, Greece, Sweden, Iceland and Japan, other countries, such as China, Brazil, Morocco, Egypt and Korea, did not become acquainted with Poe's work in their own language until the twentieth century. Generally, his prose work was translated before his poems, but some countries, such as Turkey and Mexico, seem to have been especially fond of his poetry.

The first tales to be translated are indicative of the initial interest aroused by certain Gothic narratives, such as "The Pit and the Pendulum" in Romania, "The Black Cat" in Morocco, Japan and Turkey (in the Karamanlidika alphabet), "The Cask of Amontillado" in Mexico and Egypt and "The Masque of the Red Death" in Turkey (in the Latin alphabet). The same was true of some of his detective stories, such as "The Purloined Letter" in Egypt, "The Murders in the Rue Morgue" in Japan and Turkey (in the Ottoman Turkish alphabet), "The Unparalleled Adventure of One Hans Pfaall" in Portugal, "Three Sundays in a Week" in Spain and Iceland, "The Thousand-and-Second-Tale of Sherezade" in Greece and "The Gold-Bug" in Russia and China. In some countries, meanwhile, the first translation of Poe's work was presented in the form of an anthology, as was the case in Italy, Brazil, Korea, and Argentina. As far as Poe's poems are concerned, there is a greater degree of unanimity, with the first to be translated being "The Raven" and "Annabel Lee."

There is no doubt that Baudelaire's translations into French was crucial to the dissemination of Poe's work in countries like Portugal, Greece, Romania, Morocco, Turkey, Mexico and Brazil, but other well-known writers played a significant role by introducing the American author in their respective countries: this was the case of Fernando Pessoa in Portugal, Ramón Gómez de la Serna in Spain, Julio Cortázar in Argentina—and the Spanish-speaking world as a whole—Mario Praz in Italy, and Fyodor Dostoyevsky in Russia. In other countries, such as Germany, Poe's work was soon associated and compared with local writers like E. T. A. Hoffmann. Last but not least, the literary influence that Poe had on writers such as Edogawa Rampo or the above-mentioned Dostoyevsky also contributed to his global success.

Many chapters in this book show how the reception of Edgar Allan Poe's work is closely linked to the historical and social circumstances of each country. Political circumstances explain the fact that Morocco first had access to Poe's work via France (the colonising nation), or that there were no translations of the American author in China during Mao Zedong's government (1950-1977), or that the spread of Poe's work in Turkey became particularly important after 1923, when the Republic of Turkey was proclaimed and the reading of certain foreign works promoted with a view to creating a new national (and more Westernised) identity. It is also interesting to note how Poe's work has become a classic of children's and young adult literature in countries like Russia, Sweden, Egypt, Turkey and Brazil. The interest in Poe, however, has not remained constant in all the countries, rising or declining depending on the historical moment.

The second part of this volume looks more closely at certain examples of translations of Poe's work. Some chapters focus on specific translators, such as Julio Cortázar,

Fernando Pessoa, Ana Elena González Treviño, or the Spanish poets Juan Ramón Jiménez, Francisco Pino and Leopoldo María Panero. One chapter also examines the influence of Poe on the fictional work of the German writer Arno Schmidt, while others, in contrast, focus on one particular tale or poem, analysing its various translations through the years: "The Gold-Bug" in Russia, "The Masque of the Red Death" in Romania, "The Black Cat" in Japan, "The Fall of the House of Usher" in Brazil and China, "The Raven" in Iceland, and "Annabel Lee" and "The Raven" in Turkey.

Many of these analyses provide an overview of the different processes of domestication, foreignisation or neutralisation chosen by each translator, depending on the moment and the country. In some countries, such as Turkey, decisions on technique may have been taken for social and historical reasons—for instance, adaptation to a more westernised culture—while in others, it has been entirely dependent on the translator's individual choice, which may or may not have been the most suitable. As a whole, though, the chapters in this second part of the book show that translation is always part of a wider process of cultural transference in which not only words and sentences but also ideas and narrative elements are translated and adapted to a new system, which then assimilates them.

Many chapters in this volume recall the significant impact all over the world of the celebration of the bicentennial of Poe's birth in 2009. This event brought with it a large number of new studies on Poe, new editions of his work, and academic events held in his honour. There can be little doubt, then, that Poe still generates both interest and debate, but the relevance of *Translated Poe* goes beyond the figure of Poe himself. This collection of essays also deals with methodological factors that are themselves very important in both translation and reception studies. The analysis of the translations of Poe's work over the years invites us to reflect, for instance, on the differences between translation and adaptation, and on the discrepancies that sometimes exist between popular literary taste and the views of critics.

The book has benefitted from the contribution of a wide range of experts on both Poe and the different national literatures analysed, and the result is a selection of very high-quality papers. Furthermore, the theoretical framework of each chapter constitutes in itself an extremely complete and updated bibliography of the author and of translations studies in general.[2] The volume ends with a very useful index of names and works, along with brief biographical notes on each contributor. There are, of course, a number of other issues that might have been of interest, but remain unexplored, such as the analysis of Poe's reception in other artistic formats, like painting (which, in a way, also

[2] This theoretical framework includes references to studies of Poe by Davis Vines, Scott Peeples, Barbara Cantalupo, Harold Bloom and J. Gerald Kennedy, and as far as his reception in the Spanish-speaking world in particular is concerned, the importance of the research carried out by John Englekirk, Santiago Rodríguez Guerrero-Strachan, José Antonio Gurpegui Palacios and Margarita Rigal is mentioned. As regards translation studies, there are references to Susan Bassnett, Gideon Toury, Andrew Chesterman or Walter Benjamin, among others.

implies a process of translation), the impact that translations of Poe's work might have had in the US, or Poe's views on contemporary translations of his tales and poems. All of these themes would be interesting topics for analysis in future studies. Finally, and as the editors themselves acknowledge in their preface, some countries, regions and languages have either not been included in the study (Czech Republic, Israel, Sub-Saharan Africa) or the information presented on them is in need of further development (Italy, South America): indeed, possible future areas for research in countries such as Brazil, China, Morocco and Korea are mentioned in certain chapters.

Translated Poe has already become an important reference work in its field, demonstrating the growing interest in Edgar Allan Poe and the evolution of this interest in different countries over the years. This volume proves that Poe is no longer simply an American author, but rather a universal one who has been assimilated by multiple and varied cultures. This study, though, also highlights the importance of the translator as a key figure in reception studies. Different disciplines, authors and historical periods, therefore, all intermingle in this academic work, showing that literature forms a complex network in which many different systems of thought merge.

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Gabriel Insausti. 2015. *Tierra de nadie: la literatura inglesa y la Gran Guerra*. Valencia: Pre-textos. 434 pp. ISBN: 978-8-4164-5313-9.

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Among the many commemorations of the Great War's centenary, it is a pleasant surprise to discover the work of the poet and scholar Gabriel Insausti, and with it, an informed and comprehensive approach to the British literary responses to the First World War. *Tierra de nadie: la literatura inglesa y la Gran Guerra* was awarded the 2014 Amado Alonso International Prize for Literary Criticism and was published by Pre-textos in 2015. While Insausti's primary focus is on how British poets confronted the problem of representing the war experience, he also places the literature of the Great War in its historical, social and cultural perspective and traces the continuities and discontinuities between pre-war and post-war representations of the conflict.

The book is in four chapters, the first of which is an introduction entitled "Punto sin retorno" ["Point of no return"]. In the tradition of Paul Fussell's seminal study, *The Great War and Modern Memory* (1975), Insausti explores the First World War as a crucial turning point that calls into question a wide range of assumptions on which English literature had been based: "No solo la literatura inglesa cambió la imagen de la guerra, sino que la Guerra cambió a su vez la literatura inglesa" ["Not only has English literature changed the image of war, but the Great War has in turn changed English literature"] (17). Yet, although the author points both at the irony resulting from the modern understanding of the conflict and at what Samuel Hynes calls a "sense of radical discontinuity of present from past" ([1990] 1992, ix), he rejects the simplistic idea that English poetry was Georgian in 1914 and turned modernist at the war's end by placing an emphasis on the literary continuities rather than on the discontinuities between the "before" and "after" periods.

In fact the title of the book, *Tierra de nadie* ["No-Man's Land"], alludes to Insausti's reluctance to situate the best poetry of the period within either of the previously acknowledged literary movements. The author criticises literary scholarship for not interpreting what is most valuable and authentic about some of the Great War poets, that is to say, their ability to defy one-dimensional readings and traditional contexts. In this sense, Insausti aligns with those scholars—Rutherford (1978), Onions (1990),

Bracco (1993), Dawson (1994), Winter ([1995] 1998; 2006), Bond (2008) and McLoughlin ([2011] 2014), among several others—who argue that the literature of the Great War transcends patriotic-protest and Georgian-modernist readings to explore the ambiguities, to put opposing ideas into dialectic proximity and to eventually acknowledge the multi-layered impact of the First World War. These literary critics, like Insausti, focus on "*the myriad faces of war* with the aim of achieving a better understanding of the essential continuities, transformations and mutual dependence" among different literary voices (Owen and Pividori 2016, 5; my emphasis). More specifically, Insausti's idea of a literary "No Man's Land" is also developed by Rob Hawkes's *Ford Madox Ford and the Misfit Moderns* (2012) in relation to Great War prose. Hawkes studies Ford Madox Ford as a sort of "misfit modern" because his novels assume "a form of in-betweenness" or non-conformity to either modernist or Edwardian writing (5). Like Hawkes, Insausti problematises the ease with which literary categories can be manipulated and seeks new terms rather than stretching existing ones.

In line with this idea that the best war poetry adopts a liminal position in relation to the current literary movements, Insausti focuses on a group of civilian and soldier poets that, in his view, defy labelling and easy definition.[1] The organising figure in chapter two, entitled "Tambores de guerra: Edward Thomas, W.H. Davies y la poesía de retaguardia" ["War Drums: Edward Thomas, W.H. Davies and the homefront poetry"], is the notion of the "home front." In claiming that neither Davies nor Thomas got to fully experience the drama of the war, Insausti is not merely making the point that they looked at the war experience from the *physical* home front. He also claims that war poetry can be written outside the world of the trenches, and that Davies and Thomas could foresee the war before it began through their noticing of the violence already implicit in the suffering of the working classes in industrial England.

There are, however, some clarifying points to be made as regards Davies's and Thomas's civilian status. While W.H. Davies's age and physical disability prevented him from becoming a soldier or adopting a soldier's perspective, Edward Thomas did in fact enlist in 1915 and was transferred to France in 1917, where he was killed. Insausti, however, insists that Thomas wrote his war poetry while he was undergoing training: "a partir del momento en que cruzó el canal ya no escribió un solo verso" ["from the moment he crossed the Channel he stopped writing poetry"] (105). The author therefore suggests that both poets adopted a civilian view of war, which should not be interpreted as failure to address the conflict or as anxiety to retreat to the nostalgia of a bucolic England, but rather as the ability to adopt "una excepcional posición intermedia" ["an exceptional intermediate position"] between the imagination of the soldier and the civilian (121). Because of the "oblicuidad y discreción" ["obliquity and discretion"] of his writing style (117) and "elocuente silencio sobre el conflicto"

[1] Some of the poems discussed in *Tierra de nadie* have been translated into Spanish by Gabriel Insausti himself. See *Poesía completa* by Edward Thomas (2012) and *Poemas de guerra* by Wilfred Owen ([1921] 2011).

["eloquent silence during the conflict"] (110), Davies and Thomas have been critically regarded as Georgians, a label which, in the modernist perception, meant "la calificación como descriptivo" ["the espousal of a descriptive literary mood"] (130), the overuse of conventional verse and an emphasis on nature for nature's sake. The author dismisses these accusations arguing that silence constituted "un posicionamiento ético en sí" ["an ethical stand in itself"] (110) and a sign of courage and independence that distinguished them from the deliberately propagandistic and old-fashioned Georgian war poetry.

Chapter three, entitled "Dios en el barro: Owen, Graves, Sassoon y la literatura de trinchera" ["God in the Mud: Owen, Graves, Sassoon and the Trench Literature"] focuses on the poetry of three of the canonical war poets. Unlike the previous chapter, which was concerned with the home-front experience, here Insausti almost *literally* gets into the mud to offer a thorough view of the reality of the trenches in all its devastation and destruction. By dwelling on the specifics of what Wilfred Owen, Robert Graves and Siegfried Sassoon witnessed at the front, Insausti vindicates their authority as tellers of their own story. In fact the metaphor of "God in the Mud" in the chapter's title alludes to the war poets' literary and ethical repositioning in relation to what Insausti calls "un derrumabamiento ético" ["an ethical collapse"] (220) of the propagandistic means and moral principles on which British imperialism, its heroes and the idea of war as adventure had been consolidated and perpetuated. Making abundant references to the war poetry itself, particularly to that of Sassoon and Owen, Insausti focuses on the war poets' progression from the older tradition of the epic to the lyric and stresses their use of the first-person experiential poem as a more immediate means to convey the subjective point of view of the soldier, described no longer in martial terms as the warrior hero, but as an anonymous cog in the mass of draftees marching to mechanised destruction. Interestingly, Insausti also distinguishes the immediacy of the Great War lyric from the sense of totality and universalization of the modernist lyric developed by T.S. Eliot, Ezra Pound and David Jones with which, however, the Great War lyric shares a concern about the decline of civilisation and the treatment of war in the context of Christian theology as the "Harrowing of Hell."

Finally, Insausti suggests that the poets' ethical repositioning, which is mainly grounded in scepticism and religious deception, does not necessarily mean the disappearance of moral values, but rather their substitution by new ones. Indeed, the chapter concludes with a hopeful look at the literary legacy of the three poets, claiming that their ultimate aim was to turn the sacrifice of those who died at the front into a means of deepening anti-war consciousness and of vindicating the capacity of men to retain their faith in humanity.

In the chapter of conclusions, entitled "Sendas perdidas" ["Lost Paths"] as a homage to this "lost generation" of war poets, Insausti returns to his initial thesis, that is, to his reading of the poetry of Davies, Thomas, Graves, Owen and Sassoon as a literary "No-Man's Land" between tradition and novelty. His main premise throughout the book is to prove that, without being modernists, the war poets pursued the critical reflection

that modernists demanded from Georgians, particularly in their preocupation for finding the appropriate language to represent war. Moreover, the author insists that the war poets reformulated the Georgian tradition in such a way that they were able to overcome its crises, especially the propagandistic imperatives imposed on them, without betraying their own voices. Lastly, he suggests that the war poets' ability to verbalise the idea of war's unrepresentability constitutes a truly modern response to the Great War: "nuestros poetas se hacen más modernos, que no modernistas, a medida que reconocen la realidad de la guerra" ["our poets become more modern, rather than modernists, as they recognize the reality of war"] (338).

Although Insausti's approach is not original in itself but continues, as mentioned above, the work initiated by other scholars, the individual readings of the chosen poets are illuminating and support his main argument. The author deserves critical recognition for his solid work of compilation and for his knowledgeable argument in favour of the poetic production of a group of men who have been unfairly pigeonholed as war poets, in a subtle attempt to highlight their experience over their genuine literary talent, and then underestimate their poetic significance for not having become modernists. Probably herein lies the most significant and complex issue addressed by this volume. When confronting the inescapable problem of representing the war, these poets were characterised, as Hawkes claims when discussing Ford Madox Ford's prose, by "a form of in-betweenness" that "undermine[s] the distinctions upon which many of our assumptions about early twentieth-century literature rest" (2012, 5). On the whole, *Tierra de nadie* not only acknowledges this crucial moment of literary liminality in British war literature, but proves once again that the Great War topic is sufficiently controversial to avoid conclusiveness and thus gives those interested in the area of war representations a particularly engaging object of study.

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Silvia Pilar Castro Borrego and María Isabel Romero Ruiz, eds. 2015. *Identities on the Move. Contemporary Representations of New Sexualities and Gender Identities*. Lanham and London: Lexington. 266 pp. ISBN: 978-0-7391-9169-9.

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Identities on the Move. Contemporary Representations of New Sexualities and Gender Identities, edited by Silvia Pilar Castro Borrego and María Isabel Romero Ruiz, represents an invaluable approach to the study of identity representation for a number of reasons.[1] First of all, the research included in this volume has a thoroughly documented theoretical foundation which maintains a poststructuralist perspective around the construction and fluidity of identity as a common framework. Thus, the different contributions in this monograph draw from already canonical approaches by authors such as Foucault, Butler and Kristeva in the field of gender formation, which are at the same time interspersed with perspectives on race (Lorde, Anzaldúa), sexuality (Irigaray, Haraway, Preciado) and migration and colonialism (Bhabha, Spivak, Mignolo). This variety of viewpoints throughout the different proposals however creates a harmonic unit which offers a full range of complementary tools for the study and analysis of identity (re) presentation, with a particular emphasis on gender and sexuality.

As the subtitle attests, the *Contemporary Representations of New Sexualities and Gender Identities* studied by the different authors are proof of the intersectional and post-positivist nature of current identities. As such, all the contributions are committed to overcoming the postmodern idea of identity in an attempt to reach a post-positivist and intersectional perspective on the subject, taking into account the influence of traits such as race, religion, the body itself or migratory movements in the construction of identity. This intersectional perspective provides a richer background for research and makes it possible to go beyond previous studies which, albeit relevant, approached the study of gender and sexual identities from a single axis—see Lancaster and di Leonardo (1997) and Parker, Barbosa and Aggleton (2000). In the words of Castro and Romero, the articles "seek

[1] This review is part of the research project "Violencia simbólica y traducción: retos en la representación de identidades fragmentadas en la sociedad global" ["Symbolic Violence and Translation: Challenges in the Representation of Fragmented Identities within the Global Society"] (FFI2015-66516-P; MINECO / FEDER, UE), and was supported by the Ministerio de Economía y Competitividad del Gobierno de España ["Ministry of Economy and Competitiveness of the Spanish Government"] and the European Regional Development Fund.

to address the topic of new sexualities and gender identities and their representation in postcolonial and contemporary Anglophone literary, historical, and cultural productions from a transnational, transcultural, and anti-essentialist perspective" (2). These studies go beyond the idea of identity as a hermetic construction and recognize the multiple intersectional identity realities which exist in current globalized societies, and this is clearly one of the great contributions of this monograph. Starting from the shared notion of the constructed nature of identity, the different theoretical approaches on race, gender or migration complement each other to offer the reader new points of view on the identities represented in the studied works, while paving the way for new interdisciplinary lines of research in the study of the intersectional nature of identity.

In order to guide the reader, most of the chapters apply their theoretical approaches to the field of literature to provide almost palpable proof of how ideological forces and social and cultural powers shape the representation of identities. However, it must be said that, as an original and important point, the selection of sixteen contributions by the editors offers the reader a tour through the analysis of different and somewhat unconventional topics of analysis in this field of research, such as contemporary art, science fiction in television, the printed media and the human body within international migratory flows. That said, it is difficult to find the rationale behind the order in which the different contributions are presented. However, this heterogeneity becomes one of the monograph's strong points because it provides a comprehensive overview of the formation of identity from different perspectives according to the predominant identity traits in each of the works analyzed.

To begin with, the chapter by Laura Gillman—"Queering Decoloniality: Epistemic Body Politics in Alicia Gaspar de Alba's *Desert Blood*"—focuses on the need to develop an intersectional analysis of queer migration. Starting from the concept of "coloniality" and the study of the powers which create a racial hierarchy in our society, Gillman examines dominant "scale" discourses to interpret the body as a socially constructed product. As an example, she presents a critical reading of the novel by Gaspar de Alba *Desert Blood* (2005) in order to prove how heteropatriarchy and the colonial regime, the social hierarchies of race and economic asymmetries influence the construction of the body of migrant women on the border of the United States and Mexico.

María Isabel Romero Ruiz, for her part, scrutinizes in "Women's Migration, Prostitution and Human Traficking: Gender and Historical Approaches" a different type of migration, that of human trafficking. The author explains, in the light of the UN protocols, the various types of human trafficking that exist nowadays. It is very interesting to consider the implications on agency and empowerment described by Romero Ruiz with regard to the new forms of slavery from a feminist perspective in which race loses its strength against gender, as well as the processes of objectification and commodification of women's bodies.

The chapter by Cynthia Lytle—"Representations of Transnational and Sexual Violence in Zoë Wicomb's *The One that Got Away*"—reviews the loss of identity of

the African continent through the essentialist representations which have been offered through history. To do so, she analyzes the collection of stories by the South African author Zoë Wicomb *The One that Got Away* (2009) and the hypersexualized image which has traditionally been ascribed to this territory, in contrast with the purity of the body of the white woman seen from a colonial perspective. As Lytle explains, this work becomes a denunciation of the transnational violence of the West against Africa, and it attempts to destroy the black/white and male/female binaries enforced by the prevailing heteropatriarchal narratives.

Starting from the concepts of "defilement" and "abjection" proposed by Julia Kristeva ([1980] 1982), María Elena Jaime de Pablos focuses on the construction of a traumatic identity caused by sexual abuse against minors in Edna O'Brien's *Down by the River* (1997), a work in which the religious component is a determining factor in the identity formation of the characters. After an in-depth review of the work and its contextualization within the literary constellation of Irish women, Jaime de Pablos uses Judith Butler's perspective on hate speech to analyze the identity formation of the main character in the novel, while at the same time it offers an interesting description of the traumatic consequences of incest on identity and a woman's body based on several examples from O'Brien's book.

Logie Barrow's contribution in the next chapter—"Ascribe, Divide—and Rule?: Intellectual Liminality among Ethnic, Class, Gender and Many Others"—outlines the ways in which epistemology interacts with two crucial elements in the shaping of identities: intelligence and class. With an enlightening perspective on the use of mechanisms of control in fields such as education and medicine to conform identities from an early age, the author draws the reader's attention to the elements within the neoliberal narrative of power which are embedded in our society and lead to a constant tension between elitist and democratic epistemologies.

The proposal by Eduardo Barros Grela invites the reader to reconsider the ideas of identity and body through the analysis of the biopic documentary on artist Bob Flanagan. The author starts "Sex, Pain, and Sickness: Performance of Identity through Spaces and Bodies" by considering Flanagan's works on the sick body and pain as post-human rewritings which deconstruct and question the limits of gender and the fluctuation of identity as a response to the gender hierarchy which has been imposed on current societies. Thus pain becomes, according to Barros Grela's original approach, an agency-empowered tool to rebel against one's own body and to modify it in an incessant process of identification.

The body as a place from which identity may be brought into question is also studied by Rocío Carrasco Carrasco in "Interrogating the Posthuman in US Science Fiction Films." She starts from the term "post-human" through an original application of Donna Haraway's cyborg theory (1991) in order to examine how body and identity are formed in science fiction films, and to analyze the interests behind the genetic and technological modification of the body. Through a series of detailed film examples,

Carrasco Carrasco concludes that the representations analyzed reproduce dominant structures of power, and fail to transgress traditional gender roles, although they have enough potential to do so.

A comparative analysis of Jane Austen's *Jane Eyre* (1847) and Jean Rhys's *Wide Sargasso Sea* (1966) is the basis of the research for the next two chapters. The first, by Lucía García Magaldi, looks in depth at the gender and sex relationships among different characters in the two novels. She proposes a solid theoretical framework based on Bob Connell's around power, production, emotional and symbolic relationships in an attempt to understand the racial and gender intersectionality of the characters. For her part, María José Coperías Aguilar in "Lust and Sexuality in Brontë's Jane Eyre and Rhys's Antoinette Mason" carries out a literary analysis on the formation of gender and sexuality in both works from a post-colonial perspective and finds both commonalities and asymmetries between different female characters, mostly relating to the sexualization of the non-white body.

The piece of research by Silvia Pilar Castro Borrego—"'I Am a Black Lesbian, and I Am Your Sister': Audre Lorde's Theorizing Difference as Weapon for Survival and Change"—is an interesting contribution to the study of gender and sexuality within the intersectional approach of this anthology. The author critically reexamines the theoretical production of Audre Lorde around black lesbian women, highlighting the double oppression against this group described by Lorde, but also interpreting this minoritized dualism as a generating principle which makes it possible to approach a fluid identity through the questioning of the white, heteronormative and heteropatriarchal premises imposed upon the current society.

David Walton's "The Inside and Outside of Gendered Space: Gender Migration and *Little Britain* from Judith Butler's *Gender Trouble* to Beatriz Preciado's *Testo Yonqui*" starts from a comprehensive view of Butler's theory of performative gender and analyzes the subversive variants in different body modifications in characters from TV show *Little Britain* (2003-2006). More specifically, the author sets out to overcome, through an innovative approach, the double inversion of gender in Butler's argument towards double gender performance when features from both genders are present in the portrayal of a character. Also, he reconsiders the body modifications described in Preciado's book *Testo Yonqui* (2008) as a migration which makes it possible to withstand the normalization of gender and to erect new subjectivities.

Butler's theory of performative gender through repetition is also the theoretical framework used by Kate Joseph and Antje Schuhmann to examine the heteropatriarchal bias underlying in the representation of black female football players in the South African press as an Other which does not portray the hegemonic features of femininity. The authors denounce, through a series of examples related to Equatorial Guinea women's soccer team, the relations of race established in the country's sport press between the image of white women and femininity and the representations of black women as examples of butchness.

The next three chapters also delve into the intersections of race and the sex/gender binomial. In "Black Feminist Theatrical Responses to Homophobia," Inmaculada Pineda Hernández analyzes theatrical representations of the relationship between AIDS and homosexuality in contemporary African American communities in Pearl Cleage's *Blues for an Alabama Sky* (1995) and Cheryl L. West's *Before It Hits Home* (1990) through a review of the structural homophobia which the black homosexual community still suffers within the black community at large. Angelita Reyes's "An Epic Migration: African American Women, Representation, Mis/Guided Identities, and Kathryn Stockett's *The Help*" outlines a comprehensive work on the transcultural representation of black women in the 2011 film in an attempt to analyze their role in the work, the influence of slavery on their representation and the different perspectives from which the novel and its film version have been received, and also the relevance of these figures in the fight to achieve equal rights in the US. Concepción Parrondo Carretero's contribution offers an interdisciplinary reading of Susan Straight's *I Been in Sorrow's Kitchen and Licked Out All the Pots* (1992) to examine the evolution of the identity of its main character. She combines a post-positivist approach to the construction of identity with gender and race perspectives in order to elucidate the complexities derived from the exercise of power.

Finally, Mariam Bazi concludes with a profound contribution on migrant Muslim women: "Muslim Women in the Third Space: Negotiating Diaspora, Sexuality, and Identity from a Feminist Postcolonial Perspective." Following Homi K. Bhabha's concepts of "hybridity," "diaspora" and "third space" (1994) and the orientalist and colonial discourse applied in the West to the Muslim stereotypes, the author deals with the identity of Muslim women in the diaspora, with their experience between both cultures, with their representation in the international community and with the changes in Islamic feminism which must take place in the new multicultural societies. The author denounces the categorization to which Muslim women are subject as a sexually exotic Other from both a colonial and a patriarchal perspective.

In general terms, this book is an important contribution to the study of identity formation, mainly due to the predominantly intersectional point of view of each piece of research. Through a wide selection of case studies, the different chapters explore the conflicting nature of identity with approaches which integrate innovative perspectives and the traditional post-structural theoretical basis of these studies. In this regard, the different proposals adopt intersectionality as a starting point to understand identity in the current world, and this is clearly the main contribution of this monograph to its field of research. Perhaps the extent of the research and the wish to deal with so many of the determining factors that shape current identities are responsible to some extent for the fact that the racial and colonial perspectives are not discussed in sufficient depth to thoroughly analyze their influence on identity. However, the theoretical frameworks that are developed here outline new research trends and represent a starting point for new lines of study on the analysis of current

intersectional identities on different media. It is, ultimately, a solid and rigorous volume which contributes to the development of Gender and Sexuality Studies.

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Elena Oliete-Aldea. 2015. *Hybrid Heritage on Screen. The 'Raj Revival' in the Thatcher Era*. Houndmills, Basingstoke: Palgrave Macmillan. 227 pp. ISBN: 978-1-137-46396-8.

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Visual media can silence, epitomise, distort, stereotype or render powerful different social realities through films, TV series or advertising. Elena Oliete-Aldea's *Hybrid Heritage on Screen. The 'Raj Revival' in the Thatcher Era* is a comprehensive study that analyses films that depicted the British Raj. As the author states, the book recognises "the importance of the visual media as a cultural and ideological apparatus that both reproduces and constructs—or 'refracts'—social realities" (196). Oliete-Aldea analyses the cultural, political and social intentions behind these filmic revisitations to the Raj, and illustrates how they attempted to idealise the United Kingdom's imperial past, thereby fostering a British nationalist identity that privileged white, male and upper class spheres. The writer resorts to postcolonial terms such as "hybridity" (Hall [1996] 1997), "third space" (Bhabha 1994) and "diaspora space" (Brah 1996) to assess the ways in which some of these productions enhanced a discourse of fear towards migrants, but also how others entailed a desire to show the cultural ambivalence associated with social and racial conviviality.

The book should be praised as a seminal analysis of Thatcher's administration with a focus on postcolonial, cinematic and gender analysis, showing how power structures permeated British, Indian and British Indian societies. The volume offers an unprecedented understanding of the British films that portrayed the Raj during the Thatcher years, exploring, through an interdisciplinary approach, the many variables that were involved in the production and reception of such features. Previous articles and volumes on British film in the 1980s, such as those by Salman Rushdie (1984; 1991), Lester D. Friedman (1993), Pam Cook (1996), John Hill (1999), Prem Chowdhry (2000), Tharayil Muraleedharan (2002) and Robert Murphy ([1999] 2009), had simply referenced the films examined in Oliete-Aldea's study, without conducting an in-depth analysis of their relevance and interconnectedness. It is in this regard that Oliete-Aldea's book offers a pioneering and comprehensive study of these films, fusing Film and Cultural Studies to explore the social and cultural backgrounds, modes of production and audiences that surrounded portrayals of the Raj in the 1980s.

The book comprises six chapters that propose a complex, balanced and highly informative reading of both history and its representations. The films discussed are James Ivory's *Heat and Dust* (1982), Richard Attenborough's *Gandhi* (1982), David Lean's *A Passage to India* (1984), Christopher Morahan and Jim O'Brien's miniseries for ITV *The Jewel in the Crown* (1982), and Peter Duffell's miniseries for Channel Four *The Far Pavilions* (1984). In chapter one—"The Porosity of Identity Boundaries"—Oliete-Aldea studies the "ethno-nationalist" passions of Thatcher's new Conservative government, depicting the British Empire in the context of the "ambiguity, inconsistency and contradiction" inherent in the political and artistic representations of the times (20-21). In this regard, Paul Gilroy recently stated, in the foreword to the catalogue for Tate Britain's exhibition *Artist and Empire* (2015), that Britain today remains ambivalent and unable to come to terms with its imperial past and legacies (8). It is as a result of this contemporary recurrence of the topic that the author uses the term "hybridity" (whilst also questioning whether the term is in fact void of meaning) to explain the nostalgic and unfair power relations fostered in the films and TV series that her book examines.

Oliete-Aldea shows how Thatcher's Conservative government portrayed an image of Indians in the Subcontinent and British Indians in the United Kingdom that "forced [them] to experience themselves as 'Other'" (10). The cultural, political and racist agenda of Thatcher's government is perfectly explained in chapter two—"Britain in the 1980s: The Thatcher Decade"—where the author describes how its conservative politics promoted a nostalgic and mythical validation of the past, so that the country could idealise the notion of Britain as a superpower. Following this, in chapter three—"British Cinema and the Raj Revival"—Oliete-Aldea moves on to define the genre of "[t]he Raj films or production" as a category that "reflects both the temporal and spatial dimensions of the cinematic representations without adding the negative connotations" (81). The writer identifies and explains contradictory messages within Lean's *A Passage to India* (1984) and Ivory's *Heat and Dust* (1982), borrowing theoretical terms from British Film Studies and Postcolonial Studies so that the reader recognises not only racist clichés in the films but also some ambivalences in the approaches of the same features that, in Oliete-Aldea's view, similarly documented the complexities faced by British women in India (79).

The author expands upon these theoretical remarks in chapters four, five and six, where she further explores these topics in the remainder of her chosen works. In chapter four—"'On Heroes': Bapu Goes West"—she assesses the orientalist, imperialist and patriarchal obsession with deifying Gandhi and his portrayal as a Christ figure in Attenborough's *Gandhi* (1982). She criticises how the past was "manipulated so as to convey specific images and representations that favoured certain ideological representations" (108). In chapter five—"History in Literary Adaptations"—Oliete-Aldea proceeds to analyse the chauvinist structure of British society in the 1980s. She illustrates how, in depicting the Raj, these British films portrayed British, Indian and

British Indian women as victims of Indian savagery, or as guilty of having a trouble-making female identity which made them fall in love with imagined and wild Indian men and women. The author demonstrates how Ivory's and Lean's literary adaptations, *Heat and Dust* (1982) and *A Passage to India* (1984) respectively, portrayed women as victims of Indian savagery and as having low morals. However, she also offers a new subversive reading and interpretation of the way in which the main female characters of these two movies, Olivia and Adela, are presented as victims of their own society, rather than victims of India (139). Oliete-Aldea sees in this alternative the possibility for Lean's and Ivory's adaptations to be signifiers of a developing third space that coexisted alongside the orientalist discourse of the 1980s. Chapter six—"The Raj on TV"—follows this reading and finds a representation of cultural hybridity in the two TV miniseries *The Far Pavilions* (1984) and *The Jewel in the Crown* (1982). The author highlights the way in which both are ambivalent in their descriptions of interethnic relationships, diplomatic intricacies in the last days of the British Empire, and the role played by women in the British Indian context. The reader may or may not agree with Oliete-Aldea's interpretation of the miniseries, but her analysis is soundly structured and presented.

Thus, *Hybrid Heritage on Screen. The 'Raj Revival' in the Thatcher Era* questions the presence, absence and misrepresentation of Indian, British and British Indian identities in the Raj revival films of the Thatcher era. Elena Oliete-Aldea studies these features in detail, highlighting racist and chauvinist descriptions of characters. She sustains the idea that cohabitation in hybridity means resisting the violent silencing and stereotyping of the *other* in visual media. Conversely, this exclusive focus on the Raj revival undertaken by British films is arguably the only flaw in Oliete-Aldea's study, in so far as it ignores Indian productions that were simultaneously *making* or *reinforcing* an Indian national identity from within India itself, with films such as Shekhar Kapur's *Masoom* (1983) and *Mr India* (1987), Mira Nair's *Salaam Bombay* (1988) and Pradip Krishnen's *In Which Annie Gives It Those Ones* (1989). It is true that an analysis of these Indian films might have blurred the theoretical background and scope of the present volume, but I believe that a contrastive study on how a new sense of national identity was created during the 1980s, both in India and in the United Kingdom, could act as a stimulating point of departure for Oliete-Aldea's future works. Such a comparison could broaden the scope of the study of these films in both countries and offer a comprehensive exploration of the intentions behind the Raj Revival in British productions, in contrast to the Indian films that were being released simultaneously.

Oliete-Aldea's book represents an extraordinary contribution to the field of Postcolonial, Film, Culture and Gender Studies because it casts new analytical light under which to scrutinise the Thatcher government. Moreover, its theoretical approach may prove fruitful in raising further questions about works that portray India and Indian people as static communities, including John Madden's *The Best Exotic Marigold Hotel* (2011) and *The Second Best Exotic Marigold Hotel* (2015), Ben Mor's video for

Coldplay's song "Hymn for the Weekend" (2016), and other cultural representations which refract the social clichés and instability of our times, and echo stereotypes from times gone by.

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Elinor Shaffer and Catherine Brown, eds. 2016. *The Reception of George Eliot in Europe*. London: Bloomsbury. lvi + 453 pp. ISBN: 978-1-4411-9022-2.

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George Eliot (1819-1880) is one of those very important but elusive personalities whose life and work remains a matter of critical concern. Though literary criticism concentrates mostly on her novels and philosophy, some of her essays deserve special attention, focusing as they do on her work without losing sight of her life. In 1997, John Rignall edited the collection *George Eliot and Europe*, in which contributors assessed Eliot's career in the light of her many connections with the literature, culture, language and philosophy of the Continent, attending not only to her obvious links with countries like France, Germany and Italy but also to other neglected territories like Spain and Greece. As Rignall contended, it could be easily argued that Eliot was probably the most European of English writers of her generation (1997, xi). Along those lines, more recent articles by Helen Small (2012) and Bruce Robbins (2013) have suggested that Eliot's illustration of provincialism was the result of a detailed exploration of the values of cosmopolitanism, and that her criticism of the provincial ended in a pro-national stance (Robbins 2013, 400-401). Similarly, Hina Nazar's essay, "The Continental Eliot," concentrates on the ties between Eliot and Europe, focusing on her role as translator of some of the influential philosophical works of the German Enlightenment (2013, 413). Elinor Shaffer and Catherine Brown take this same cue in *The Reception of George Eliot in Europe*, which is part of a larger series, *The Reception of British and Irish Authors in Europe*, meant to throw light on the cultural significance of top echelon men and women of letters in European literature. In this new volume, the editors chose Eliot as an outstanding example of a writer whose work and literary connections proved to be truly international, in spite of her making a name for herself based on the "provincial" nature of her settings, characters, and descriptions (viii). The purpose of the collection is both to situate Eliot's production in the European context of her time, and to examine her reception and legacy in terms of translations, editions and reviews of her works. In so doing, the editors aim to shed light on "the processes involved in the dissemination of ideas and texts" (ix), and this constitutes the most important contribution of the collection.

A comprehensive timeline presents the reception of Eliot's work, and includes biographical information and all her translations into European languages as well as relevant criticism by country. A detailed look at this useful aid immediately reveals the steady influence of Eliot's production in an impressive number of national literatures. Part one focuses on Eliot's influence on Northern European countries, and two chapters are devoted to the analysis of her impact in Germany. Gerlinde Röder-Bolton's essay—"The Reception of George Eliot in Germany during her Lifetime"—sets in context the history of Eliot's translations done as part of a programme of editing the English classics, among which Eliot occupied a privileged position from the outset. The chapter delineates how Eliot's novels were first introduced in the country through the cheap Tauchnitz editions. Critics received them unevenly, though, mainly due to their alleged provincialism. Unfavourable reviews were written at the time about the outdated morality of her novels or their fake realism, while she was avidly read in English by the educated middle class, and her works discussed in fashionable literary salons. The second chapter charts the comparative growth of publications both by and about George Eliot in East and West Germany, during her lifetime, and before and after reunification until 2013. Anika Bautz aptly describes how gender, class and politics explain why Eliot was a favourite with the German audience. Epilogues to the German editions are given special attention in the chapter, since they contributed to the dissemination of Eliot's novels.

Diederick van Werven focuses on the lasting influence of Eliot in the Netherlands, and studies both the translations of her novels, exhaustively enumerated, and the reviews that followed. The references to critical studies by Dutch scholars and the final section on "Spinoza Connections," though interesting and relevant, depart from the initial focus of the essay. Chapter four analyses the reception of Eliot in Sweden. It looks both at her decisive influence in contemporary times, as well as in the 1880s, a period which the authors, Git Claesson Pipping and Catherine Sandbach Dahlström, associate with an ambivalent response from critics and scholars. The most engaging sections of the essay are those dealing with the mutual influences between Eliot and Swedish novelists like Victoria Benedictsson (1850-1888), and with Eliot's twentieth-century presence in university curricula and PhD dissertations. The waves of translation and academic research in Denmark are next explored by Ebbe Klitgård in chronological fashion. Eliot was keenly received in her lifetime, but attention receded dramatically in academia after 1950. Finally, Marie Nedregotten Sørbø's excellent analysis of Eliot's reception in Norway offers an insightful study of two periods of translation of her works, the first culminating and ending in 1919 on the occasion of the centenary of her birth, and the second from the mid-twentieth century to now. The author skilfully detects deletions and changes in the translations that help to illuminate the drift of Eliot's reception in the country.

Part two is dedicated to the significance of Eliot's works in Southern Europe. Alain Jumeau's "The Reception of George Eliot in France" pays tribute to John Philip Couch's

classical study (1967) which analyses Eliot's influence until 1939. For his part, Jumeau mentions Simone de Beauvoir's admiration for the Victorian author, whose reputation she advanced among feminist scholars. However, Jumeau laments the neglect of Eliot's novels in France, especially when compared to other Victorian classic writers like Dickens, and considers the poor quality of the first translations as one possible cause for this situation. Three chapters on the Italian reception of Eliot follow, two of them focusing on the impact of *Romola*. The first—"The Reception of George Eliot in Italy: 1868 to the Present," by Maria-Luisa Bignani—explores the role of translations and scholarly studies, the most relevant of which are Mario Praz's essays of the 1950s. Next, in "*Romola* on Home Ground: Then and Now," Franco Marucci reflects on the critical attention paid to this novel based on Italian sources, often colliding with Bignami's previous chapter. Finally, Francesca Bugliani expands on the fortunes of *Romola* in England and Italy, by tracing its impact as regards translations and film versions. She speculates on the reasons for *Romola*'s popularity, and concludes that it created a favourable picture of the nation that was appealing to the new democratic currents that were sweeping the country (195).

María Jesús Lorenzo-Modia's detailed approach to Eliot's travels into Spain and the influence of her novels through translation and critical work comes next. Her conscientious study first traces Eliot and Lewes's immersion into Spanish culture and their later travel to Spain. Lorenzo-Modia aptly demonstrates the echo of Spanish literature and culture on Eliot's production, as well as her influence on contemporary Spanish writers like Leopoldo Alas "Clarín," Benito Pérez Galdós, Emilia Pardo Bazán and Rosalía de Castro. The critic moves further to assess the merits of the Spanish translations of Eliot's novels, explaining how her reception was mediated by censorship under the Franco regime. A final section of the chapter is devoted to assessing Eliot's moderate impact on Spanish culture in recent years. This is followed by Jacqueline Hurtley and Marta Ortega Sáez's analysis of Eliot's reception in Catalonia. The authors first situate the early translations of Eliot's work in the late nineteenth century in the context of Barcelona's openness to European culture, giving it the flavour of a truly cosmopolitan city, and of its flourishing book trade, in which remarkable figures like Josep Carner i Puig-Oriol (1884-1970) found inspiration in Eliot's characters (241). A couple of Eliot's shorter pieces have been translated more recently into Catalan and Valencian, *The Lifted Veil* (1859) and *Brother Jacob* (1864) respectively, with differing fates. The former story was the first work by Eliot published after the Franco regime, and the latter was, according to the authors, "the riskier publication of the two," since it was meant for a minority, translated into Valencian for a younger audience (255).

Part three is concerned with the impact of Eliot's production in a large number of Eastern European countries. Two chapters analyse her preeminence in Russian publishing and academic circles. In the first of them, Boris M. Proskurnin distinguishes three periods of influence: the first being from her lifetime to the Bolshevik Revolution, the second coinciding with the Soviet period, and the third spanning from 1991 to

the present. The essay explores, in the first case, the popularity of Eliot's works as well as the connections to influential Russian novelists like Ivan Turgenev (1818-1883). Aspects like "the nature of her realism" (270) receive special attention in this first period, suggesting Eliot's decisive contribution to the development of the Russian realist tradition. Natalia V. Goburnova's chapter assesses Eliot's impact in the two later periods, characterized by censorship, especially during the years of the Soviet Union. Interest in Eliot's work, however, revived in the second half of the twentieth century, though attention once again declined at the century's end.

The relationship between literature and politics is also under inspection in some of the chapters that follow, particularly those about Bulgaria and Poland which explore the reasons why her influence paled when compared to other famous Victorian writers. Some of the causes put forward include the length of her novels and her convoluted style, which complicated the translator's task. However, Vesela Katsarova's essay on the Bulgarian reception of Eliot indulges perhaps too much in the descriptions of the translations. The assessment of Eliot's reception in the Czech lands differs a little from the situation described in the earlier chapters. Zdenek Beran argues that in comparison with contemporaries like Dickens or Thackeray, Eliot's shorter production as much as the complexity of her novels may be two reasons that explain the place she occupied among Czech and Slovak readers. In spite of it, Beran demonstrates that strong links did exist between Czech intellectuals and the Victorian writer (303). Hungarian readers, as Mihály Szegedy-Maszák notices, had early access to Eliot's works through the cheap Tauchnitz editions, though later efforts were made to render Eliot in the vernacular in the early 1860s. However, Adina Ciugureanu highlights that her work was not translated into Romanian before 1940, with the exception of the 1893 translation of *The Mill on the Floss* (357). The early currents of Eliot's popularity in Romania were grounded on her provincialism (353), though later on, the writer was appreciated by Romanian feminists, for whom "Eliot became the symbol of freedom of mind, intelligence, creativity and a successful career" (355). The final chapter, by Georgia Farinou-Malamatari, is related to Eliot's reception in Greece, a short history that only begins in the 1980s, the main reasons for this being the popularity of the traditional historical novel, and also the fact that only the classics of the European canon and the French novels were translated into Greek, excluding other major writers.

All in all, Shaffer and Brown's new volume is a major aid for research on Eliot's work, as it brings to the fore an invaluable amount of scholarly material. The multi-faceted analysis of Eliot's resonance in more than fifteen European nations reveals interesting comparisons and contrasts, and offers a complex social and political picture of Europe in the last one hundred and fifty years. It also follows the recent trends in literary history as it tries to understand the import of a writer's contribution in the light of her life and literary relations. *The Reception of George Eliot in Europe* is in its erudition a major achievement, especially since it concerns a writer who can be rightly called universal.

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Tyrus Miller, ed. 2016. *The Cambridge Companion to Wyndham Lewis*. New York: Cambridge UP. 270 pp. ISBN: 978-1-107-05398-4.

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With the institutional and academic status of a *Cambridge Companion*, this volume is a timely step forward in the ever-growing visibility and renewed interest in the work of Wyndham Lewis (1882-1927), the largely forgotten and highly influential figure of Anglo-American Modernist studies, coming as it does so close to summer 2017's largest UK retrospective of Lewis's work at the Imperial War Museum North, and following the 2015 Oxford University Press commission of the complete critical edition of the author's written works. While another recent contribution to the Lewis critical landscape, Andrzej Gasiorek and Nathan Waddell's *Wyndham Lewis, A Critical Guide* (2015), provides a highly selective and in-depth scholarly assessment of Lewis's literary and critical output, accompanied by extensive analyses of his major novels, the *Companion* aims to both inform and stimulate the reader to a re-thinking of Lewis's relevance by offering an overview of his entire oeuvre. This *Companion*, in fact, seems to share more, both structural and didactic, with Paul Edwards's *Wyndham Lewis: Painter and Writer* (2000). By aiming to strike a balance between an account of Lewis's work as a writer and his significant output as a painter, the book is welcome as an updated, more digestible and concise descendant of Edward's monumental monograph. As the editor, Tyrus Miller, clearly states in the introduction, *The Cambridge Companion to Wyndham Lewis* is a "brief and accessibly written" volume (15) aimed at new readers of Lewis. It offers a substantial introduction to Lewis's colossal corpus of work, as well as an up-to-date survey of the fundamental research themes and the main debates within contemporary Lewisian scholarship. Tyrus Miller's editorial vision, exemplified by the subtitle of his introduction, "Janus-Faced Lewis, Avant-Gardist and Satirist," consists of a volume divided into two large sections—a series of seven introductory chapters offering precious critical commentaries from some of the leading Lewis scholars, and a set of five energetic and absorbing contemporary critical chapters. The chapters are also divided into six topical groups—satire, avant-garde and modernism, politics, race and gender, philosophy and cultural criticism.

The first five chapters guide the reader through Lewis's activity in the domains of avant-garde, criticism, visual arts and satire. Chapter one, by Sascha Bru, tries to pin down the intricate nature of Lewis's relationships with the European art world. Although Bru offers insightful quotes and entertaining anecdotes, this chapter is too overarching which results in the rather too sketchy treatment of issues such as abstraction, representation or the object of art, and in the bypassing of the fundamental art theory needed to frame such complex dynamics and highlight more solidly the crucial differences between Vorticist art and its continental counterpart.

The second and third chapters—"Lewis and the Critique of Modernism" and "Lewis as Visual Artist"—respectively by Andrzej Gasiorek and Richard Humphreys, provide a remarkably concise but highly comprehensive analysis of Lewis's multifaceted artistic career. With the aim of tracing Lewis's shift from avant-garde artist to countermodernist critic, Andrzej Gasiorek structures the second chapter around the Vorticist magazine *BLAST* and the First World War as causes behind the development of Lewis's exceptionally complex and dialogical critical method. Gasiorek delivers a most effective summary of Lewis's full-scale cultural critique by illustrating his intricate relationships with contemporary artists such as Kandinsky, Picasso and Roger Fry, as well as writers, such as Virginia Woolf, James Joyce, Ezra Pound and Gertrude Stein. In his conclusion, Gasiorek introduces, briefly but informatively, Lewis's critiques of primitivism and subjectivism, and his compelling commentary on Modernist art as a commodity enslaved to contemporary ideologies. Richard Humphreys manages to briefly but solidly explore the composite and fascinating relation between Lewis's art and writing. Touching on the role of figures influential to Lewis, such as Augustus John, William Rothenstein and Laurence Binyon, Humphreys delivers the background to Lewis's formation and development as a painter in parallel to his writing. Tracing the evolution of Lewis's painterly technique and art theory, from the Omega Centre to The Rebel Art Centre, Group X, and his production as an official war artist, Richard Humphreys offers a specialist's overview of some of Lewis's greatest works such as the illustrations for *Timon of Athens* (1912-1913), *The Crowd* (1915), *Workshop* (ca. 1914-1915), the *Vorticist Sketchbook* (1914-1915), *The Surrender of Barcelona* (1934-1937), the *Tyros* series (1921-1922) and, finally, the watercolours series.

Both chapter four and five focus on Lewis's employment of satire in his various media. In "Wyndham Lewis's Theories of Satire and the Practice of Fiction," Melania Terrazas assesses character creations from *The Wild Body* (1927) to the later novels, engaging, perhaps too briefly, with Lewis's unique satirical practice in fiction. Offering a partial evaluation of the Lewisian externalist method, Terrazas summarises Lewis's own theory of satire, which is examined further in Paul Edwards's contribution: "Lewis, Satire, and Portraiture." Edwards's analysis of the differences between Lewisian satirical literary portraits, and his more detached painted portraits, offers a useful insight into Lewis's views on subjectivity and his divergent artistic treatment of the self, as well as expanding on the topics considered by Terrazas in chapter four.

In chapter six, Nathan Waddell takes on the still controversial topic of "Lewis and Fascism," producing what is possibly the most comprehensive, compact and dynamic reading of this topic. Waddell exposes the critical neglect to which some of Lewis's books have been subjected by critics who have often based their dogmatic arguments on the "seemingly offensive titles" (87) and assumptions made about books they had "not actually read" (87). Waddell, undoing this neglect, faithfully reports on the controversial texts in question offering a fresh and impartial critique. Moreover, Waddell contextualises historically and biographically Lewis's response to fascism, dividing its evolution into three stages and effectively summarising his critiques of democratic systems, crowd behaviour, the role of the intellectual and the function of art in modern societies. With chapter seven—"Lewis, Anarchism, and Socialism"—Alan Munton completes the outline of Lewis's complex political criticism by illustrating the nature of his engagement with anarchism, feminism and socialism, revealing important, surprising and less explored aspects of Lewis's assessment of the ideal political environment for arts to thrive.

In conversation with the previous two chapters, chapters eight and nine—"Race and Antisemitism in Lewis" and "Women, Masculinity, and Homosexuality in Lewis"—respectively by Lara Trubowitz and Erin G. Carlston, show great determination in unravelling more controversial material produced by the author. By exploring the treatment of race, antisemitism, sexism and homophobia in Lewis's fiction and critical writings, the authors offer an engaging analysis of Lewis's assessments of race and gender as artificially constructed categories exploited for "herding operations" (126) to various political ends. The value of these two chapters resides in their contextualised summary of Lewis's questionable views on these issues, but more interestingly, on the focus of the two authors on the importance of his own commentaries as compelling theories of these contentious topics.

Chapter ten, by David Ayers, considers "Lewis's Cultural Criticism" as the author's own dynamic solution to his pervading preoccupation with the artist's necessity to create a separate platform, outside the system, in order to engage his audience to counteract the numbing and standardising effects of mass culture. The concluding chapters, by Erik Bachman—"Wyndham Lewis between Philosophy and God"—and Julian Murphet—"Lewis and Media"—both offer a fine analysis of Lewis's remarkable relevance to contemporary philosophy, criticism and media theory by reconsidering his critiques of Henri Bergson (1859-1941) and Alfred North Whitehead (1861-1947), as well as his commentary on media culture which highly influenced Marshall McLuhan's later work.

To conclude, this accomplished collection of essays is able to offer the reader new to Wyndham Lewis a remarkably concise and full account of what is possibly the most complex intellectual mind in Anglo-American Modernism, as well as the highlights of an extremely extensive corpus of visual and written work. Most importantly, what *The Cambridge Companion to Wyndham Lewis* succeeds in doing is both effectively addressing

the most controversial aspects of Lewis's career and inspiring future scholarship by demonstrating the relevance of the author's theories to contemporary criticism, and the echo of his preoccupations in today's society. It is from our culturally decadent, commodity based, media-led society that, in Murphet's words, "we face an opportune moment to reengage Lewis's crusade" (160) of assigning to art the role of rescuing the modern individual.

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Marisol Morales-Ladrón, ed. 2016. *Family and Dysfunction in Contemporary Irish Narrative and Film.* Bern: Peter Lang. 352 pp. ISBN: 978-3-0343-2219-5.

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Despite the preeminence of the family in the socio-political construction of modern contemporary Ireland and the recurrent presence of family-related tropes in the artistic production of the island, very few full-length studies of this subject have been published in recent years. *Family and Dysfunction in Contemporary Irish Narrative and Film*, edited by Marisol Morales-Ladrón, not only fills that notable gap, but it also covers a reasonable variety of topics, genres and approaches that comprehensively delineate for the reader "the multifarious faces of contemporary Ireland" (2). In fact, the notion of diversity sustains the collection, both formally and conceptually. As is made clear in the "Introduction," a broad spectrum of Irish authors and critics have demonstrated that the concept of the ideal, nuclear family defended by the early proponents of the Irish Free State gradually proved both insufficient and imperfect (O'Toole 1994; Richards 1998; Hanafin 2000). Instead, and particularly in the last four decades, cultural products have portrayed non-traditional family patterns and experiences whose "dysfunction" correlates with the complex and increasingly heterogeneous identity of the country. Thus, the texts discussed in the book bear witness to how that unconventionality becomes "a symptom of the gap that existed between the rhetoric of the nation and its social reality" (8). Similarly, one of the guiding principles of the volume is related to the role that the recent waves of modernisation, immigration, globalisation and capitalisation have had on the (re)articulation of the family. The original incorporation of these factors in the analysis of the various contributors turns the collection into an appealing and stimulating piece of academic work that maps out the evolution of this institution throughout recent Irish history.

Family and Dysfunction in Contemporary Irish Narrative and Film is organised into two different but complementary parts that include, firstly, five chapters by well-known scholars in Irish studies in Spain, and secondly, three interviews with acclaimed artists from the contemporary literary and filmic panorama of the island. Part one concentrates on how narrative and film have depicted nonconforming families, spanning a fine range of accounts whose particular form, content and tone add significantly to the

many challenges to family codes taking place in Ireland since the early 1980s. Quite appropriately, the field of gender studies inaugurates this part, which bears out the relevance of this prism for the analysis of Ireland's socio-cultural practices. Indeed, in the first chapter—"Portraits of Dysfunction in Contemporary Irish Women's Narratives: Confined to the Cell, Lost to Memory"—Morales-Ladrón thoroughly examines eight novels by Irish women writers whose protagonists are troubled by past, distressful family experiences, such as incest, neglect or domestic violence. The narration of these formerly silenced events, she claims, liberates the characters from the many impositions of the social order, while ostensibly the literary discourse allows women authors—Julia O'Faolain, Mary O'Donnell and Anne Enright, among others—to "engage into the denouncement of outdated patriarchal tenets" (33). The following chapter, "Home Revisited: Family (Re)Constructions in Contemporary Irish Autobiographical Writing," by Inés Praga-Terente, also concentrates on the intersection of past and memory, especially in relation to the life writings and memoirs of eminent Irish novelists like Patrick McCabe, John McGahern, Edna O'Brien and John Banville. In her view, the confessional component of this type of text reveals the grip that the notion of home has had for individuals coming from "affectively unstable families" (131), and for whom literature has served as a precious healing mechanism.

Turning to more up-to-date narrative expressions of "dysfunction," Asier Altuna García de Salazar offers in "Family and Dysfunction in Ireland Represented in Fiction Through the Multicultural and Intercultural Prisms" a thought-provoking analysis of how the many changes produced in Ireland by the phenomena of multiculturalism and transculturalism have informed the productions of both native and immigrant authors like Hugo Hamilton, Cauvery Madhavan, Margaret McCarthy and Roddy Doyle. While their stories, he argues, are "the product of a global Ireland immersed in a rapid transformation into modernity" (144), they also contribute to the large-scale critical questioning of the hegemonic codes of cultural configuration, where the family has traditionally occupied a central position. Next, Juan Francisco Elices tackles in "Familiar Dysfunctionalities in Contemporary Irish Satirical Literature" the way in which unorthodox family experiences have been inscribed in the satirical work of Anne Haverty, Mark Macauley and Justin Quinn. The peculiarities of this narrative genre converts it into an interesting artifact with which to criticise the socio-cultural paradigm, as evidenced in a number of novels that, in Elices's words, "offer more critical and biting views through the construction of very peculiar family realms" (202).

And finally, the chapter "Representation of Family Tropes and Discourses in Contemporary Irish-Themed Cinema," by Rosa González Casademont, which given its length and the wide corpus of analysed texts could have become a whole new section of the book, provides a comprehensive study of films on the subject. Her pertinent argument that "mainstream feature films rarely act as an arena where the discursive construction of the Irish family is constantly teased out or problematised" (290) is validated through her detailed exploration of productions where, unlike in the case

of independent cinema, non-traditional family forms and episodes are documented rather than critiqued or transcended so as to encourage the audience to take action.

Many of the ideas explored in the chapters are later echoed in the second part of the volume, in which a writer—Emer Martin—and two film directors—Jim Sheridan and Kirsten Sheridan—are interviewed by two of the contributors. The discussion of their personal experiences along with the terms in which family and "dysfunction" are predicated in their productions offer alternative ways of understanding the current negotiations of these topics carried out through artistic discourse. Sharing similar visions of the causes and consequences of the changing social landscape of the island, they also agree on the necessity of distrusting family clichés by presenting, instead, more plural experiences of home, cultural background and wider social relationships. Thus, this final section reaffirms the lines of analysis that the contributors follow consistently in the first part, though while also offering new discussions of Ireland's transformation as triggered by the artists' incorporation of global elements to the family debate.

On the whole, *Family and Dysfunction in Contemporary Irish Narrative and Film* provides appropriate conceptual spaces to think about the (re)definition of the Irish social milieu. Individually, the chapters offer valuable critical insights into the ongoing significance of the family for identity formation; collectively, the volume contributes to a better understanding of the complex dynamics of this institution on the island and the many questions it continues to raise. It is also worthy of note that the study appeals to experts in Irish studies as well as non-specialist readers, and it is more than probable that it will become a referent in this field. Indeed, the editor has paved the way for the introduction of the concept of "dysfunction" in the analysis of the prevailing conflicts between ideology and cultural practice in Ireland, which is also tackled in *Ireland and Dysfunction: Critical Explorations in Irish Literature and Film* (2017), edited by Asier Altuna García de Salazar. Comparatively, the former collection concentrates on the more particular intersection of the term with the notions of family and home, whereas the latter explores "dysfunction" from broader critical approaches, covering more varied genres and disciplines. Arguably, both are much appreciated studies that significantly add to the international, academic examination of Ireland's texts and contexts.

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David Alderson. 2016. *Sex, Needs & Queer Culture. From Liberation to the Post-Gay*. London: Zed Books. 316 pp. ISBN: 978-1-78360-513-2.

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In *Sex, Needs & Queer Culture. From Liberation to the Post-Gay*, David Alderson defends a humanist conviction whereby "the subject is not merely discursively produced, but a substantial entity in its own right" (18).[1] In opposition to the queer perfomative principle, the book is based on the reality principle, mostly through its alignment with cultural materialism and socialist politics. Drawing on Alan Sinfield (1998), Alderson calls for an organic role for the critic, well beyond the straightjacketed limits of academic tradition. That the critic intervenes socially does not convert him into a protagonist, but into a part of a relational community.

At first glance, *Sex, Needs & Queer Culture* strongly recalls Alan Sinfield's *Gay and After* (1998). The limitations that might have resulted from Sinfield's influence are, though, offset because Alderson updates cultural materialism to twenty-first-century demands. Thus he rejects James Penney's judgmental reading of queer theory in *After Queer Theory* (2013), and he tries to integrate queer poetics of subcultural solidarity as evinced by Judith Halberstam (2005), despite the coercive radicalism and exclusion often claimed by queer theory (Alderson 207, 228). Alderson's discourse is not ambiguous, though. It is, I would say, strategic since it responds to a panorama far more complex than the one the Marxist referents he is indebted to had to grapple with.

Michael Warner's *The Trouble with Normal* (1999) and Jose Esteban Muñoz's *Cruising Utopia: The Then and There of Queer Futurity* (2009) previously addressed the anti-assimilation agenda *Sex, Needs & Queer Culture* endorses. Holly Lewis's *The Politics of Everybody: Feminism, Queer Theory and Marxism at the Intersection* (2016) also merged (post)identity politics and Marxist politics. However, Alderson's study gives a particularly comprehensive, diachronic and insightful analysis, addressing

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both a rich theoretical framework and practical elucidation. It explores the complex relation between queer culture and capitalism, and more specifically neoliberalism. It starts with the gay liberation movement, when capitalism was perceived as heteronormative, and moves on to explore the marketization of queerness and a post-gayness that distrusts the socio-economic normativization of queer culture. With this purpose, Alderson firstly defines his socialist humanist framework through Herbert Marcuse, Raymond Williams and Alan Sinfield, which he does so as to determine whether radical stands are still present in (queer) counterculture and subculture under neoliberalism.

The introductory chapter outlines some key issues: the politics of resistance, the need for theory, the author's reservations about gayness as a class-inflected concept and about queer anti-humanism, socio-economic relations and their cultural manifestations as determined by Marcuse's "repressive tolerance" ([1965] 1969). From the beginning, however, Alderson makes the difference between old Marxist "one-dimensionality" (Marcuse [1964] 1991) and (his) more nuanced, albeit also politically committed, cultural materialism (27).

Chapter one, "Transitions," deals with the problematic transition from modernity to postmodernity, or rather the way the process has been approached by Fredric Jameson and Marianne Dekoven. However, Alderson firstly focuses on how their adaptation of Williams's forces of power and resistance helps to understand the ultimate shift, namely that of neoliberalism. In this sense, the critic speaks of "diversified dominant"—undoubtedly one of the main contributions of the book—to address the assimilation of sexual dissidence in a standardizing market. Indeed, Alderson opts for neoliberal capitalism rather than postmodernism as the hegemonic post-Fordist paradigm. The main problem with this chapter is its density. The theoretical framework provided is as useful as it is intricate, which delays his discussion of the ultimate goal, namely sex and its discourses. Sex is primarily related to Marcuse's *Eros and Civilization* ([1956] 1974), which acknowledges how social control is exerted through "heterosacramentalism." In other words, *Sex, Needs & Queer Culture* contributes to the field by focusing on the replacement of former dominant bourgeois societies by a "diversified dominant" that, despite being flexible, is immersed in "cultural integrity and conservatism" (91).

The second chapter—"Is Capitalism Progressive (for Queers)?"—is also of a contextualizing nature and particularly dense. Drawing on his post-Marxist affiliation, Alderson analyses what the meaning of progress(ive) is under neoliberalism so as to eventually explore the commodification of masculine desire. To reach this point, some theoretical issues are raised, namely, John D'Emilio's theory on capitalism and the expansion of gay lifestyles, Marcuse's "false needs," the tensions between neoliberalism and neoconservatism and between freedom and commitment under capitalism. Again, the theoretical framework is massive and occasionally convoluted. Yet, the last point of the chapter brilliantly describes the politics of queer assimilation. Alderson points

to "repressive incitement," another key issue, which refers to the assimilation of sex as fun (147). The oxymoron of the concept addresses how capitalism confers queers some freedom as long as they abide by the rules of exchange value and the private.

Chapters three and four run much more smoothly, mixing theory with textual evidence. As Alderson points out, they deal with "a more typically cultural materialist preoccupation with the very category of culture" (31); chapter three deals with counterculture and chapter four with subculture. In fact, the author tries hard to set out the differences between both concepts, as they are often used interchangeably. "Feeling Radical: Versions of Counterculture" explains how counterculture was born out of the leftist movements of the sixties in the US. In opposition to European working-class socialism, American counterculture relied on a middle-class youth working as an idealistic force of resistance against the Establishment. In this light, Theodore Roszack's radicalism is paradigmatic of US counterculture as a romantic and personalist philosophy. Another Marxist oxymoron, Marcuse's "repressive tolerance," serves Alderson to address countercultural products. This is the case of Robert Baker's *Tom and Pete* (1993), which shows the radical anger the management of the AIDS crisis triggered among queers. Informed by Lee Edelman and Judith Halberstam's discourses on queer authenticity, countercultural radicalism is also present in John Cameron Mitchell's *Shortbus* (2006) and Manuel Puig's *The Kiss of the Spiderwoman* (1976). The fact that Sinfield had already examined Puig's text (1998, 45-54) may lead one to think that Alderson's analysis is less valuable. However, *The Kiss of the Spiderwoman* proves to be too tempting a text to be ignored by a queer cultural materialist analysis. Moreover, Alderson puts forward a multilayered reading that opens the framework of liberatory struggle up well beyond his predecessors' scope (221).

The last chapter—"Subculture and Postgay Dynamics"—examines subculture in the postgay era. Unlike middle-class counterculture, subculture constitutes the weakening of control of the youth from a subordinate class (226). Alan Sinfield's subcultural materialism, as one of engagement, as opposed to identity affirmation, inspires this chapter. Hence, the emphasis that Dick Hebdige's seminal *Subculture* (1979) and Halberstam's *In a Queer Time and Place* (2005) put on the radicalism of performativity is displaced by the reality principle of subcultural materialism. To address this issue Alderson analyses the television series *Queer as Folk* (2000-2005). Though mostly celebratory, the series opens the debate on assimilation, cosmopolitanism and neoliberal appropriation of queerness, as well as testifying to the narrowing of the subculture it represents (253). In moving on to Mark Ravenhill's plays, Alderson addresses the postgay, particularly the loss of freedom of queers under the gay label. As usual, Alderson's discourse is nuanced and, beyond one-dimensionality and assimilation, he still advocates for change from a humanistic stance. What I consider particularly valuable in his discourse is its sincerity and pragmatism in trying to adapt cultural materialism to the status quo, particularly the erosion of subculture and the inscription of queer culture in the "diversified dominant" (237, 269).

In "Postcripts," Alderson makes reference to *Cucumber* (2015), a series where the boundary between gay and straight is conspicuously dissolving, though not exempt of anxiety. Indeed, the series bears witness to sex having become a weapon against repressive incitement. Although the author addresses how subcultural life has changed in recent decades, a more systematic comparison between *Cucumber* and *Queer as Folk* would shed more light on this issue.

The book closes with the author's characteristic nuanced, yet firm, discourse. Assuming that freedom of choice is akin to the compulsion of repressive incitement (291), he has no problem in questioning his alleged coreligionists. This is the case with György Luckács's downgrading of sexuality as a political weapon and James Penney's criticism of the depoliticized consumerism allegedly fostered by queer theory. Instead, Alderson still believes in the possibilities granted by (queer) subculture. In a rather utopian fashion, he concludes by proposing spaces and projects that disengage queers from neoliberalism.

All in all, *Sex, Needs & Queer Culture* constitutes a thorough, brilliant analysis of queerness and the post-gay from a cultural materialist perspective that will illuminate readers interested in the field. Indeed, despite a clear commitment to socialism, the study escapes black-or-white readings of the politics of power and resistance, as it is patent in its challenging analysis of counterculture and subculture.

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Jane Lugea. 2016. *World Building in Spanish and English Spoken Narratives.* London: Bloomsbury. 221 pp. ISBN: 9781474282482.

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Much work has been done in recent years on the applications of Text-World Theory (henceforth TWT; see Werth [1999] or Gavins [2007], among others) to the stylistic study of literary texts (Stockwell 2002, 135-149; Hidalgo-Downing 2000).[1] However, little research has been done on the application of this framework to other discourse genres, such as political discourse—see Chilton (2004), Filardo-Llamas (2015)—and I have found no studies on how it could be used to describe natural speech. The objective of this book is to fill that gap by presenting a thorough investigation of the uses of TWT in understanding how mental representations are evoked and construed in spoken narratives.

Not only does this book try to prove the validity of TWT to new research areas, but it is also the first attempt at using this framework for texts other than the Anglophone ones to which it has always been applied. As explained in the "Introduction," the book aims at examining the different ways in which Spanish and English speakers differ when they construct a narrative text-world. This is done by focusing on two main linguistic strategies: deixis and modality, whose importance arguably relies on their mediating role between the text-world evoked by the narrative and their contextual construction as discourse-worlds.

In chapter one, we are presented with an introductory overview of the key concepts upon which this research is based, and which are further developed in subsequent chapters. Specifically, the notions of modality and deixis, as the key analytic tools, are explained and combined with ideas related to the conceptualization of space, time and subjectivity. These concepts are used as a way of eliciting the four research questions and hypotheses which the author attempts to test, and which are also related to the content of each of the chapters in the book. Chapters two to five are of a theoretical nature, while the more applied section of the book can be found in chapters six and seven.

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As shown in previous studies (Dancygier and Sweetser 2012; Hart 2014), deixis and modality are key linguistic concepts to understanding how point of view, perspective and subjectivity are discursively constructed. Although both notions are explained in chapter two—"Deixis and Modality"—Lugea offers a particularly good description of the different theoretical approaches to the study of deixis, which focus mainly on space, time and person because of their importance in the cognitive process of building a text and discourse world. This account is not only comprehensive, but also critical, and it manages to propose novel ideas such as the understanding of deixis as a sociocentric phenomenon. Modality is related to the expression of subjectivity, particularly with how this, sometimes combined with deixis, can help the speaker take a stance on given propositions. Unfortunately, in this theoretical description, references to Paul Chilton's explanation of discourse as a deictic space are somehow missing (2004; 2005). Although he is not frequently quoted in stylistics studies, his ideas on how subjectivity is discursively constructed would have been an interesting addition to Lugea's description of deixis and modality.

Both deixis and modality are also key concepts in TWT, as explained in chapters four and five. In chapter four—"Text-World Theory"—an overview of the key concepts in TWT is given, particularly the distinction between discourse-world and text-world, and the significance of deixis in the process of world-building. Chapter five, "Departures from the Text-World," is of particular interest as it talks about how TWT helps in identifying the different layers of meaning that can be generated by a text. It is in this chapter that Lugea suggests some modifications to Paul Werth's original approach (1999) and Joanna Gavin's revised version (2007). Amongst them should be highlighted her incorporation of William Bull's tense system as a way of explaining how time is conceptualized in different languages (1960), which helps in broadening the scope of the application of the originally anglophone TWT. The notion of "enactor world," which is used to explain the discursive production of characters is of key significance in order to explain narrative processes such as dialogue and reported thought. Although originally aimed at describing stylistic processes in fiction, this concept offers a very interesting tool for understanding the layered nature of meaning. However, its validity in other types of texts still remains to be tested. The final modification is the author's adopting of Visual Understanding Environment (VUE) software, which she argues could help improve the two-dimensional nature of the diagrammatic representation of text-worlds. As Lugea is one of the few text-world scholars who uses VUE, the successful application and wide acceptance of this software by other text-world researches remains to be seen.

In chapter three—"The Frog Story Corpus"—we find an explanation of the process Lugea followed to compile her corpus of spoken narratives in both British and American English, as well as in Peninsular and Mexican Spanish. Initially she selected two corpora from the Child Language Data Exchange System webpage (CHILDES 2015) and then two further corpora were compiled from her own recording of speakers'

narratives. The four corpora analysed are based on the "frog stories," which is a popular method of eliciting narratives for linguistic research. The results of the analysis are found in chapters six and seven, with the former being devoted to the "Analysis of Temporal World Building" and the latter to the "Analysis of Spatial, Personal and Modal World Building." Lugea performs both a quantitative and a qualitative analysis, thus solving one of the main criticisms one could make of TWT: that it is being solely applied qualitatively to specific texts. Among the various aspects which are covered in the analysis, the study of the tense system and its relation to world building are of particular significance, as can be seen in chapter four. Given the variations that exist between English and Spanish in the grammatical construction of tense, new paths for research are opened with this contrastive analysis. Likewise, differences are observed in how epistemic modality is grammatically realized in both languages, with Spanish relying more heavily on inflections.

The findings of the volume are interesting, not only because of what they prove in relation to the differences and similarities in world-building and stance-taking in English and Spanish, and between their dialectal varieties, but also because they open up new paths of research. As mentioned above, these include the need for further contrastive studies of the different uses of tense, or the preference for world-building or function-advancing propositions of different languages. These are important, particularly as they could have implications for translation studies. Likewise, Lugea's revision of TWT and adaptation to the study of Spanish opens the way for further adaptations of this originally Anglo-centric theory.

All in all, Lugea's volume is a thorough and interesting study which could be of interest to a wide readership, including people working on stylistics, discourse analysis, contrastive linguistics, cognitive linguistics or translation studies. It includes a clear hypothesis which is presented at the beginning of the book with a number of research questions that are to be answered. Each chapter finishes with a summary section in which the most relevant aspects covered are reviewed. The book is not only theoretically sound but it also includes a comprehensive analysis. It is definitely a very interesting read for those interested in the link between speakers' rhetorical and cognitive styles.

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Elena Seoane and Cristina Suárez-Gómez, eds. 2016. *World Englishes: New Theoretical and Methodological Considerations.* Amsterdam and Philadelphia: John Benjamins. 285 pp. ISBN: 978-90-272-4917-3.

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World Englishes: New Theoretical and Methodological Considerations brings together papers presented at the international conference *Englishes Today: Theoretical and Methodological Issues* (University of Vigo, Spain, October 18-19, 2013). This volume manages to achieve an optimum balance between the discussion of theoretical and methodological issues and hands-on approaches to the study of World Englishes (WE). It showcases the type of research that can be conducted thanks to electronic corpus-based developments—like the compilation of the *International Corpus of English* (ICE 2016), a cornerstone in WE research—along with widely used sources of data which remain to be further exploited for linguistic enquiry, such as YouTube or web forums. The papers in this volume also tackle two crucial topics which are still "in need of a firm theoretical basis, methodological approaches and empirical materials" (6), namely the emergence of grammatical changes led by non-native speakers of English and the contextualisation of WE phenomena within a historical framework.

Given the miscellaneous nature of the contributions, they are not formally organised into thematic sections, although most linguistic levels, ranging from phonology (see below Zipp and Staicov) to discourse-pragmatics (see below Davydova), are represented. The book opens with Elena Seoane's panoramic vision of key publications, corpora and atlases in the field and a concise overview of the most influential theoretical models, Edgar Schneider's "Dynamic Model" (2003; 2007) and Christian Mair's "World System of Englishes" (2013). In doing so, Seoane skilfully sets the ground for Christian Mair's contribution: "Beyond and Between the 'Three Circles': World Englishes Research in the Age of Globalisation" (17-35).

Mair stresses the need to "explore uses of English 'between and beyond'" (23) Kachru's "three circles" ([1982] 1992) and concentrates on the rhetorical device of augmentation in the Nigerian diasporic context. He uses evidence from a web-based corpus to underscore how Nigerian Standard English has the weakest status in comparison to the other three varieties spoken in the same milieu. Conversely, Nigerian pidgin is

shown to enjoy a strong covert prestige, a sociolinguistic weighting which encourages further reflection on shifting attitudes towards standard varieties and their motivations.

Marianne Hundt examines in "Error, Feature, (Incipient) Change—or Something Else Altogether?" (37-60) whether the auxiliary-participle combination (*be been*)—and, by extension, any low-frequency phenomena traditionally labelled as errors—might be analysed as developing features in contact varieties. In addition to acceptability judgements among native speakers and synchronic ICE corpora, she innovates by incorporating metalinguistic comments from internet forums into her analysis and by referring to both contemporary and historical corpora produced for both British and American English. Despite judgements about the use of native speakers and internet users, the author finds that *be*-perfects occur not only in ESL corpora but also diachronically in native speakers' corpora. The author, therefore, concludes that "it is too consistently attested to be written off as a mere performance error" (57) and that low frequency should not lead researchers to neglect such linguistic phenomena.

In "'He Don't Like Football, does he?': A Corpus-Based Study of Third Person Singular *don't* in the Language of British Teenagers" (61-84), Ignacio Palacios Martínez draws attention to the use of third-person singular *don't* in British English and examines three corpora of British English representative of the speech of both teenagers and adults. He takes into account possible language-internal motivations as well as extralinguistic factors and performs statistical analyses, which substantiate, among other findings, that *don't* is more prominently used by teenagers than adults, and that the clause subject plays a role in the selection of third-person singular *don't*. Remarkably, his study also reveals that Anglo-origin speakers use this construction more than speakers of other ethnicities, which can reverse popular misconceptions regarding the *properness* of British speakers' language uses.

Stephanie Hackert's "Standards of English in the Caribbean: History, Attitudes, Functions, Features" (85-111) takes us through the linguistic history of the Caribbean to discuss attitudes towards English-lexifier creoles and emergent endonormative standard varieties of English. A diglossic situation—creoles/British English—has given way to the use of creoles as complementary communicative tools, adding "local color" (106) to people's English. In fact, creoles play their parts in the make-up of their own standards, a multifaceted situation which can be extrapolated to other historically relatable backdrops.

Valentin Werner—"Overlap and Divergence: Aspects of the Present Perfect in World Englishes" (113-142)—reconciles allegedly marked differences in the use of the present perfect in WE, by pointing out a "core grammatical area across the varieties considered" (135). He firstly presents a quantitative analysis and subsequently depicts how this overall picture fits into revised models (Modiano 1999; Schneider 2007), by using aggregative approaches—like Neighbor-Net—visual aids which indeed prove helpful.

Lucía Loureiro-Porto examines in "(Semi-)Modals of Necessity in Hong Kong and Indian Englishes" (143-172) the verbs *must*, *need (to)*, *want to* and *have to* in the two varieties of English (ICE-HK and ICE-IND) and juxtaposes them with their uses in

British English (ICE-GB). Not only does she discuss syntactic differences—for instance, in terms of grammaticalisation—but also distinctive semantic behaviours, thus offering a very comprehensive and detailed picture of each of the modals of necessity.

Julia Davydova also adopts a corpus-based approach in "Indian English Quotatives in a Real-Time Perspective" (173-204) and considers a hitherto unexplored area in the context of Indian English: the use of the quotative system. Whereas more traditional quotatives, like *say* and *think*, are losing ground, the copula *be like* and the quotative *go* have been popularised as part of both local and global trends in their uses. However, their functional specialisation in Indian English is vernacular and, according to Davydova, mainly led by private-school female speakers.

Lena Zipp and Adina Staicov's "English in San Francisco Chinatown: Indexing Identity with Speech Rhythm?" (205-227) offers new insights into the negotiation of ethnic identity through speech features, by analysing data collected from ethnicity questionnaires and interviews with second-generation Chinese American living in the San Francisco Chinatown community. This mixed approach enables the researchers to map background information of the participants and their "ethnic identity scores" into the phonetic material elicited through a map task experiment during the interviews. Interestingly, variation in rhythm seems to be used to "negotiate the [speakers'] middle ground" (224), albeit inconsistently. Great prominence is therefore given to individual agency and flexibility, two key aspects sometimes neglected in large corpus-based studies.

Mikko Laitinen and Magnus Levin's contribution—"On the Globalization of English: Observations of Subjective Progressives in Present-Day Englishes" (229-252)—adopts a diachronic perspective on the appropriation of the progressive (in particular, its subjective interpretation with the intervening adverb *always*) in WE. Their starting point is corpus material for American English, which is compared to several corpora of global Englishes in order to inform our understanding of this phenomenon in EFL. This paper clearly posits the existence of an ENL-ESL-ELF/EFL continuum, as the boundaries between these varieties become progressively blurrier.

Finally, Edgar Schneider's "World Englishes and YouTube: Treasure Trove or Nightmare?" (253-281) produces a fully-fledged typology of YouTube videos—according to whether they are "metalinguistic" or "natural" clips (262-275)—and neatly illustrates this with real-life material. He discusses its potential in several spheres of linguistic investigation and language teaching, along with some of the most central concerns in such an enterprise, providing the reader with some provisional suggestions. The colophon of this final chapter invites the reader to further explore this tool, thereby providing a culmination of the inquisitive spirit promoted throughout the book.

At this stage, a few general observations should be made. Although in the book the term "L2 varieties of English" usually refers to those speakers who have an L1 different from English (for instance, Hindi or Chinese), it becomes problematic to imply that this label applies uniformly to all speakers of English in countries such as India, Singapore, Hong Kong, and other areas which have traditionally fallen within the "English as

an L2" category. This geographically-based and historically-motivated classification is misleading and has been much contested, particularly by those coming from Kachru's "outer circle" ([1982] 1992) but for whom English is their first language. This present-day reality should perhaps have been pointed out—albeit succinctly—at some point in the monograph. Awareness of these complex scenarios should avoid perpetuating linguistic stereotypes associated with Asians.

Likewise, it would have been interesting to mention contact-induced phenomena across Kachru's three circle-model ([1982] 1992)—as in Colloquial Singaporean English (CSE) and Multicultural London English (MLE). This begs the question of acceptability: is, for instance, British speakers' use of third-person singular *don't* more acceptable than uses developed by L1 English speakers beyond the "inner circle"? Are these *non-standard* forms equally stigmatised by their respective speech communities? What role does the basilectal-acrolectal continuum play in this? These are just a few questions that may arise—and could perhaps be addressed in follow-up contributions—after having read the thought-provoking material covered in this highly valuable contribution to the study of World Englishes.

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Atlantis publishes articles, reviews and interviews in the field of English studies. Contributions submitted to *Atlantis* should meet the following criteria:

- Suitability for the aim and scope of the journal
- Originality and interest in relation to subject matter, method, data or findings
- Relevance to current research in the field
- Revision of previously published work on the topic
- Logical rigour in argumentation and in the analysis of data
- Adequate use of concepts and research methodology
- Discussion of theoretical implications and/or practical applications
- Command of recent bibliography
- Linguistic appropriateness, textual organisation and satisfactory presentation
- Readability and conciseness of expression

Submissions

Articles should be 6,000-8,000 words and book reviews 1,000-1,250 (including abstract, keywords, footnotes and references).

Contributions should be uploaded to the journal's webpage (www.atlantisjournal.org), in a double-spaced, point 12 electronic Microsoft Word document (or equivalent electronic version). Please follow the indications on the journal's webpage, especially with regard to the metadata accompanying your submission: www.atlantisjournal.org/index.php/atlantis/about/submissions#onlineSubmissions

- Title of the manuscript
- Author's name
- Institutional affiliation and full postal address
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- Word processor and version used to format the document
- Total number of words, including works cited and notes
- A 60-word bionote
- The *Atlantis* checklist

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Before submitting an article, please make sure that your text observes the following guidelines. Articles that do not comply with the *Atlantis* style sheet will be returned for resubmission before being sent out to referees.

§ 1. External presentation

1.1. Abstract

The first page of each article must include a title plus a 100-200 word summary. The abstract should be written in an 11-point Times New Roman font, indented (0.5 cm) and positioned immediately before the body of the text. It should consist of one paragraph and contain no bibliographical reference in parenthetical form.

1.2. Keywords

Just after the abstract, append a list of up to six keywords, separated with semi-colons, so that your contribution can be accurately classified by international reference indexes. Do not use period at the end of the list of keywords.

1.3. Language
Manuscripts are to be submitted in English. Authors must consistently follow either British or American spelling conventions. A version or translation of the title, abstract and keywords in Spanish must be provided. For those contributors who do not handle Spanish the Editors will provide the translation.

1.4. Length
For articles: 6,000-8,000 words (including abstract, keywords and references); for book reviews: 1,000-1,250 words.

1.5. Submission
Authors must submit their contribution (Microsoft Word document) accompanied by the following documents in separate files:

- Checklist
- Personal data and a bionote of approx. 60 words
- An institutional address and phone number following the example below

Address: Departamento de Filología Moderna. Facultad de Educación. Universidad de Castilla-La Mancha. Plaza de la Universidad, 3. 02071, Albacete, Spain. Tel.: +34 000000000; ext. 0000. Fax: +34 000000000.

§ 2. General stylistic, structural and formatting guidelines
All manuscripts should follow the guidelines of the latest edition (now 16th edition) of the *Chicago Manual of Style* unless otherwise specified.

2.1. Format
The text should be submitted single-spaced. Use a 12-point Times New Roman font for the main text and an 11-point Times New Roman font for the abstract, footnotes and indented quotations.

The first line of each paragraph should be intended 0.5 cm (please use the indentation tool included in Word, not the tab key), with the exception of the first line in the first paragraph of each section. The first line of all footnotes should also be indented 0.5 cm.

2.2. Titles of contributions
Place them at the top and centre of the page on which the text begins. Capitalize only the first letter of the first word and all other significant words (nouns, adjectives, verbs and adverbs) as well as proper nouns. Always capitalize the last word. Do not use period after titles.

2.3. Textual divisions and headings
Section headings should be used with discretion. They must begin from the left margin, with no period at the end. Headings may be numbered. The use of Arabic numerals is

recommended. If absolutely necessary, further division within a section should follow the same format used for section headings. They must be preceded by Arabic numerals separated by period (e.g., 1.1). Do not capitalize headings in full (only contents words should be in capital letters) and use small caps.

2.4. Tables, drawings and graphic items

Please avoid their proliferation, since it may result in an excessive number of pages. This could affect the eligibility of your work for publication. All tables and figures should be numbered consecutively and referred to by their numbers within the text (e.g., as we see in example/table/figure 1). Take into account that graphs must be clearly understood when printed in black and white.

2.5. Punctuation

All punctuation marks, except colon and semicolon, should precede closing quotation marks (e.g.,"the bookshelf," she replied).

Question marks (?) and exclamation marks (!) should not normally be used in scholarly writing unless they are part of a quotation.

Do not use commas (,) before "and" and "or" in a series of three or more. Never use a comma and a dash together.

Square brackets ([ ]) are used for an unavoidable parenthesis within a parenthesis, to enclose interpolations or comments in a quotation or incomplete data and to enclose phonetic transcription. Slash marks (/ /) are used to enclose phonemic transcription.

2.6. Numbers

Spell out whole numbers from zero to one hundred and numbers followed by *hundred*, *thousand*, *hundred thousand*, *million* or *billion*. Spell out all numbers beginning a sentence.

2.7. Dates

Centuries are spelled out and lowercased (the twenty-first century). Use standard dating (April 13, 1990). No comma is used between month and year when no day is given (May 1990).

2.8. Italics

Use italics for emphasis or ironic sense (only when necessary), foreign words, technical terms and linguistic forms (words, phrases, letters) cited as examples or as subjects of discussion. Italicize titles of books, plays, periodicals, films, television and radio programmes, paintings, drawings, photographs, statues or other works of art.

2.9. Capitalization

Capitalize the first letter of the first word and all of the principal words—including nouns, adjectives, adverbs and verbs in hyphenated compounds, but not articles,

prepositions and conjunctions—in titles of publications, lectures or papers. In mentioning magazines, journals or newspapers (e.g., the *Gentleman's Magazine*), do not treat an initial definite article as a part of the title.

Do not capitalize references to standard parts of a specific work, such as preface, acknowledgements, appendix, chapter, etc. (e.g., as discussed in chapter four).

2.10. Quotation marks

Double quotation marks (“ ”) are used to enclose quoted speech or writing when they are run Into the text. They are also used for titles or articles, book chapters and poems. Do not use straight double quotation marks (" ").

For quotations within run-in quotations use single quotation marks (‘ ’)

2.11. Quotations

All quotations should correspond exactly with the originals in wording, spelling, capitalization and internal punctuation, indicating any change included—e.g., “this is for HER [my capitals] and you know it.” The italicizing of words for emphasis (use with discretion) or the modernizing of spelling should also be explicitly indicated. If the source contains a spelling error, insert the italicized word *sic* in square brackets ([*sic*]). Clarifications, as well as translations, must be enclosed in brackets—e.g., “He [Stephen Spender] is one of the finest poets Britain has ever produced.”

When using the author-date system, the reference of the quotation should always be placed at the end of the clause, before the punctuation mark—e.g., a “nice suggestion” (Russell 2016, 36).

2.12. Run-on and indented quotations

Unless special emphasis is required, prose quotations up to about 75 words should be run in the surrounding text. Longer quotations should be set off, indented (0.5 cm) and never enclosed in quotation marks. An 11-point font should be used.

Verse quotations of up to two lines should be run in, with the lines separated with a slash, leaving one space on either side (/). Longer verse quotations must be set off.

2.13. Ellipsis within quotations

Use three periods enclosed in brackets [...] to indicate that part of a quotation has been deleted. Avoid using this device to open or close quotations that are obviously complete syntactic fragments.

2.14. Em dash (—)

The use of em dash instead of parentheses is advised. Do not leave any space before or after them—e.g., haunting ghosts of the past—slavery and its legacy—to rest before a better future can be built.

2.15. Footnotes
These should be limited to authorial commentary that cannot be easily accommodated in the body of the text and their use is discouraged. They must not be used to give bibliographical references that can appear in parenthetical form within the text. They should be numbered, superscripted and placed after the closest punctuation mark. The first line of the footnote should be indented 0.5 cm.

2.16. Exemplification
If the author provides a list of examples including sentences they should be listed, indented (0.5 cm) and written in an 11-point font following the example:

(1) Hello my name is Charlie. My 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 my surname is Santos. (S1g6P)

§ 3. Documenting sources
Do not forget to add to your list of works cited all the references you mention throughout the text. Bear in mind that specific page numbers must be provided for all quotations included.

Leave page numbers in full, not abbreviated. Do so for in-text citations—e.g., (Suedfell 1997, 849-861)—as well as for pages in the works cited list—e.g., *Political Psychology* 18 (4): 384-395.

Never use Latin reference tags (*op. cit.*, *ibidem*, etc.).

If you want to indicate that some information is missing you can use the following devices: n.p. for "no publisher"—where the publisher's name would appear in your entry—also for "no place of publication" and "no page"—e.g., online material without pagination. The use of n.d. is advised for "no date." If the author or editor is unknown, the entry should begin with the title of the publication.

Publishing company names are abbreviated in the list of works cited. Remove articles, business abbreviations (Co., Inc.) and descriptive words (Publishers and so on). Any university press will be abbreviated according to one of these two patterns: U of Miami P or Toronto UP.

Avoid giving initials for authors in your works cited. Full names should be provided when possible.

Two different types of documentation will be used: parenthetical in-text citations and a works cited list following the examples provided below. Other cases not included here must also follow the *Chicago Manual of Style* (latest edition).

Books and book chapters

Books with single author:

Barnes, Julian. 1984. *Flaubert's Parrot*. London: Jonathan Cape.

(Barnes 1984, 38)

Several books by the same author (and same year of publication):

Samaddar, Ranabir. 1999a. *The Marginal Nation. Transborder Migration from Bangladesh to West Bengal*. Delhi: Sage.

—. 1999b. *Reflections on Partition in the East*. Kolkata: Vikas.

(Samaddar 1999a, 124)

(Samaddar 1999b, 241)

Books with two or more authors:

Allan, Keith and Kate Burridge. 1991. *Euphemism and Dysphemism. Language Used as Shield and Weapon*. Oxford and New York: Oxford UP.

(Allan and Burridge 1991, 24)

Burford, Barbara, Gabriela Pearse, Grace Nichols and Jackie Kay. 1988. *A Dangerous Knowing. Four Black Women Poets*. London: Sheba.

(Burford et al. 1988, 45)

Book by a corporate author:

American Cancer Society. 1987. *The Dangers of Ultra-Violet Rays*. Washington: ACS.

(American Cancer Society 1987)

Edited books:

Broadbent, John, ed. 1974. *Poets of the Seventeenth Century*. 2 vols. New York: New American Library.

If the same author appears as editor, list your references following the model:

O'Halloran, Kay. 2004. *Multimodal Discourse Analysis*. London: Continuum.

—, ed. 2005. *Mathematical Discourse: Language, Symbolism and Visual Images.* London: Continuum.

Translations/editions:

Bakhtin, Mikhail. 1981. *The Dialogic Imagination: Four Essays*. Translated by Michael Holquist and edited by Caryl Emerson. Austin: U of Texas P.

Second and successive editions:

Wiener, Martin J. 2004. *English Culture and the Decline of the Industrial Spirit, 1850-1980*. 2nd ed. Cambridge: Cambridge UP.

Reprints:

Treharne, Elaine, ed. (2000) 2010. *Old and Middle English c. 890-c. 1450. An Anthology*. Reprint, Malden, MA and Oxford: Blackwell.

(Treharne [2000] 2010, 98)

Multivolume work:

Wiles, Rassele, ed. *The Complete Prose of Claus Rassele*. 9 vols. Chicago: U of Chicago P.

Rassele, Claus. 1959-1972. *The Eternal Fire*. *The Complete Prose of Claus Rassele*, edited by Randal Wiles, vol. 3. Chicago: U of Chicago P.

Book chapters or parts of a book:

Olsen, Tillie. 1977. "Tell Me a Riddle." In *Jewish-American Stories*, edited by Irving Howe, 82-117. New York: Mentor-NAL.

Berger, Samuel. 1983. Introduction to *International Terrorism*, by Morris Provis, xiv-xxii. Champaign: U of Illinois P.

Articles

Journal articles:

Pope, Marcel Cornis. 1990. "Poststructuralist Narratology and Critical Writing: A 'Figure in the Carpet' Textshop." *Journal of Narrative Technique* 20 (2): 245-265.

(Pope 1990, 247)

Journals consulted online:

Please DO NOT include any URL. Add, however, the date of access at the end. For example: [Accessed online on June 12, 2013].

Anderson, Jane. 2013. "Intertextual Strategies in Emma Tennant's *The Beautiful Child*." *Journal of Intertextual Studies* 76: 11-33. [Accessed online on November 25, 2015].

(Anderson 2013, 30)

Suedfeld, Peter. 1997. "Reactions to Societal Trauma: Distress and/or Eustress." *Political Psychology* 18 (4): 849-861.

(Suedfeld 1997, 860)

Newspaper articles/reviews:

Please DO NOT include any URL. Add, however, the access date [Accessed online on Month day, year] at the end followed by a period. If the web is no longer available, use [No longer available].

Banks, Sandra. 1986. "The Devil's on Our Radio." *People*, May 7, 72.

Smith, Ali. 2012. "Once upon a Life." *Observer*, May 29. [Accessed online on August 2, 2015].

(Smith 2012, n.p.)

Churchwell, Sara. 2012. Review of *Home*, by Toni Morrison. *Guardian*, April 27. [Accessed online on July 13, 2015].

Sorby, Angela. 2008. "A Woman in Saudi Arabia Chafes at Gender Restrictions." Review of *Songs of Ourselves: The Uses of Poetry in America*, by Joan Shelley Rubin. *American Historical Review* 113 (April 2008): 449-451.

Unpublished dissertations, theses and manuscripts:

Sandrei, Maria. 1990. "Life and Death in Eighteenth-Century Love Letters." PhD diss., University of Oviedo.

Vedrashko, Ilya. 2011. "Advertising in Computer Games." Master's thesis, University of Arizona.

Klein, Katherine. "Postmodern Literary Theory Revisited." Unpublished manuscript, last modified October 2, 2013, Microsoft Word file.

Lectures / papers presented at conferences:

Dunker, Patricia. "Salvage: On Writing Neo-Victorian Fiction." Lecture given at the AEDEAN Annual Conference, Málaga, November 2012.

Multimedia

Films, Cds, Dvds, Vhss:

Mehra, Rakeysh Omaprakash, dir. 2006. *Rang de Basanti*. ROMP and UTV Motion Pictures.

Cleese, John, Terry Gilliam, Eric Idle, Terry Jones and Michael Palin. 2001. *Monty Python and the Holy Grail*, special ed. DVD. Directed by Terry Gilliam and Terry Jones. Culver City, CA: Columbia Tristar Home Entertainment.

Handel, George Frideric. 1988. *Messiah*. Atlanta Symphony Orchestra and Chamber Chorus, Robert Shaw. Performed December 19, 1987. Ansonia Station, NY: Video Artists International. Videocassette (VHS), 141 min.

Online multimedia:

Please DO NOT include any URL Add, however, the access date [Accessed online on Month day, year] at the end followed by a period. If the web is no longer available, use [No longer available].

Pollan, Michael. 2007. "Michael Pollan Gives a Plant's-Eye View." Filmed March 2007. TED video, 17:31. [Accessed online on July 13, 2013].

Harwood, John. 2008. "The Pros and Cons of Biden." New York Times video, 2:00. August 23, 2008. [Accessed online on February 22, 2015].

Blogs:

Please DO NOT include any URL. Add, however, the access date [Accessed online on Month day, year] at the end followed by a period. If the web is no longer available, use [No longer available].

Flinders, Matthew. 2014. "Politics to Reconnect Communities." *OUPblog* (blog), April 2, 2014. [Accessed online on May 23, 2015].